IAB

INTERNAL AUDITING

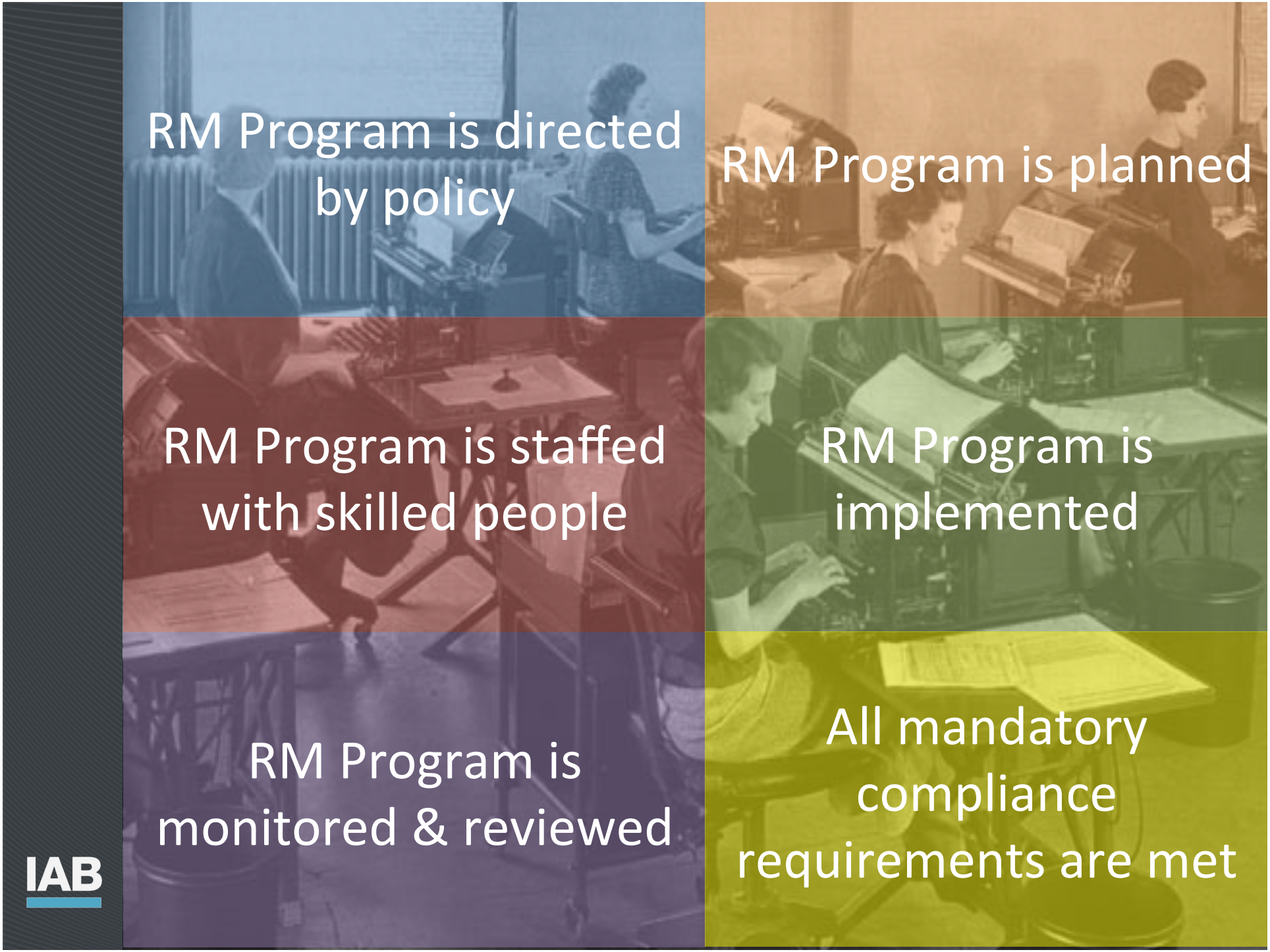
of Records Management Programs

External Auditor Internal Auditor

Whatever

OMG

Compliance against State Records requirements
Compliance against Records Management Program
Records security
Records availability and recovery
Digital records management
Records and data governance
IAB


RM Program is directed by policy
RM Program is planned
RM Program is staffed with skilled people
RM Program is implemented
RM Program is monitored & reviewed
All mandatory compliance requirements are met
IAB

Security over physical storage of records:

1. Authorisation
2. Location & buildings
3. Environmental controls
4. Shelving & packaging
5. Maintenance
6. Identification & control
7. Security

Security over digital storage of records:

1. Network layer controls
2. Server layer controls
3. Database layer controls
4. Application layer controls
5. Endpoint layer controls
6. Anti virus/malware
7. Incident ID & response

ISO 27001 ISMS

IAB

Counter disaster strategies:

1. Risk assessment
2. Planning
3. Vital records protection

Business continuity & ICT recovery plans:

1. Business impact assess't
2. Business continuity plan
3. ICT recovery plan
4. Pandemic response plan
5. Training and exercising
6. Continual improvement

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Std. 8
RIB 26
RIB 59
RIB 52
RIB 58
Guide 24
Std. 10

THANK YOU

Dr. Stephen James
Associate Director NSW IAB

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