

Checklist: Evidence Requirements – Audit preparation

Agency Name:	
Name of person completing this checklist:	
Position Title:	
Date:	
Total number of employees:	
Total number of Records Management Staff (# of Employees and Contractors expressed as FTE):	
Centralised or de-centralised records model?	
Total number of locations or worksites your Records Management Program supports:	
Any Business Units or sites not supported by RM program? (Please identify officer responsible for recordkeeping at each, and the service provided by that site/unit).	
List of storage locations for hard copy records (agency-managed)	

Instructions for completion:

Agencies should use the attached form to identify required evidence to be submitted to TAHO prior to the formal audit interview. Agencies are requested to indicate on the attached form those tools that have been developed and implemented for use by the agency. The completed form must be submitted to TAHO together with any evidence collated. TAHO prefers electronic submission via emails, and recommends attachments are compressed in a .zip file for ease of transfer. This may require multiple email submissions. A descriptive subject line identifying the number of anticipated emails in the transfer would be appreciated, e.g. [agency name] – evidence submission TAHO Audit 2015 – [Part I of 5]

An additional column has been provided for any additional feedback, including where agencies may be in the process of drafting tools or procedures and would like to indicate this. This status (ie. 'draft') should be highlighted in the form, as well as in the title of the attachment itself, for ease of identification.

Evidence requirements against Records Management Principles

Create and Capture Records		Evidence / documentation to be submitted prior to audit interview	Has the agency developed / provided the requested evidence? (Yes/No)	Comments
I.1	Records must meet legislative, regulatory and administrative requirements	<input type="checkbox"/> List of legislation specific to agency in policy <input type="checkbox"/> Legislative mapping of recordkeeping requirements documented	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
I.2	Records must be captured regardless of format	<input type="checkbox"/> Information Asset Register <input type="checkbox"/> Documented procedures that cover capture of records in all formats and systems	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
I.3	Records must be appraised for their value	<input type="checkbox"/> Functional RDS (provide number) <input type="checkbox"/> Disposal Authorities obtained (provide numbers)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.4	Records must be classified, and recordkeeping metadata must be applied	<input type="checkbox"/> Business Classification Scheme and/or Taxonomy and/or File Plan <input type="checkbox"/> Technical documentation of EDRMS or other software application used for recordkeeping that shows metadata <input type="checkbox"/> Defined and published business rules and/or procedures for classifying and applying metadata to records	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	

	Govern Records	Evidence / documentation to be submitted prior to audit interview	Has the agency currently developed and implemented the requested evidence? (Yes/No)	Comments
2.1	Overall responsibility for records management must be assigned to a senior officer (CIO or equivalent level)	<input type="checkbox"/> Senior officer's position description (SOD) <input type="checkbox"/> Delegation authority	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
2.2	Direct responsibility for records management must be assigned to an appropriately skilled and resourced records officer(s)	<input type="checkbox"/> Records Officer's position description (SOD) <input type="checkbox"/> Training attendance records	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
2.3	All management, staff, contractors, and volunteers must be responsible for their recordkeeping	<input type="checkbox"/> Generic position description (SOD) and volunteer agreement which defines recordkeeping responsibilities <input type="checkbox"/> Tender documents, agreements or Contracts (or standard templates) which include recordkeeping requirements and responsibilities <input type="checkbox"/> Procedure documents <input type="checkbox"/> Staff / Volunteer Induction/Training programs documentation or course notes <input type="checkbox"/> Contractor Induction program documentation	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	

Govern Records	Evidence / documentation to be submitted prior to audit interview	Has the agency currently developed and implemented the requested evidence? (Yes/No)	Comments
<p>2.4 The agency must have a Records Management program which includes: Business analysis to inform the program Records Management Policy Records Management Procedures Records Management Plans - Operational, Strategic, and Vital records, Disaster Management Performance management for reporting Risk analysis Continuous improvement activities Management across multiple sites and locations Outsourced records</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Records Management Program documentation <input type="checkbox"/> Records Management Policy <input type="checkbox"/> RM Procedures <input type="checkbox"/> Business Classification Scheme <input type="checkbox"/> Business process/workflow mapping for automation <input type="checkbox"/> Strategic Recordkeeping Implementation Plan (SRIP) endorsed by CEO <input type="checkbox"/> Operational Recordkeeping Implementation Plan (ORIP) <input type="checkbox"/> Vital Records Plan <input type="checkbox"/> Disaster Management Plan <input type="checkbox"/> Records Management KPIs, service delivery standards, customer feedback systems and performance reporting <input type="checkbox"/> Up-to-date Information Risk Register <input type="checkbox"/> Where RM program is centralised, a complete list (index or inventory) of all records in all locations/sites/outpost (if no Information Asset Register provided) <input type="checkbox"/> If self-managed sites, a copy of each site's Records Management policy 	<ul style="list-style-type: none"> <input type="checkbox"/> Yes (attached) <input type="checkbox"/> No 	

Govern Records		Evidence / documentation to be submitted prior to audit interview	Has the agency currently developed and implemented the requested evidence? (Yes/No)	Comments
2.5	<p>The agency's Records Management program must align with:</p> <p>The agency's Risk Management program</p> <p>Internal and External Audit and review</p> <p>Disaster Recovery and Business Continuity planning</p> <p>Tasmanian Government Information Security Manual</p>	<input type="checkbox"/> Corporate Risk Register showing entries for Information Risk <input type="checkbox"/> Audit review process/procedure <input type="checkbox"/> Sample audit documents include questions about recordkeeping and information management <input type="checkbox"/> Disaster Preparedness / Recovery Plan showing actions for records, etc. <input type="checkbox"/> Business Continuity Plan showing actions for records, etc. <input type="checkbox"/> Information Security Policy	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	

Store Records		Evidence / documentation to be submitted prior to audit interview	Has the agency currently developed and implemented the requested evidence? (Yes/No)	Comments
3.1	<p>Records must be stored on appropriate media or hardware, and in appropriate formats</p>	<input type="checkbox"/> Permanent records migration plan/strategy which covers hardcopy and digital records	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
3.2	<p>Records must be stored in suitable containers, locations and systems</p>			

Store Records		Evidence / documentation to be submitted prior to audit interview	Has the agency currently developed and implemented the requested evidence? (Yes/No)	Comments
3.3	The agency must implement storage management strategies	<input type="checkbox"/> Disaster Management plan showing actions for records, etc. <input type="checkbox"/> Vital Records plan	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
3.4	The agency must monitor records storage for environmental conditions appropriate to the media, and retention periods	<input type="checkbox"/> Records of routine inspections, monitoring performed, and corrective action undertaken (if any) for both physical and digital storage	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
3.5	The agency must store and handle records according to their security status	<input type="checkbox"/> EDRMS security model or EDRMS user access / permissions matrix <input type="checkbox"/> Security classes applied to documents <input type="checkbox"/> Documented sign-out process for hardcopy files OR <input type="checkbox"/> Tracking capability in EDRMS for physical files	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
3.6	Where storage is outsourced, only approved secondary storage providers must be used by the agency	<input type="checkbox"/> Storage outsourcing contracts and documentation	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	

	Access Records	Evidence / documentation to be submitted prior to audit interview	Has the agency currently developed and implemented the requested evidence? (Yes/No)	Comments
4.1	Records access must be monitored for security breaches	<input type="checkbox"/> EDRMS security audit module/reporting <input type="checkbox"/> EDRMS audit trail logging <input type="checkbox"/> Procedure for handling and providing access by the public to agency information <input type="checkbox"/> Physical security applied to records areas (describe)	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
4.2	Access must be managed in accordance with: Organisational security policy/model Tasmanian Government Information Security Manual Relevant legislation Organisational change	<input type="checkbox"/> Cloud-based application risk assessments <input type="checkbox"/> Tasmanian Government Information Security Policy mandate/alignment <input type="checkbox"/> Privacy procedures	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
4.3	Records accessibility must be maintained during and after: System migration Government administrative change Transfer of Custody	<input type="checkbox"/> Procedures for accessing records during system upgrades, media refreshes, migration & decommissioning legacy systems <input type="checkbox"/> Transfer of Custody or Transfer of Ownership documentation that includes TAHO sign-off	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	

Access Records		Evidence / documentation to be submitted prior to audit interview	Has the agency currently developed and implemented the requested evidence? (Yes/No)	Comments
4.4	Access to systems, and the records in them, must be maintained for the required retention periods	<input type="checkbox"/> Permanent records migration plan / strategy which covers hardcopy and digital records <input type="checkbox"/> Digital records preservation / continuity plan	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
4.5	Access provisions must be included in outsourcing documentation.	<input type="checkbox"/> Storage outsourcing contracts and documentation contain access provisions	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	

Dispose of Records		Evidence / documentation to be submitted prior to audit interview	Has the agency currently developed and implemented the requested evidence? (Yes/No)	Comments
5.1	Records disposal must be approved by the State Archivist	(See 5.4 regarding provision of Register of Records Destroyed).		
5.2	The agency must develop and maintain a current approved retention and disposal schedule, covering all unique agency-specific functions	(See 1.3 regarding provision of the number of functional retention & disposal schedule)		

	Dispose of Records	Evidence / documentation to be submitted prior to audit interview	Has the agency currently developed and implemented the requested evidence? (Yes/No)	Comments
5.3	Records destruction must be secure, documented and appropriate to the media	<input type="checkbox"/> Destruction certificates within last two years <input type="checkbox"/> Acceptable destruction procedure (where undertaken in-house) <input type="checkbox"/> Copies of EDRMS destruction reports	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
5.4	The agency must have an active disposal program	<input type="checkbox"/> Register of Records Destroyed for previous year (must be provided for each site / unit if maintained individually) including evidence of approved officer endorsement	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
5.6	Disposal of source records must meet TAHO requirements	<input type="checkbox"/> Scanning procedures (separate Permanent and Temporary) <input type="checkbox"/> Screenshot or visual evidence of scan settings <input type="checkbox"/> If scanning was outsourced, requirements in documentation <input type="checkbox"/> Digitisation plan	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	
5.8	Permanent records must be retained in the agency for no longer than 25 years and then transferred to TAHO (unless exempted).	<input type="checkbox"/> Exemption from transfer documentation from TAHO (if relevant) <input type="checkbox"/> Transfer Procedural documentation	<input type="checkbox"/> Yes (attached) <input type="checkbox"/> No	