

File bundle 2014-4170

04 - Audit

Confirmation

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**From:** [Bolger, Eamonn](#)  
**To:** [Tesoriero, Paula](#)  
**Cc:** [Audit Advice](#); [Twist, Joanne](#)  
**Subject:** RE: Terms of Audit Engagement  
**Date:** Tuesday, 2 September 2014 7:20:57 a.m.  
**Attachments:** [image001.png](#)

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Paula, the attached appears to reflect the discussions in the meeting with Archives last month. I am making good progress with the self-assessment spreadsheets and evidence gathering and anticipate having draft assessments for each audit completed for internal validation by the end of this month.

Consequently, I recommend signing and returning the acceptance letter as proposed.

regards

Eamonn

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**From:** Rebecca Smart [mailto:Rebecca.Smart@dia.govt.nz]  
**Sent:** Monday, 1 September 2014 3:33 p.m.  
**To:** Tesoriero, Paula; Bolger, Eamonn  
**Cc:** Audit Advice  
**Subject:** Terms of Audit Engagement

Hi Paula,

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

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

Warm regards

**Rebecca Smart** | Senior Audit Advisor  
**Archives New Zealand Te Rua Mahara o te Kawanatanga**  
Direct Dial: +64 4 894 6075 | Extn: 9375 | [www.archives.govt.nz](http://www.archives.govt.nz)  
Mobile: [REDACTED]  
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s 9(2)(a)

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- (2) do not act on this email in any other way.

Thank you.

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1 September 2014

Paula Tesoriero  
General Manager Higher Courts  
Ministry of Justice

[REDACTED] s 9(2)(a)

Dear Ms Tesoriero

**PUBLIC RECORDS ACT 2005 AUDIT OF THE MINISTRY OF JUSTICE – COURTS,  
TRIBUNALS AND JUDICIAL AUTHORITIES**

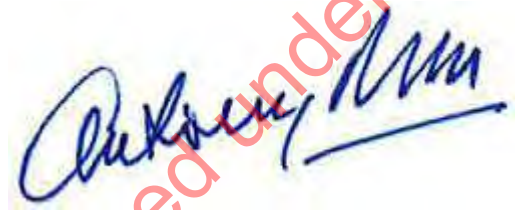
Further to your meeting on 14 August 2014 with Rebecca Smart, the attachment to this letter formally records the terms of the audit engagement.

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

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

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

Yours sincerely



Antony Moss  
Director Client Capability  
Archives New Zealand  
[antony.moss@dia.govt.nz](mailto:antony.moss@dia.govt.nz)

Ref: 2014/4170

## Attachment: Terms of Audit Engagement with Ministry of Justice – Courts, Tribunals and Judicial Authorities

### Objectives of the Public Records Act audit

The objectives of the Public Records Act audit are:

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

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

### Conduct of audits

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

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

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

The key stages of the audit process are:

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



## Entity Profile

The audit of your organisation will be of the entity as at the date shown below for the completion of the self-assessment.

The scope of the audit will include all constituent business units as described in your Statement of Intent and other public communications.

## Documents made available to auditors

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

## Scope of Audit

<b>Onsite Audit Client Details:</b>	Ministry of Justice – Courts and tribunals
<b>Scope:</b>	All records, series and collections, including recordkeeping capability in core business systems, that the following courts, tribunals and judicial authorities are responsible for managing. Supreme Court, Court of Appeal, High Court, District Court, Family Court, Youth Court, Māori Land Court, Coroners Court, Tenancy Tribunal, Disputes Tribunal, Waitangi Tribunal, Employment Court, Environment Court and all Judicial Authorities.
<b>Physical Storage Inspection:</b>	Physical storage inspection to be conducted at the following location(s): Supreme Court, Court of Appeal, High Court, District Court, Family Court, Youth Court, Māori Land Court, Coroners Court, Tenancy Tribunal, Disputes Tribunal, Waitangi Tribunal, Employment Court, Environment Court and all Judicial Authorities
<b>Out of Scope:</b>	Not applicable
<b>Known issues with no plans in place to address</b>	Not applicable

## Other issues

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

Issues Raised	Agreed Treatment
None identified	

## Timings and Contacts

The key timings for the audits are:

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

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

Contacts – Ministry of Justice – *Courts, Tribunals and Judicial Authorities*

<b>Senior Responsible Officer (SRO)</b>	Paula Tesoriero
<b>Back-up in the event of SRO non-availability</b>	Joanne Twist

Contacts - Archives New Zealand:

<b>Senior Audit Advisor, Audit &amp; Monitoring</b>	Rebecca Smart <a href="mailto:rebecca.smart@dia.govt.nz">rebecca.smart@dia.govt.nz</a>
<b>Audit Advisor, Audit &amp; Monitoring</b>	Moana Te Whaiti <a href="mailto:moana.tewhaiti@dia.govt.nz">moana.tewhaiti@dia.govt.nz</a>
<b>Portfolio Manager, Disposal &amp; Acquisition</b>	Lisa Austin <a href="mailto:lisa.austin@dia.govt.nz">lisa.austin@dia.govt.nz</a>

## Reports arising from the audit

Reports arising from the audit are:

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

### Recommendations for action

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

### Retention of recordkeeping documents sighted during the audit

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

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

### Acknowledgement of the terms of engagement

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

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

**Name:** Paula Tesoriero

**Title:** General Manager Higher Courts

**Organisation:** Ministry of Justice

\_\_\_\_\_  
Signed

\_\_/\_\_/\_\_  
Date



**From:** [Dravitski, Penelope](#)  
**To:** [Audit Advice](#)  
**Cc:** [Bolger, Eamonn](#); [Twist, Joanne](#)  
**Subject:** Terms of Audit Engagement  
**Date:** Tuesday, 2 September 2014 10:32:23 a.m.  
**Attachments:** [201409021025.pdf](#)

---

Good morning, as requested attached is the signed Terms of Audit Engagement with Ministry of Justice signed by Paula Tesoriero, General Manager Higher Courts.

Penny Dravitzki

---

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Thank you.

---

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1 September 2014

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General Manager Higher Courts  
Ministry of Justice

s 9(2)(a)

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Yours sincerely



Anthony Moss  
Director Client Capability  
Archives New Zealand  
[antony.moss@dia.govt.nz](mailto:antony.moss@dia.govt.nz)

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<b>Auditor Assigned</b>	Rob Allman Consulting

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Contacts – Ministry of Justice – *Courts, Tribunals and Judicial Authorities*

<b>Senior Responsible Officer (SRO)</b>	Paula Tesoriero
<b>Back-up in the event of SRO non-availability</b>	Joanne Twist

Contacts - Archives New Zealand:

<b>Senior Audit Advisor, Audit &amp; Monitoring</b>	Rebecca Smart <a href="mailto:rebecca.smart@dia.govt.nz">rebecca.smart@dia.govt.nz</a>
<b>Audit Advisor, Audit &amp; Monitoring</b>	Moana Te Whaiti <a href="mailto:moana.tewhaiti@dia.govt.nz">moana.tewhaiti@dia.govt.nz</a>
<b>Portfolio Manager, Disposal &amp; Acquisition</b>	Lisa Austin <a href="mailto:lisa.austin@dia.govt.nz">lisa.austin@dia.govt.nz</a>

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

**Name:** Paula Tesoriero

**Title:** General Manager Higher Courts

**Organisation:** Ministry of Justice



Signed

2/9/14

Date

File bundle 2014-4171  
03 - Senior Responsible  
Officer

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**From:** [Akesa Alefosio](#)  
**To:** [Audit Advice](#)  
**Subject:** FW: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting  
**Date:** Wednesday, 30 July 2014 2:58:00 p.m.  
**Attachments:** [image001.png](#)

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**From:** Akesa Alefosio  
**Sent:** Wednesday, 30 July 2014 2:53 p.m.  
**To:** 'Bolger, Eamonn'  
**Cc:** 'Twist, Joanne'; 'Clifton, Bronwen'  
**Subject:** RE: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting

Thank you for clarifying that for me Eamonn.

Your invite for your meeting, I will be sending out shortly.

I will liaise directly with Bronwen and Jas regarding their meeting.

Cheers

Akesa

---

**From:** Bolger, Eamonn [REDACTED] s 9(2)(a)  
**Sent:** Wednesday, 30 July 2014 2:47 p.m.  
**To:** Akesa Alefosio  
**Cc:** Twist, Joanne; Clifton, Bronwen  
**Subject:** RE: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting

Akesa, I will not attend the meeting with Jas. Jas or Bronwen will get back to you about invitees for the Ministry meeting.

regards

Eamonn

---

**From:** Akesa Alefosio [<mailto:Akesa.Alefosio@dia.govt.nz>]  
**Sent:** Wednesday, 30 July 2014 2:05 p.m.  
**To:** Bolger, Eamonn  
**Cc:** Twist, Joanne  
**Subject:** RE: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting

No problem that's fine.

I'll email through the invites shortly and if more people need to attend I'll add them to the meeting.

I've spoken to Rebecca and she's advised that there will be two separate meetings for your organisation.



So for the time and date indicated below, I would need to include Paula Tesoriero, yourself and Joanna for one meeting.

The second meeting will include yourself, Jasvinder Singh and Bronwyn Clifton awaiting for confirmation of a preferred date and time.

If you could confirm and let me know that would be great.

Thank you.

---

**From:** Bolger, Eamonn [REDACTED]  
**Sent:** Wednesday, 30 July 2014 1:46 p.m.  
**To:** Akesa Alefosio  
**Cc:** Twist, Joanne  
**Subject:** RE: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting

Akesa, I will need to confirm with our General Manager who is absent this week but at this point I suggest adding

Joanna Twist [REDACTED] s 9(2)(a)

Eamonn Bolger [REDACTED]

---

**From:** Akesa Alefosio [<mailto:xxxx.xxxxxx@xxx.xxx.xk>]  
**Sent:** Wednesday, 30 July 2014 1:41 p.m.  
**To:** Bolger, Eamonn  
**Subject:** FW: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting

Hi Eamonn,

Can you please confirm the attendees for this meeting and I will sent out a invite for the date and time indicated below.

Thanks.

Kind Regards,

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



---

**From:** Rebecca Smart  
**Sent:** Wednesday, 30 July 2014 1:03 p.m.  
**To:** Akesa Alefosio  
**Cc:** 'Bolger, Eamonn'  
**Subject:** FW: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting

Hi Akesa,

Please see Eamonn's email below, can you please liaise with Eamonn about meeting invites etc.

Cheers

Bex

---

**From:** Bolger, Eamonn [REDACTED] s 9(2)(a)  
**Sent:** Wednesday, 30 July 2014 12:59 p.m.  
**To:** Rebecca Smart  
**Cc:** Twist, Joanne  
**Subject:** RE: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting

Rebecca, could you advise that we have booked Thursday 14 August 10.30-11.30am for the Courts/Tribunals audit meeting. Attendees will need to come to reception level 3 the Justice Centre (19 Aitken St) and ask for me.

cheers

Eamonn

---

**From:** Rebecca Smart [<mailto:Rebecca.Smart@dia.govt.nz>]  
**Sent:** Wednesday, 30 July 2014 12:21 p.m.  
**To:** Bolger, Eamonn; Clifton, Bronwen  
**Subject:** FW: Public Records Act Audit Programme: Please provide tentative dates for Engagement Meeting  
**Importance:** High

FYI

---

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

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Hi Jasvinder and Paula,

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

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

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

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

Our standard meeting agenda is:

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

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

Kind Regards,

**Akesa Alefosio** | Programme Coordinator  
**Archives New Zealand Te Rua Mahara o te Kawanatanga**  
10 Mulgrave Street | PO Box 12-050, Wellington 6011, New Zealand |  
[www.archives.govt.nz](http://www.archives.govt.nz)  
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File bundle 2014-4172  
05 - Client Self  
Assessment

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**From:** [Akesa Alefosio](#)  
**To:** "Bolger, Eamonn"  
**Cc:** [Audit Advice](#); [Rebecca Smart](#)  
**Subject:** RE: Courts audit self-assessment access key code  
**Date:** Thursday, 21 August 2014 5:05:34 p.m.  
**Attachments:** [image001.png](#)

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Hi Eamonn,

Thanks for your email.

Apologies for the delay, I've been off work on leave.

Please find below the missing keycodes.

**Ministry of Justice – Tenancy Tribunal**

**Key code:** [REDACTED] s 9(2)(ba)(ii)

**Ministry of Justice – Ministry of Justice – Judicial Authorities**

**Key code:** [REDACTED]

Let me know if you need anything else.

Thanks.

Kind Regards,

**Akesa Alefosio** | Programme Coordinator  
**Archives New Zealand Te Rua Mahara o te Kawanatanga**  
 10 Mulgrave Street | PO Box 12-050, Wellington 6011, New Zealand |  
[www.archives.govt.nz](http://www.archives.govt.nz)  
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**From:** Bolger, Eamonn [REDACTED] s 9(2)(a)  
**Sent:** Tuesday, 19 August 2014 7:34 a.m.  
**To:** Akesa Alefosio  
**Cc:** Audit Advice; Rebecca Smart  
**Subject:** RE: Courts audit self assessment access key code

Akesa, there seem to be 2 missing:

Tenancy Tribunal and the consolidated judicial adhoc authorities headed by a judicial officer

audit.

Eamonn

---

**From:** Akesa Alefosio [<mailto:xxxxx.xxxxxxxx@xxx.xxxx.xk>]  
**Sent:** Monday, 18 August 2014 4:48 p.m.  
**To:** Bolger, Eamonn  
**Cc:** Audit Advice; Rebecca Smart  
**Subject:** Courts audit self assessment access key code

Hi Eamonn,

Please find attached the individual courts keycode's.

Below the URL and your unique key code to be used for the assessment application (your key code will be used to copy into the application):

**URL:** <http://audit.archives.govt.nz/>

s 9(2)(ba)(ii)

**Ministry of Justice – Youth Court**

**Key code:** [REDACTED]

**Ministry of Justice – Coroner Court**

**Key code:** [REDACTED]

**Ministry of Justice – Court of Appeal**

**Key code:** [REDACTED]

**Ministry of Justice – Disputes Tribunal**

**Key code:** [REDACTED]

**Ministry of Justice – District Court**

**Key code:** [REDACTED]

**Ministry of Justice – Employment Court**

**Key code:** [REDACTED]

**Ministry of Justice – Environment Court**

**Key code:** [REDACTED]

**Ministry of Justice – Family Court**

**Key code:** [REDACTED]

**Ministry of Justice – High Court**

**Key code:** [REDACTED]

**Ministry of Justice – Maori Land Court**

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Key code: [REDACTED]

**Ministry of Justice – Supreme Court**

Key code: [REDACTED]

**Ministry of Justice – Waitangi Tribunal**

Key code: [REDACTED]

Kind Regards,

**Akesa Alefosio** | Programme Coordinator  
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# File bundle 2014-4174

## 07 - Onsite Audit

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**From:** [Bolger, Eamonn](#)  
**To:** [Akesa Alefosio](#)  
**Cc:** [Audit Advice](#); [Rebecca Smart](#)  
**Subject:** RE: Courts audit self-assessment access key code  
**Date:** Thursday, 27 November 2014 3:01:13 p.m.  
**Attachments:** [image001.png](#)

---

I have entered details for all courts audits into the applications with the exception of the Supreme Court as when trying to finalise it I get an internal error message.

I may try to send this tomorrow and if this does not work, a copy of the SC spreadsheet is on the UXSB stick I am delivering tomorrow.

REbecca, f.y.i. Joanne Koremen who has completed the MOJ audits will be coming with me to see you tomorrow.

---

**From:** Akesa Alefosio [<mailto:Akesa.Alefosio@dia.govt.nz>]  
**Sent:** Monday, 18 August 2014 4:48 p.m.  
**To:** Bolger, Eamonn  
**Cc:** Audit Advice; Rebecca Smart  
**Subject:** Courts audit self assessment access key code

Hi Eamonn,

Please find attached the individual courts keycode's.

Below the URL and your unique key code to be used for the assessment application (your key code will be used to copy into the application):

**URL:** <http://audit.archives.govt.nz/>

**Ministry of Justice – Youth Court**

Key code: [REDACTED]

s 9(2)(ba)(ii)

**Ministry of Justice – Coroner Court**

Key code: [REDACTED]

**Ministry of Justice – Court of Appeal**

Key code: [REDACTED]

**Ministry of Justice – Disputes Tribunal**

Key code: [REDACTED]

**Ministry of Justice – District Court**

Key code: [REDACTED]

**Ministry of Justice – Employment Court**

Key code: [REDACTED]

**Ministry of Justice – Environment Court**

Key code: [REDACTED]

**Ministry of Justice – Family Court**

Key code: [REDACTED]

**Ministry of Justice – High Court**

Key code: [REDACTED]

**Ministry of Justice – Maori Land Court**

Key code: [REDACTED]

**Ministry of Justice – Supreme Court**

Key code: [REDACTED]

**Ministry of Justice – Waitangi Tribunal**

Key code: [REDACTED]

Kind Regards,

**Akesa Alefosio** | Programme Coordinator

**Archives New Zealand Te Rua Mahara o te Kawanatanga**

10 Mulgrave Street | PO Box 12-050, Wellington 6011, New Zealand |

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---

**From:** [Bolger, Eamonn](#)  
**To:** [Rob and Liz Allman](#)  
**Cc:** [Rebecca Smart](#); [Twist, Joanne](#)  
**Subject:** PRA audits for courts and tribunals  
**Date:** Thursday, 11 December 2014 3:24:41 p.m.

---

Robb,

As discussed, the key points arising:

(1) owing to the range in size and differences in records management between District Courts, Family Court, Youth Court, Tenancy and Disputes Tribunals I propose that an onsite audit be held for a large metropolitan court/tribunal and a smaller regional based court/tribunal.

(2) to limit time and costs, I am looking at Wellington and Levin District Courts though I am still confirming availability of relevant staff in Wellington.

(3) As well as Court of Appeal and Supreme Court, I am proposing High Court, Employment and Environment Courts for Wellington based onsite visits.

(4) Maori Land Court are keen to host your visit in Hamilton as this is probably their largest site

(5) I am still to hear back from Coroners and adhoc judicial authorities.

(6) there is a complicating factor in significant records management functions for Disputes Tribunal and District Court civil are managed centrally at CPU so I propose a visit to this site in central Wellington as well.

(6) I will send you an invite to meet to discuss any preliminary questions resulting from the self-assessment/desktop review for early in the new year.

If you think it useful, I am happy to attend at least some of the Wellington based visits.

I note your availability and will start allocating blocks of time for visits. Hopefully once you have reviewed the self-assessment and desktop review documentation, you will be able to identify your time requirements (e.g. 3 hours, 1 day, etc.) for each.

I look forward to working with you in the new year.

regards

Eamonn Bolger  
Senior Adviser Court Records  
Ministry of Justice

---

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**From:** [Rebecca Smart](#)  
**To:** ["Bolger, Eamonn"](#)  
**Cc:** ["Rob and Liz Allman"](#)  
**Subject:** Courts Audits - Focus Questions and System Access required  
**Date:** Friday, 23 January 2015 2:43:18 p.m.  
**Attachments:** [Courts - Focus Questions.xls](#)  
[image001.png](#)

---

Hi Eamonn

As discussed at the Audit Opening meeting this morning, please find attached the Audit Focus questions. As explained these questions are on one excel worksheet and the courts that are marked with an x if the question applies to them.

During the audit Rob will need access to the following systems:

Shared Drives for all courts

Tribunal Case Management system

Case Management Systems

If you have any further questions, please do not hesitate to contact either Rob, Moana or myself.

Warm regards

Rebecca

**Rebecca Smart** | Senior Audit Advisor

**Archives New Zealand Te Rua Mahara o te Kawanatanga**

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## Audit Focus Questions

No.	Question	Coroners Court	Court Of appeal	Disputes Tribunal	District Court	Employment Court	Enivor Court	Family court	Hight court	Judicial Auth	Maori Land court	Supreme court	Tenancy Trib	Waitangi Trib	Youth Court
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	x	x		x	x	x		x	x			x		x
1.1.2	Systems used to create and maintain records are identified and documented			x		x						x			
1.1.3	Policies that include records management are documented and in use							x			x				
1.2.1	Strategic/business plans include records management objectives and risks			x		x								x	
1.2.2	Procedures that include records management have been documented and are in use											x			
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	x									x				
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed		x	x			x		x			x			x
2.1.1	Records management is resourced appropriately				x							x			
2.1.2	Responsibility for records management is assigned	x	x	x				x				x		x	
2.2.1	Staff assigned to records management have been given appropriate training			x		x			x	x		x			
2.3.1	Development of staff assigned to records management is monitored and regularly reviewed						x			x		x			
2.3.2	Budget planning considers resourcing and improvements for records management	x	x	x	x	x	x	x	x	x		x	x		x
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities					x	x		x	x					x
3.2.1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems														
3.3.1	Records management training needs for all staff is monitored and regularly reviewed						x			x					
4.1.1	Monitoring of records management compliance is documented							x	x	x					
4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	x	x	x								x			
4.3.1	The effectiveness of the records management capability of the organisation is regularly assessed														
5.1.1	Records management requirements are identified in business processes and functions								x						
5.1.2	Records of all business activities are managed within the appropriate systems							x	x						
5.2.1	Records are captured routinely, documented and organised according to the organisation's business requirements														
5.2.2	Records management data is assigned, documented and is in use			x				x		x					
5.3.1	Records management data is maintained, monitored and reviewed							x							
5.3.2	Systems that create and maintain records are monitored and regularly reviewed										x	x		x	

5.3.3	Disposal authorities are mapped to systems that create and maintain records									X						
6.1.1	Access to and use of records is managed within the appropriate systems	X	X	X	X	X	X		X	X		X			X	
6.2.1	Sensitive and restricted records are identified, documented and controlled	X	X					X		X						
6.2.2	Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification															
6.2.3	Records 25 years of age or older are covered by an Access Authority	X	X													
6.3.1	The ability to locate and use records is monitored and routinely audited														X	
7.1.1	All records are managed so they cannot be altered, deleted or disposed of without permission															
7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately			X						X			X			
7.2.1	Records are reviewed/appraised and stored in accordance with their value and security needs							X								
7.2.2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of records															
7.3.1	Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed															
7.3.2	Storage arrangements for records are monitored and regularly reviewed													X	X	
8.1.1	Records have been appraised and disposal authorities agreed										X					
8.1.2	Regular and efficient disposal of the organisation's records is planned and documented															
8.2.1	Disposal procedures and processes are implemented and in use regularly															
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															
8.3.1	Records management data about disposal of records is retained for as long as required				X			X								
8.3.2	Disposal procedures and processes are monitored and reviewed								X							

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**From:** [Bolger, Eamonn](#)  
**To:** [Rob and Liz Allman](#); [Twist, Joanne](#); [Rebecca Smart](#)  
**Cc:** [Nicholas, Leigh](#)  
**Subject:** RE: PRA Audits - next actions  
**Date:** Monday, 26 January 2015 2:59:44 p.m.

---

**From:** Rob and Liz Allman [REDACTED] s 9(2)(a)  
**Sent:** Monday, 26 January 2015 2:39 p.m.  
**To:** Bolger, Eamonn; Twist, Joanne; Rebecca Smart  
**Subject:** PRA Audits - next actions

Good afternoon Eamonn. Thank you for your email of earlier today. I note the following:

1) Family Court. My notes from our meeting with Rebecca and Joanne on 14 January indicate that the audit will focus on the Hamilton Family Court, rather than Wellington and Hamilton. I have subsequently confirmed this with Rebecca. **Fine - will update**

2) Tenancy Tribunal. My initial review of the questions relating to the Tenancy Tribunal indicate that they are of a general nature and that you could provide a response to these. Rebecca recalls that this approach was discussed at our meeting. **Fine - will update**

3) Central Processing Unit. I note that you have included the CPU into the sections on both the District Court and the Disputes Tribunal. The operation of the CPU will only need to be assessed once and therefore I propose that it be included in the District Court audit. **Fine - will update**

4) Maori Land Court. During our meeting on 14 January, Leigh Nicholas was noted as a contact for the Maori Land Court. Can you please clarify for me if Leigh is based in Wellington or Hamilton?

Leigh is based in Wellington and is identified as she is the National MLC Records Co-ordinator. However I have just confirmed that she will not be travelling to Hamilton so the local contacts are [REDACTED] If they cannot answer any questions, they could be referred to Leigh.

s 9(2)(a)

Many thanks for your help.

Rob Allman

---

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**From:** [Bolger, Eamonn](#)  
**To:** [Rob and Liz Allman](#); [Twist, Joanne](#); [Rebecca Smart](#)  
**Subject:** RE: contacts for systems  
**Date:** Tuesday, 27 January 2015 7:36:42 a.m.

Thanks Rob, if you could indicate your availability during February during February at the same time, it would be much appreciated.

Eamonn

---

**From:** Rob and Liz Allman [REDACTED] s 9(2)(a)  
**Sent:** Monday, 26 January 2015 2:44 p.m.  
**To:** Bolger, Eamonn; Twist, Joanne; Rebecca Smart  
**Subject:** Re: contacts for systems

Good afternoon Eamonn. The primary focus of the assessment of the these systems will be on how they are used and how they work (eg structure and use), rather than the technical background. As a result, assistance from a user should give me the information I need.

With regard to the audit time requirements, I am currently working on this and hope to be able to confirm this with you by Wednesday lunchtime.

Kind regards,

Rob Allman

s 9(2)(a)

On Monday, 26 January 2015 8:25 AM, "Bolger, Eamonn" [REDACTED] wrote:

Rob,

you have requested meeting with staff about:

- (1) shared drives for all courts
- (2) Tribunal Case Management System (TCM)
- (3) Courts Management System (CMS)

From our discussion I recall you wanted to know about folder structure, etc. Did you want to also know about the technical side as well? If you do, I will then need to arrange a meeting with a user and a technical staff member as one staff member is unlikely to be knowledgeable about both the front and back end of network drives.

Also how much time you will need with each would be much appreciated? I realise this may be tricky until you receive and review all of the self-assessments.



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**From:** [Rob and Liz Allman](#)  
**To:** [Bolger, Eamonn](#); [Rebecca Smart](#)  
**Cc:** [Twist, Joanne](#)  
**Subject:** Re: Estimate of audit times  
**Date:** Wednesday, 28 January 2015 10:54:43 a.m.

---

Good morning Eamonn. Thank you for your call of a few minutes ago. As discussed, I confirm the following:

- 1) Hamilton Courts. Thank you for the location confirmation. I have noted your advice that these audits may take place in the week commencing 16 February while you are visiting Alexandra. As discussed, this will allow plenty of time to organise my travel.
- 2) Your Alexandra travel plans. Noted thank you.
- 3) Tenancy Tribunal. I confirm that the questions relating to the Tenancy Tribunal are of a general nature which I will discuss with you. A separate meeting with Tenancy Tribunal staff should not be necessary.
- 4) Split of one day sessions into 2 half day sessions. I am very comfortable with this suggestion.
- 5) Split of the half day conference call into separate calls/ I am very comfortable with this suggestion too.
- 6) Visits to start during the week commencing 2 February. This fits in well with me.

Kind regards,

Rob

**Rob Allman Consulting**

14 Spencer Street  
Crofton Downs  
Wellington 6035  
New Zealand  
Phone 04 4791029  
Mobile [REDACTED]  
E mail: [REDACTED]

s 9(2)(a)

On Wednesday, 28 January 2015 7:36 AM, "Bolger, Eamonn" [REDACTED] wrote:

Thanks Rob.

The Hamilton Youth and Family Courts are in the same building and I believe that the Maori Land Court is nearby so I do not see a problem there. If you find you are running low on time with Family Court and Youth Court in Hamilton I could arrange a follow up visit to their Wellington equivalent as they are in the same building as the Wellington District Court.

I am booked and paid for to travel to Alexandra and with several other staff travelling to work with me on these dates so it is not practical to change these. I will try to book your visits around these dates and if I need to use these dates I will try to make it for those visits where I am less likely to add value.

I had removed the Tenancy Tribunal from the visit programme on the basis of your email yesterday. Can you confirm whether this is still the case?

For the 1 day sessions in Wellington, could be visits be divided into 2 half days if this works better for the hosts? This may be easier than blocking out an entire day. Similarly, it might be easier to split the phone conference call into several separate calls rather than attempt one 4 hour call!

The reality is that it is impractical for the visits to start this week so I will be aiming for the week starting 2 February.

I will send you and Rebecca invites as I arrange each meeting.

regards

Eamonn

---

**From:** Rob and Liz Allman [REDACTED] s 9(2)(a)  
**Sent:** Tuesday, 27 January 2015 4:18 p m.  
**To:** Bolger, Eamonn; Twist, Joanne; Rebecca Smart  
**Subject:** Estimate of audit times

Good afternoon Eamonn. Please find attached my estimate of the times required to complete each of the Courts audits. This time estimate is based on the questions I have received from Archives NZ and may vary depending on the availability of information or personnel on site.

With regard to the Hamilton component, it should be possible to complete this in 2 full days by arriving on the first flight of the day from Wellington and leaving on the last flight from Hamilton the following day. In making this comment, I am assuming that the 3 Courts to be visited (Family Court, Youth Court and Maori Land Court) are all in Central Hamilton.

I note your earlier comments that the contact for the Waitangi Tribunal is away from 5 – 16 February and that you are visiting the Alexandra Court from 17 – 20 February.

At this stage, I am free every working day between Thursday 29 January and Friday 20 February to complete on-site audits.

The week commencing Monday 23 February however, is more difficult for me and therefore I wondered if there was any possibility that your visit to Alexandra could be moved back to free up that time for us if it was needed? I would appreciate your comments on this suggestion.

Eamonn, I look forward to hearing from you regarding dates and times for the on-site

audits.

Kind regards,

Rob Allman

**Rob Allman Consulting**

14 Spencer Street

Crofton Downs

Wellington 6035

New Zealand

Phone 04 4791029

Mobile [REDACTED] s 9(2)(a)

E mail: [REDACTED]

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## Estimate of audit times for Courts.

Produced for Eamonn Bolger and Rebecca Smart, 27 January 2015

<b>Court</b>	<b>Location</b>	<b>Time estimate</b>
Supreme Court	Wellington	1 day
Court of Appeal	Wellington	0.5 day
High Court	Wellington	1 day
District Court	Wellington and Central Processing Unit	0.5 day
Family Court	Hamilton	0.75 day
Disputes Tribunal	Wellington	1 day
Tenancy Tribunal	Wellington	0.5 day
Youth Court	Hamilton	0.5 day
Waitangi Tribunal	Wellington	0.5 day
Maori Land Court	Hamilton (Waikato - Maniapoto)	0.5 day
Employment Court	Wellington	0.75 day
Environment Court	Wellington	1 day
Coroners Court	Wellington	1 day
Authorities headed by a judicial officer (Immigration Protection Tribunal)	Auckland (via a conference call)	0.5 day
All courts shared drives	To be reviewed during Courts audits.	
Tribunal Case Management system )TCM)	To be reviewed during Courts audits.	
Courts Management System (CMS)	To be reviewed during Courts audits.	

**From:** [Bolger, Eamonn](#) s 9(2)(a)  
**To:** [Shergill, Navie](#)  
**Cc:** [Rob Allman](#) [REDACTED] [Rebecca Smart](#)  
**Subject:** Public Records Act audit of Hamilton Youth Court  
**Date:** Thursday, 29 January 2015 11:46:34 a.m.  
**Attachments:** [Youth Court self assessment.xls](#) withheld under s 9(2)(ba)(ii)  
[ATT00001.txt](#)

---

Navie,

Good to talk to you.

As explained, a series of recordkeeping audits are underway for the Ministry, Courts and Tribunals. The audit will assess processes, procedures and systems for managing records including their physical storage. The Youth Court onsite audit will be held at Hamilton Office.

The auditor (Rob Allman) has informed me that for Hamilton Youth Court, he will like to discuss the following focus areas with your nominated staff member during the visit:

- 1.1.1 Recordkeeping is a directive from the Chief Executive to management and staff
- 1.3.2 Objectives and risks that include records management are monitored and regularly reviewed
- 2.3.2 Budget planning considers resourcing and improvements for records management
- 3.1.1 Staff understand their obligations to create and maintain records of the organisations' activities

I have attached the self-assessment spreadsheet for Youth Court which contains the questions listed above.

Do not be concerned if you or your nominee cannot answer all of these questions comprehensively as I expect to provide some information from elsewhere.

Rob has indicated that he will require 4 hours at the Youth Court.

As he is combining this visit with several others and I need to co-ordinate availability. When you have identified your nominee to host the visit, could you please indicate his/her availability **between the 18-20 February?**

If you could provide me the details of your nominee I will get planning underway.

Do not hesitate to contact me if you or your nominee would like more information or to discuss any issues relating to the audit.



**Eamonn Bolger**

Senior Adviser, Court Records | Judicial Libraries

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**From:** [Bolger, Eamonn](#)  
**To:** [Rebecca Smart](#); [Rob Allman](#) [REDACTED] [Greensill, Aaron](#)  
**Cc:** [Twist, Joanne](#)  
**Subject:** Public Records Act audit of Hamilton Family Court records  
**Date:** Thursday, 29 January 2015 11:55:48 a.m.  
**Attachments:** [appendix 1 item L Family Court self assessment.xls](#) withheld under s 9(2)(ba)(ii)  
[ATT00001.txt](#)

Ra,

Good to talk to you.

As explained, a series of recordkeeping audits are underway for the Ministry, Courts and Tribunals. The audit will assess processes, procedures and systems for managing records including their physical storage. The Family Court onsite audit will be held at Hamilton Office.

The auditor (Rob Allman) has informed me that for Hamilton Family Court, he will like to discuss the following focus areas with you and any staff you nominate for the visit:

- 1.3.3 Policies that include records management are documented and in use
- 2.1.2 Responsibility for records management is assigned
- 2.3.2 Budget planning considers resourcing and improvements for records management
- 4.1.1 Monitoring of records management compliance is documented
- 5.1.2 Records of all business activities are managed within the appropriate systems
- 5.2.2 Records management data is assigned, documented and is in use
- 5.3.1 Records management data is maintained, monitored and reviewed
- 8.3.1 Records management data about disposal of records is retained for as long as required

I have attached the self-assessment spreadsheet for Family Court which contains the questions listed above.

Do not be concerned if you or your nominee cannot answer all of these questions comprehensively as I expect to provide some information from elsewhere.

Rob has indicated that he will require approximately 5-6 hours at the Family Court.

As he is combining this visit with several others and I need to co-ordinate availability. When you have identified your nominee to host the visit, could you please indicate his/her availability **between the 18-20 February?**

If you could provide me the details of your nominee I will get planning underway.

Do not hesitate to contact me if you or your nominee would like more information or to discuss any issues relating to the audit.



**Eamonn Bolger**

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**From:** [Bolger, Eamonn](#)  
**To:** [Renata, Raewyn](#); [Manaia, Lorraine](#); [Rob Allman](#) [REDACTED]; [Rebecca Smart](#)  
**Cc:** [Nicholas, Leigh](#)  
**Subject:** Public Records Act recordkeeping audit of MLC (Waikato)  
**Date:** Thursday, 29 January 2015 1:05:59 p.m.

---

Kia ora Raewyn and Lorraine,

Lorraine, good to talk to you.

Further to my earlier email on the audit I am now looking to make visit arrangements.

The auditor (Rob Allman) has indicated that he will require approximately 4 hours at the MLC.

As he is combining this visit with several others and I need to co-ordinate availability could you indicate your availability **between the 19-20 February to host the visit?** (I note that there is a training course on the 17-18th).

If you could confirm your availability asap we can start arranging the visit which I am combining with audits of other Hamilton courts.

I recommend that you review the focus questions and the self-assessment spreadsheet sent previously before Rob comes.

Do not hesitate to contact me if you would like more information or to discuss any issues relating to the audit process.



**Eamonn Bolger**

Senior Adviser, Court Records | Judicial Libraries

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Cell [REDACTED] s 9(2)(a)

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**From:** [Bolger, Eamonn](#) s 9(2)(a)  
**To:** [Rob Allman](#); [Rebecca Smart](#)  
**Subject:** onsite audit update  
**Date:** Friday, 30 January 2015 7:54:53 a.m.  
**Attachments:** [PRA audit visit calender.docx](#)  
[ATT00001.txt](#)

---

Rob and Rebecca, I have attached the audit visits to date which you should have received calendar requests for. I amended the invite for 10 February from the Environment Court to the Employment Court which may have come through as a conflict. It is a correction only so just accept the most recent appointment.

For those all day visits which I have divided into 2, I propose waiting to confirm the second visit until you have completed the first as this should assist in more accurately estimating how much further time is required. I note that for the Supreme Court, for example, you have proposed a day but given that they only have about 5 staff and manage less than 100 cases a year, you may find that you need less time than anticipated.

Of course it is entirely your call to identify visit time requirements.

Eamonn



**Eamonn Bolger**

Senior Adviser, Court Records | Judicial Libraries

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Cell [REDACTED] s 9(2)(a)

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## PRA audit visit calendar

Auditor availability: 2-20 February

Date	Court audit visit
2 Feb	9.30am-4.30pm High Court audit
3 Feb	9-1pm Court of Appeal audit 2-5pm Supreme Court (part 1)
4 Feb	9am-1pm Waitangi Tribunal audit
5 Feb	
9 Feb	9-1pm Disputes Tribunal
10 Feb	9-3pm Employment Court
11 Feb	10-2pm Wellington District Court 2.30-4.30pm CPU
12 Feb	9-1pm Coroners court visit
13 Feb	9-2.30 pm Environment Court visit
18/20 Feb	Hamilton for Youth Court, family Court and MLC – <b>dates to be confirmed</b>

**From:** [Rob and Liz Allman](#)  
**To:** [Bolger, Eamonn](#)  
**Cc:** [Rebecca Smart](#)  
**Subject:** Re: PRA Audit questions  
**Date:** Wednesday, 4 February 2015 3:10:51 p.m.

---

Many thanks Eamonn.

Regards,

Rob

s 9(2)(a)

On Wednesday, 4 February 2015 1:41 PM, "Bolger, Eamonn" [redacted] wrote:

Rob, the response to your question re backups. This will apply across the Ministry, tribunals and courts.

regards

Eamonn

---

**From:** Hopkinson, Richard  
**Sent:** Wednesday, 4 February 2015 9:58 a.m.  
**To:** Bolger, Eamonn  
**Subject:** FW: PRA Audit questions

Here it is, Eamonn...

---

**From:** Walker-Hall, Elisa [<mailto:Elisa.Walker-Hall@nz.Fujitsu.com>]  
**Sent:** Wednesday, 4 February 2015 9:29 a.m.  
**To:** Hopkinson, Richard  
**Cc:** Edmonds, Ross  
**Subject:** PRA Audit questions

Hi

Here are the answers to your questions:

CMS – Data is backed up Daily. Incremental six days and full on Sunday morning.

Network drives – Novell - full back ups daily, except for some big sites that are daily incrementals and Friday full back up

- DFS (windows) - back ups daily incremental, with weekly full backups on the weekend

Personal drives are included in the Novell backups.

Any data saved to the hard drive of a PC or Laptop is not backed up.

Regards  
 Elisa

**Elisa Walker-Hall**  
**Technical Service Operations Manager**

**Fujitsu New Zealand Limited**

Level 12, Fujitsu Tower, 141 The Terrace, Wellington, New Zealand 6011

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shaping tomorrow with you

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Thank you.

---

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**From:** [Rebecca Smart](#)  
**To:** ["Bolger, Eamonn"](#)  
**Cc:** [Polly Martin](#); ["Twist, Joanne"](#)  
**Subject:** Public Records Act Audit - Rating changes and closing meeting presentations  
**Date:** Thursday, 2 April 2015 12:28:04 p.m.  
**Attachments:** [Court Closing presentations.zip](#) Court closing presentations withheld under s 9(2)(ba)(ii)  
[Combined workbook with rating changes.xlsx](#)  
[image003.png](#)

---

Hi Eamonn

As discussed and agreed in January 2015, please find attached a Workbook with the rating changes for each court (on separate worksheets) and a zip file which contains all the closing meeting presentations. We still have not completed the Tenancy Tribunal or the Judicial Authorities so this information is not included but once completed will be sent through.

I hope you have a great Easter break and any further questions please feel free to contact either Polly Martin or myself.

Warm regards

**Rebecca Smart** | Senior Audit Advisor  
**Archives New Zealand Te Rua Mahara o te Kawanatanga**  
Direct Dial: +64 4 894 6075 | Extn: 9375 | [www.archives.govt.nz](http://www.archives.govt.nz)  
Mobile: [REDACTED] s 9(2)(a)  
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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Completed - some out of date	Most	Undecided	Changed Progress - Completed and Up to date Coverage - All Intentions to Progress - completed
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	Under way	Most	Plans in place	No Change
2.1.2	Responsibility for records management is assigned	Completed - some out of date	Most	Completed	No change
2.3.2	Budget planning considers resourcing and improvements for records management	Completed - some out of date	Most	None	Changed intentions to progress - Plans in place
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities	Completed - some out of date	Some	None	Changed Progress - Completed and Up to date Coverage - All Intentions to Progress - completed
4.1.1	Monitoring of records management compliance is documented	Completed - some out of date	Most	Plans in place	No change
5.3.2	Systems that create and maintain records are monitored and regularly reviewed	Completed - some out of date	Most	Undecided	Change Intentions to progress - Plans in place
8.1.2	Regular and efficient disposal of the organisation's records is planned and documented	None	Some	None	Change progress - underway Intentions to progress - Plans in place
8.2.1	Disposal procedures and processes are implemented and in use regularly	None	Some	None	Change progress - underway Intentions to progress - Plans in place

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes	Attachments
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Completed - some out of date	Most	Undecided	Changed Progress - Completed and Up to date Coverage - All Intentions to Progress - completed	
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	None	None	Undecided	Changed Progress - Underway Coverage - Most Intentions to Progress - plans in place	
2.1.2	Responsibility for records management is assigned	Completed - some out of date	Most	Completed	No change	
2.3.2	Budget planning considers resourcing and improvements for records management	Completed - some out of date	Some	None	Changed Intentions to Progress - plans in place	
4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	Completed - some out of date	Some	Undecided	Changed Intentions to Progress - plans in place	
6.1.1	Access to and use of records is managed within the appropriate systems	Completed - some out of date	Most	Undecided	Changed Intentions to Progress - plans in place	
6.2.1	Sensitive and restricted records are identified, documented and controlled	Completed - some out of date	Most	Undecided	Changed Coverage - All Intentions to Progress - plans in place	
6.2.3	Records 25 years of age or older are covered by an Access Authority	Completed - some out of date	All	Completed	Changed Progress - completed and Up to date	

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.2	Systems used to create and maintain records are identified and documented	Completed - some out of date	Most	Undecided	Changed - Intentions to progress - Plans in place
1.2.1	Strategic/business plans include records management objectives and risks	Under way	Some	Plans in place	Changed Coverage - Most
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	Under way	Some	Plans in place	Changed Coverage - Most
2.1.2	Responsibility for records management is assigned	Completed - some out of date	Most	Completed	Changed Progress - Completed and up to date Coverage - All
2.2.1	Staff assigned to records management have been given appropriate training	Completed - some out of date	Some	Undecided	Changed Coverage - Most Intentions to progress - Plans in place
2.3.2	Budget planning considers resourcing and improvements for records management	Completed - some out of date	Most	None	Changed Intentions to progress - Plans in place
4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	Completed - some out of date	Some	Undecided	Changed Intentions to progress - Plans in place
5.2.2	Records management data is assigned, documented and is in use	Completed and up to date	All	Completed	No change
6.1.1	Access to and use of records is managed within the appropriate systems	Completed - some out of date	Most	Plans in place	Changed Progress - Completed and up to date Coverage - All Intentions to progress - Completed
7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately	Completed and up to date	Most	Plans in place	Change Coverage - All Intentions to progress - Completed

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Completed - some out of date	Most	Undecided	Changed Progress - Completed and up to date Coverage - All Intentions to Progress - Completed
2.2.1	Staff assigned to records management have been given appropriate training	Completed - some out of date	Some	Undecided	Changed Intentions to Progress - Plans in place
2.3.2	Budget planning considers resourcing and improvements for records management	Completed - some out of date	Most	None	Changed Intentions to Progress - Plans in place
6.1.1	Access to and use of records is managed within the appropriate systems	Completed - some out of date	Most	Plans in place	Changed Progress - Completed and up to date Coverage - All Intentions to Progress - Completed
8.3.1	Records management data about disposal of records is retained for as long as required	Completed and up to date	All	Completed	No change

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Under way	Some	Undecided	Changed Progress - Completed and Up to date Coverage - All Intentions to Progress - completed
1.1.2	Systems used to create and maintain records are identified and documented	Under way	Most	Undecided	Changed Intentions to Progress - Plans in place
1.2.1	Strategic/business plans include records management objectives and risks	None	None	Undecided	Changed Progress - Underway Coverage - All Intentions to Progress - Plans in place
2.2.1	Staff assigned to records management have been given appropriate training	Completed - some out of date	None	Undecided	Changed Coverage - Most Intentions to Progress - Plans in place
2.3.2	Budget planning considers resourcing and improvements for records management	None	None	None	Changed Progress - Underway Coverage - Most Intentions to Progress - Plans in place
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities	Completed - some out of date	Some	None	Changed Intentions to Progress - Plans in place
3.2.1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	None	None	Undecided	Changed Progress to Underway. Coverage to Most. Intentions to progress to Plans in place
6.1.1	Access to and use of records is managed within the appropriate systems	Completed - some out of date	Most	Undecided	Changed Progress to Completed and up to date Coverage to All Intentions to progress to Completed

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Completed - some out of date	Most	Undecided	Changed Progress to Completed and up to date Coverage to All Intentions to progress to Completed
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	Completed - some out of date	None	Undecided	Changed Coverage to Most Intentions to progress to Plans in place
2.3.1	Development of staff assigned to records management is monitored and regularly reviewed	None	None	Undecided	Changed Progress to Completed - some out of date Coverage to Most Intentions to progress to Plans in place
2.3.2	Budget planning considers resourcing and improvements for records management	Completed and up to date	Most	Undecided	Changed Coverage to All Intentions to progress to Completed
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities	Completed - some out of date	Most	None	Changed Intentions to progress to Plans in place
3.2.1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	None	None	Undecided	Changed Progress to Underway Coverage to Most Intentions to progress to Plans in place
3.3.1	Records management training needs for all staff is monitored and regularly reviewed	None	None	Undecided	Changed Progress to Underway Coverage to Most Intentions to progress to Plans in place
6.1.1	Access to and use of records is managed within the appropriate systems	Completed and up to date	Most	Undecided	Changed Coverage to All Intentions to progress to Completed

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6.2.1 Sensitive and restricted records are identified, documented and controlled

Completed - some out of date

Most

Undecided

Changed  
Progress to Completed and up to date  
Coverage to All  
Intentions to progress to Completed

7.2.1 Records are reviewed/appraised and stored in accordance with their value and security needs

None

Some

None

Changed  
Progress to Underway  
Intentions to progress to Plans in place

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.3	Policies that include records management are documented and in use	Completed - some out of date	Most	Undecided	Changed Intentions to Progress - Plans in place
2.1.2	Responsibility for records management is assigned	Completed - some out of date	Most	Completed	Changed Progress - Completed and Up to date Coverage - All
2.3.2	Budget planning considers resourcing and improvements for records management	Completed - some out of date	Most	None	Changed Intentions to Progress - Plans in place
4.1.1	Monitoring of records management compliance is documented	Completed - some out of date	Most	Undecided	Changed Intentions to Progress - Plans in place
5.1.2	Records of all business activities are managed within the appropriate systems	Completed - some out of date	Most	Undecided	Changed Intentions to Progress - Plans in place
5.2.2	Records management data is assigned, documented and is in use	Completed and up to date	All	Completed	No change
5.3.1	Records management data is maintained, monitored and reviewed	Completed and up to date	All	Completed	No change
8.3.1	Records management data about disposal of records is retained for as long as required	Completed and up to date	All	Completed	No change

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Completed - some out of date	Most	Undecided	Changed Progress to Completed and up to date Coverage to All Intentions to progress to Completed
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	None	None	Undecided	Changed Progress to Underway Coverage to Most Intentions to progress to Plans in place
2.2.1	Staff assigned to records management have been given appropriate training	Completed - some out of date	Some	Undecided	Changed Intentions to progress to Plans in place
2.3.2	Budget planning considers resourcing and improvements for records management	Completed - some out of date	Most	None	Changed Intentions to progress to Plans in place
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities	Completed - some out of date	Most	Undecided	Changed Intentions to progress to Plans in place
4.1.1	Monitoring of records management compliance is documented	Completed - some out of date	Most	Undecided	Changed Intentions to progress to Plans in place
5.1.1	Records management requirements are identified in business processes and functions	Completed - some out of date	Most	Undecided	Changed Intentions to progress to Plans in place
5.1.2	Records of all business activities are managed within the appropriate systems	Completed - some out of date	Most	Undecided	Changed Progress to Completed and up to date Coverage to All Intentions to progress to Completed

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6.1.1	Access to and use of records is managed within the appropriate systems	Completed - some out of date	Most	Undecided	Changed Intentions to progress to Plans in place
6.2.1	Sensitive and restricted records are identified, documented and controlled	Completed - some out of date	Most	Plans in place	Changed Coverage to All
7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately	Under way	Most	Undecided	Changed Intentions to progress to Plans in place
7.2.1	Records are reviewed/appraised and stored in accordance with their value and security needs	Under way	Most	Plans in place	No change
8.3.2	Disposal procedures and processes are monitored and reviewed	Completed and up to date	All	Completed	No change

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.3	Policies that include records management are documented and in use	Completed and up to date	Most	Undecided	Changed Intentions to progress to Completed
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	Completed and up to date	Most	Undecided	Changed Coverage to All Intentions to progress to Completed
5.3.2	Systems that create and maintain records are monitored and regularly reviewed	Completed and up to date	All	Undecided	Changed Intentions to progress to Completed

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Completed - some out of date	Most	Undecided	Changed Progress to Completed and up to date Coverage to All Intentions to progress to Completed
1.1.2	Systems used to create and maintain records are identified and documented	Completed - some out of date	Most	Undecided	Changed Intentions to progress to Plans in place
1.2.2	Procedures that include records management have been documented and are in use	Completed - some out of date	Most	Undecided	Changed Intentions to progress to Completed
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	None	None	Undecided	Changed Progress to Underway Coverage to Most Intentions to progress to Plans in place
2.1.1	Records management is resourced appropriately	Completed and up to date	Most	Completed	Changed Coverage to All
2.1.2	Responsibility for records management is assigned	Completed - some out of date	Most	Completed	Changed Coverage to All
2.2.1	Staff assigned to records management have been given appropriate training	Completed - some out of date	Some	Undecided	Changed Intentions to progress to Plans in place
2.3.1	Development of staff assigned to records management is monitored and regularly reviewed	None	None	None	Changed Progress to Completed - some out of date Coverage to Most Intentions to progress to Plans in place
2.3.2	Budget planning considers resourcing and improvements for records management	None	None	None	Changed Progress to Completed and up to date Coverage to All Intentions to progress to Completed

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4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	Completed - some out of date	Some	Undecided	Changed Coverage to Most Intentions to progress to Plans in place
5.3.2	Systems that create and maintain records are monitored and regularly reviewed	Completed and up to date	All	Completed	no change
6.1.1	Access to and use of records is managed within the appropriate systems	Completed - some out of date	Most	Undecided	Changed Progress to Completed and up to date Coverage to All Intentions to progress to Completed
7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately	Completed and up to date	Most	Completed	Changed Coverage to All
7.3.2	Storage arrangements for records are monitored and regularly reviewed	Under way	Most	Plans in place	no change

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.2.1	Strategic/business plans include records management objectives and risks	None	None	Undecided	Changed Progress to Underway Coverage to Some Intentions to progress to Plans in place
2.1.2	Responsibility for records management is assigned	Completed - some out of date	Most	Undecided	Changed Intentions to progress to Plans in place
3.2.1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	None	None	Undecided	Changed Progress to Underway Coverage to Most Intentions to progress to Plans in place
5.3.2	Systems that create and maintain records are monitored and regularly reviewed	Completed - some out of date	Most	Completed	Changed Intentions to progress to Plans in place
6.1.1	Access to and use of records is managed within the appropriate systems	Completed and up to date	Most	Undecided	Changed Coverage to All Intentions to progress to Completed

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No.	Question	Progress	Coverage	Intentions to Progress	Rating changes
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Completed - some out of date	Most	Undecided	Changed Progress to Completed and up to date Coverage to All Intentions to progress to Completed
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	Under way	Some	Undecided	Changed Intentions to progress to Plans in place
2.3.2	Budget planning considers resourcing and improvements for records management	Completed - some out of date	Most	None	Changed Intentions to progress to Plans in place
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities	Completed - some out of date	Most	Undecided	Changed Intentions to progress to Plans in place

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**From:** [Rebecca Smart](#)  
**To:** ["Bolger, Eamonn"](#); [Polly Martin](#)  
**Cc:** ["Twist, Joanne"](#)  
**Subject:** RE: PRA self-assessment question  
**Date:** Thursday, 9 April 2015 11:46:42 a.m.

---

Hi Eamonn

As discussed at the Senior Responsible Officer meeting last year, "plans in place" can include minutes of meetings and emails where an intent has been shown to progress the topic further not necessarily a documented project plan.

Regards  
 Rebecca

---

**From:** Bolger, Eamonn [REDACTED] s 9(2)(a)  
**Sent:** Wednesday, 8 April 2015 3:54 p.m.  
**To:** Polly Martin; Rebecca Smart  
**Cc:** Twist, Joanne  
**Subject:** PRA self-assessment question

Polly and Rebecca,

Could you clarify in the self-assessment spreadsheet; where intentions to progress are assessed as "plans in place" does this mean a specific plan exists (or at least in development) or can it refer more loosely to an intention to progress (such as a verbal reference made in a meeting).

A clarification on this will assist my communicating the self-assessments results to staff and managers here.

regards



**Eamonn Bolger**  
 Senior Adviser, Court Records | Judicial Libraries  
 DDI: +64 4 494 9716 | Ext 50716  
 Cell [REDACTED] s 9(2)(a)  
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Thank you.

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**From:** [Rob and Liz Allman](#)  
**To:** [Audit Advice](#)  
**Subject:** Re: Tenancy Tribunal audit findings  
**Date:** Wednesday, 22 April 2015 4:54:31 p.m.

---

Hi Moana. Thank you for your email. I have just been speaking to Bex and advised her that there were no other papers produced for the Tenancy Tribunal. The visit was a short one specifically focused in gaining answers and comments to the audit plan questions raised following the desktop review process. My audit findings report for the Tenancy Tribunal has previously been delivered to your offices.

For storage issues at the Tenancy Tribunal, the following key points apply:

- 1) Hard copy files from 2013 – 2015 are stored on the strong room on level 6 of the Wellington District Court. (See the storage standard checklist for the Wellington District Court which has been supplied previously).
- 2) Hard copy files from 2009 – 2012 are stored on the strong room on the first level (-1) of the basement at the Wellington District Court. (See the storage standard checklist for the Wellington District Court which has been supplied previously).
- 3) Older files are stored in the basement storage area of the Porirua District Court. (See the storage standard checklist for the Porirua District Court which you completed at the time of our recent visit)..
- 4) No files from the Wellington Tenancy Tribunal are stored at On-Line Security.

Let me know if you need any more information.

I will send through some notes on records storage at the non-Judicial Authorities tomorrow.

The Antarctica NZ visit went very well.

Kind regards,

Rob

On Tuesday, 21 April 2015 3:44 PM, Audit Advice <Audit.Advice@dia.govt.nz> wrote:

Hi Rob

Do you have the rest of your onsite audit information for the Tenancy Tribunal and also the non-Judicial Authorities? When you get a moment, could you email it through please.

Hope the audit for Antarctica went well.



Cheers, Moana

---

**From:** Rob and Liz Allman  
**Sent:** Saturday, 18 April 2015 9:43 a.m.  
**To:** Audit Advice  
**Subject:** Tenancy Tribunal audit findings

Hi team. Please find attached the audit findings report from the recent discussions at the Tenancy Tribunal.

Kind regards,

Rob

**Rob Allman Consulting**

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**From:** [Rebecca Smart](#)  
**To:** ["Bolger, Eamonn"](#)  
**Cc:** ["Twist, Joanne"](#)  
**Subject:** RE: Public Records Act audit for courts and tribunals  
**Date:** Monday, 4 May 2015 11:46:25 a.m.  
**Attachments:** [Tenancy Tribunal - Rating CHanges.xls](#)

---

Good Morning Eamonn

As per my email on Friday, please find attached the ratings changes for Tenancy Tribunal

Warm regards

Rebecca

---

**From:** Bolger, Eamonn [REDACTED] s 9(2)(a)  
**Sent:** Friday, 1 May 2015 9:34 a.m.  
**To:** Rebecca Smart  
**Cc:** Twist, Joanne  
**Subject:** Public Records Act audit for courts and tribunals

Rebecca,

Good morning.

Could you send a copy of the Tenancy Tribunal self-assessment spreadsheet with the auditors changes? As with the previous updated self-assessments, I would like to send this to the Tribunal judicial head and relevant managers.

A formal acknowledgment of receipt for the final audits has been drafted for our Chief Executive and should be sent to the Chief Archivist soon.

regards



**Eamonn Bolger**

Senior Adviser, Court Records | Judicial Libraries

DDI: +64 4 494 9716 | Ext 50716

Cell [REDACTED] s 9(2)(a)

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Thank you.

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Tenancy Tribunal - Rating Changes							
No.	Question	Risk	Progress	Coverage	Intentions to Progress	Evidence	Rating changes
1.1.1	Recordkeeping is a directive from the Chief Executive to management and staff	Operational	Completed and up to date	Most	Undecided	Records and Tribunals Advisory Board provide advice to General Manager, Higher Courts on strategic records management responsibilities Note that the case files managed by the Tenancy Tribunal are generated by the Ministry of Business Innovation and Employment with the Tribunal only taking responsibility if mediation fails. In this context the requirements for creation and initial maintenance of records is not with the Tribunal. Information about the respective roles of both agencies is attached as evidence. References C, AEZ, AFA	RATING CHANGES Coverage changed from 'Most' to 'All' Intentions to Progress changed from 'Undecided' to 'Completed'
1.1.2	Systems used to create and maintain records are identified and documented	Operational	Completed and up to date	Most	Undecided	Following receipt of paper case files from Ministry of Business Innovation and Employment, they are registered in TCM which records case progress and milestone data. Given that records creation commenced in another agency, management processes are adequate. Reference D, AFB, AFC	No change
1.1.3	Policies that include records management are documented and in use	Operational	Completed - some out of date	Most	Undecided	Policies are incorporated in Court Skills but there are gaps in relation to the management of electronic documents and paper file storage. References C3, AFD	No change
1.2.1	Strategic/business plans include records management objectives and risks	Strategic	Under way	Most	Plans in place	There is no overall strategic plan for District Courts records management but risk based assessment has been used to mitigate risks associated with inadequate storage of District Court (including Tenancy Tribunal) records at different locations. Further work especially for electronic records management is required. Reference H	No change
1.2.2	Procedures that include records management have been documented and are in use	Operational	Completed - some out of date	Most	Undecided	Records management procedures are most consistently reviewed and updated where linked to immediate operational activities. Procedures relating to electronic documents management are poorly developed though TCM procedures are clearly described but not consistent with some recordkeeping requirements (e.g. legal disposal, metadata, etc.). This work is at an early stage and consequently evidence is not available at this time. References AFB-AFD	No change
1.3.1	Policies and procedures that include records management are monitored and regularly reviewed	Operational	Completed - some out of date	Most	Undecided	Court Skills including those with records management implications are reviewed and updated as necessary. Note that there is a considerable gap with the absence of an electronic records management system therefore areas such as metadata management has not been developed. Operational processes such as destruction and management of non-current records however are either missing or obsolete. References AFB-AFD	No change
1.3.2	Objectives and risks that include records management are monitored and regularly reviewed	Compliance	Under way	Some	Plans in place	Not previously considered at a strategic level. The main exception has been the development of the legacy court records project which included a risk assessment in determining priorities for funding. Priorities reviewed annually. See Reference H	No change
2.1.1	Records management is resourced appropriately	Strategic	Completed and up to date	Most	Completed	Records management responsibilities are distributed between Registry staff (file creation and management of active records) and Support Services staff (non current records management). A records management specialist with cross jurisdictional responsibility for strategic advice and implementing a recordkeeping framework also exists but whose responsibilities are cross jurisdictional. Overall the level of records management resource is inadequate as records management work has to be considered against higher prioritised work. Reference I, I1, I2, I3, I4, I5	No change
2.1.2	Responsibility for records management is assigned	Compliance	Completed - some out of date	Most	Completed	Some delegations need to be finalised and updated. Assignment of many court records management responsibilities is via Court Skills and position descriptions (see 2.1.1 above). Electronic business system responsibilities are outlined in the Ministry Enterprise Architecture and Information Systems Strategic Plan Update. AFD, H3, H4, I5	No change
2.2.1	Staff assigned to records management have been given appropriate training	Operational	Completed - some out of date	Some	Undecided	Court Skills and TCM training resources available. There is a lack of a training programme in specialist records management areas such as managing closed records and disposal. Support Services staff provide some support. References D, AFB-AFD, I5	No change

2.3.1	Development of staff assigned to records management is monitored and regularly reviewed	Operational	Under way	Some	Plans in place	Development of records management staff not considered in particular, informal mentoring of Support Services staff by Senior Adviser Court Records when time available. A training programme for Support Services staff on the management of non current records is being planned. I5	No change
2.3.2	Budget planning considers resourcing and improvements for records management	Strategic	Completed - some out of date	Most	None	Specific records management budget for Senior Adviser Court Records position is funded via Judicial Libraries in Higher Courts. Costs for commercial records storage are centralised in a cost centre managed by the National Support Services Manager. Costs for specific records management initiatives to support improved records management (e.g. legacy records improvement, electronic records systems, etc.) are subject to funding bids on a case by case basis Reference J	RATING CHANGE Intentions to Progress changed from 'None' to 'Completed'
3.1.1	Staff understand their obligations to create and maintain records of the organisations' activities	Operational	Completed - some out of date	Most	Undecided	Records management guides outline requirements for managing records and audit processes provide quality assurance when files closed. Other records management requirements such as storage and disposal are not well understood but were incorporated in updated records management guides which were in progress (work currently on hold). References D, F2	No change
3.2.1	Staff receive regular records management training in: - policies, procedures and practices - organisation specific tools and systems	Operational	Under way	Most	Plans in place	Court based training needs (including elements of records management) is generally linked to changes in court processes. System based training (e.g. TCM) is provided to new staff and when substantial changes are being implemented. A specific records management training programme is being developed by the Senior Adviser Court Records for nominated District Court Support Services staff nationally. It is anticipated that this will be reviewed and delivered on a regular basis. References F2, AFB-AFD, I5	No change
3.3.1	Records management training needs for all staff is monitored and regularly reviewed	Operational	Under way	Some	Plans in place	Court based training needs (including elements of records management) is generally linked to changes in court processes. In the absence of a specialist records management role to develop, monitor or review records management training, training initiatives have generally been ad-hoc and irregular. The new role of Senior Adviser Court Records is developing training resources but ability to implement limited owing to time constraints. References F2, AFB-AFD, I5	No change
4.1.1	Monitoring of records management compliance is documented	Reporting	Completed - some out of date	Most	Undecided	Monitoring of specific case file processes is enforced (e.g. formal auditing of files upon closure via a report generated from CMS to ensure all processes completed and document completeness). Beyond specific court processes however, there is a low awareness of records management compliance issues ranging from storage through to legal disposal. Reference D	No change
4.2.1	Policies, procedures and processes that include records management are monitored and regularly reported on	Reporting	Completed - some out of date	Some	Undecided	There is no standalone records management policy, rather elements of policy and objectives are integrated into guides, Court Rules and process documentation. Monitoring occurs at some points e.g. file closure. Records management related processes and procedures are reviewed and changed as court requirements change but are generally not explicitly linked to specific records management objectives. Reference G1	No change
4.3.1	The effectiveness of the records management capability of the organisation is regularly assessed	Reporting	None	None	Undecided		No change
5.1.1	Records management requirements are identified in business processes and functions	Compliance	Completed - some out of date	Some	Undecided	Records management requirements included in the design and implementation of paper based systems but there are substantial gaps in such areas as the management of non current paper records and electronic records. Electronic systems such as TCM lack records management functionality though retains critical court related data. Overall, processes and systems are often inconsistent with recordkeeping requirements References D, AFB-AFD	No change
5.1.2	Records of all business activities are managed within the appropriate systems	Compliance	Completed - some out of date	Most	Undecided	The Tribunal operates records largely via the business application TCM from which key documents such as orders and printed and filed onto a paper case file. This is not efficient and while there is a strategy to transition to electronic records management this is at the early stage of development and consequential evidence for this is not available.  However, the management of other mainly operational records, especially in electronic form are often stored in email folders and network drives. Reference D, D2, L4, AFB-AFD	No change

5.2.1	Records are captured routinely, documented and organised according to the organisation's business requirements	Compliance	Completed - some out of date	Most	Undecided	Guidance focuses on the capture and management of paper records. Tribunal Case Management (TCM) system manages the application and processing of online applications (applications can still be submitted in paper form). Access to documents is available via TCM with active management of access rights. See also Transcription Service Manager (TSM) for process data and documentation relating to transcription. Reference D, AFB-AFE, F11, AFF-AFI	No change
5.2.2	Records management data is assigned, documented and is in use	Operational	Completed and up to date	All	Completed	TCM facilitates the creation and management a comprehensive metadata. Screen shots are attached. Reference AFB-AFD, F14, AFF-AFI, F11	No change
5.3.1	Records management data is maintained, monitored and reviewed	Operational	Completed and up to date	All	Completed	TCM facilitates the creation and management a comprehensive metadata. Screen shots are attached. Reference AFB-AFI, F14, F11	No change
5.3.2	Systems that create and maintain records are monitored and regularly reviewed	Strategic	Completed and up to date	Most	Completed	TCM is actively managed by specialist staff with allocated responsibilities for reporting on, monitoring and reviewing TCM to ensure the system remains aligned to business requirements. Reference AFB-AFI, F14, F11	No change
5.3.3	Disposal authorities are mapped to systems that create and maintain records	Strategic	Completed - some out of date	Most	Undecided	The main courts disposal authority (DA 564) covers paper case files, audio recordings and paper indexes and registers which control paper case files. However TCM which contains electronic records is not covered. Reference K	No change
6.1.1	Access to and use of records is managed within the appropriate systems	Operational	Completed - some out of date	Most	Plans in place	Policies and procedures governing access to court records are focused on access to paper records. Physical access to case files is managed via location information manually added in CMS. The ability to track and monitor use of court records is variable and dependent on staff updating CMS and storing files consistently. Some court records are managed in shared drives and access rules relating to these records is variable and are likely to be implemented inconsistently.  The level of storage for records in smaller offices is variable and where found unacceptable for security and preservation reasons, a legacy records project has been developed to improve conditions or relocate records. References AEK, B.L, F, C3	No change  s 9(2)(ba)(ii)
6.2.1	Sensitive and restricted records are identified, documented and controlled	Compliance	Under way	Most	Plans in place	Paper records are stored in secure parts of each court based on their level of sensitivity. However records storage facilities in smaller districts often lack appropriate storage or rely on variable quality external facilities. A legacy records project is prioritising at risk facilities which takes into account risks of unauthorised access to records.  formal access regime and system based restrictions governs access to CMS. Electronic documents are stored in a limited access shared drive. See 6.2.2 for information about policies and procedures.  See above and reference H, H5	No change  s 9(2)(ba)(ii)
6.2.2	Access to sensitive and restricted records is provided in accordance with the appropriate legislation or security classification	Compliance	Completed and up to date	Most	Completed	Access to records is defined in the Disputes Tribunals Act 1988 (e.g. s22 for rights of parties). References C3, AEU	No change
6.2.3	Records 25 years of age or older are covered by an Access Authority	Compliance	Completed and up to date	All	Completed	Under DA 564 all case files can be destroyed after 10 years and registers will be subject to access authority AA 886. Reference O	No change
6.3.1	The ability to locate and use records is monitored and routinely audited	Operational	Under way	Some	Undecided	Physical case files can be tracked by CMS but this is dependent on staff keeping the CMS notes field updated. There is no auditing of CMS for locations and use of records.  There is little control or audit capacity for business emails or documents stored in shared drives. References F, L4	RATING CHANGES 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'  s 9(2)(ba)(ii)
7.1.1	All records are managed so they cannot be altered, deleted or disposed of without permission	Operational	None	None	Undecided	System and technology currently unavailable to ensure the integrity of electronic records. Packaging and media storage standards are yet to be developed.	No change



7.1.2	An assessment of records storage has been undertaken to ensure records are stored appropriately	Compliance	Completed and up to date	Most	Plans in place	A comprehensive physical survey of all courts was conducted in December 2012. This included identifying the age and type of records stored and an self assessment of the quality of records storage. From this a legacy records plan was produced recommending actions where storage conditions were unacceptable. This work is on going. No work commenced on electronic records. References H, H1	No change
7.2.1	Records are reviewed/appraised and stored in accordance with their value and security needs	Strategic	Under way	Most	Plans in place	Court paper and some audio records covered by a Disposal Authority (DA 564) and legacy records project targets vulnerable high value records for processing and transfer to appropriate storage. Storage of paper records based on archival value is still being worked through on a priority basis. Appraisal and storage requirements for electronic records not been conducted. References H, K	No change
7.2.2	Disaster Recovery/Business Continuity Plan includes the protection and salvage of records	Operational	Under way	Most	Plans in place	Business continuity plan covers core Ministry systems but does not explicitly cover records management risk areas such as disaster recovery for paper records. Consideration is being given to modifying the Ministry paper records Disaster Recovery plan for implementation into courts (see evidence P5). Nominated Support Services staff (who provide support to District Courts) will be provided paper records Disaster Recovery training in late October this year. References P5, P8	No change
7.3.1	Disaster Recovery/Business Continuity Plan is tested, monitored and regularly reviewed	Operational	Under way	Most	Plans in place	Business continuity plan covers core Ministry systems but does not explicitly cover records management risk areas such as disaster recovery for paper records. Consideration is being given to modifying the Ministry paper records Disaster Recovery plan for implementation into courts (see evidence P5). Nominated Support Services staff (who provide support to District Courts) will be provided paper records Disaster Recovery training in late October this year. References P5, P8	No change
7.3.2	Storage arrangements for records are monitored and regularly reviewed	Strategic	Completed and up to date	Most	Plans in place	The 2012 storage survey of all courts documented storage arrangements at that time. A legacy records plan was developed to target those courts were storage improvements were required. This work is on-going. Priorities for targeting courts is updated as further intelligence is received from courts about storage issues and as organisational changes require action (e.g. closing of courts). Monitoring of electronic records not possible owing to technological limitations. Reference H	RATING CHANGES Coverage changed from 'Most' to 'All' Intentions to Progress changed from 'Plans in place' to 'Completed'
8.1.1	Records have been appraised and disposal authorities agreed	Compliance	Completed and up to date	Most	Undecided	DA 564 covers Disputes Tribunal paper case files and registers. The main gaps in disposal coverage of electronic records and systems such as CMS. Reference K	No change
8.1.2	Regular and efficient disposal of the organisation's records is planned and documented	Operational	Completed and up to date	Most	Completed	Guides developed for implementing DA 564 and supported by approved disposal sentencing and processing requirements. Reference Q	No change
8.2.1	Disposal procedures and processes are implemented and in use regularly	Compliance	Under way	Some	Undecided	While the guide to support implementation of DA 564 is available, the ability to implement is dependent on staff availability. The Support Services team with responsibility to provide administrative support for records management are taking increasing responsibility for management of non current records including sentencing and off site management. However, the number of courts involved and limited availability of trained staff to support implementation means that processing is irregular and often initiated when records storage issues arise or changes in premises.	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	None	None	None	Not applicable as no Disputes Tribunal records 25 years+ are identified for retention within the tribunal.	No change
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	Transfer lists for paper records retained as are registers until deposit to Archives NZ. Destruction and transfer of non-current records [REDACTED] (including disposal date, DA number and internal authorisation documentation) are documented in their SAFE system.	No change s 9(2)(ba)(ii)
8.3.2	Disposal procedures and processes are monitored and reviewed	Operational	Completed and up to date	All	Completed	Monitoring of disposal review procedures and processes are actively monitored by the Senior Adviser Court Records. This is demonstrated by recent amendments and corrections to DA 564 and regular amendments to schedule implementation documentation. Reference R	No change

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