

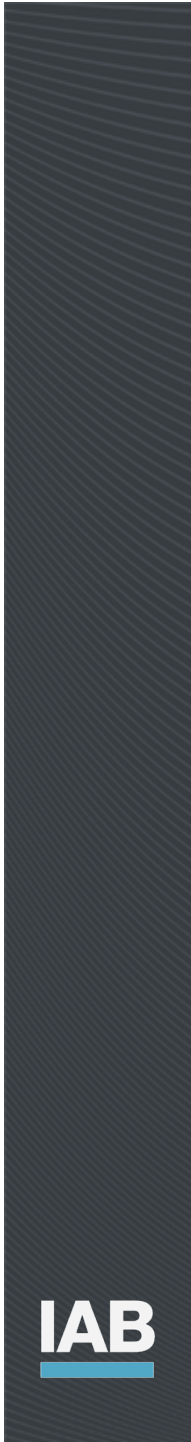
**IAB**

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# INTERNAL AUDITING

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*of Records Management Programs*



**External Auditor**



**Internal Auditor**

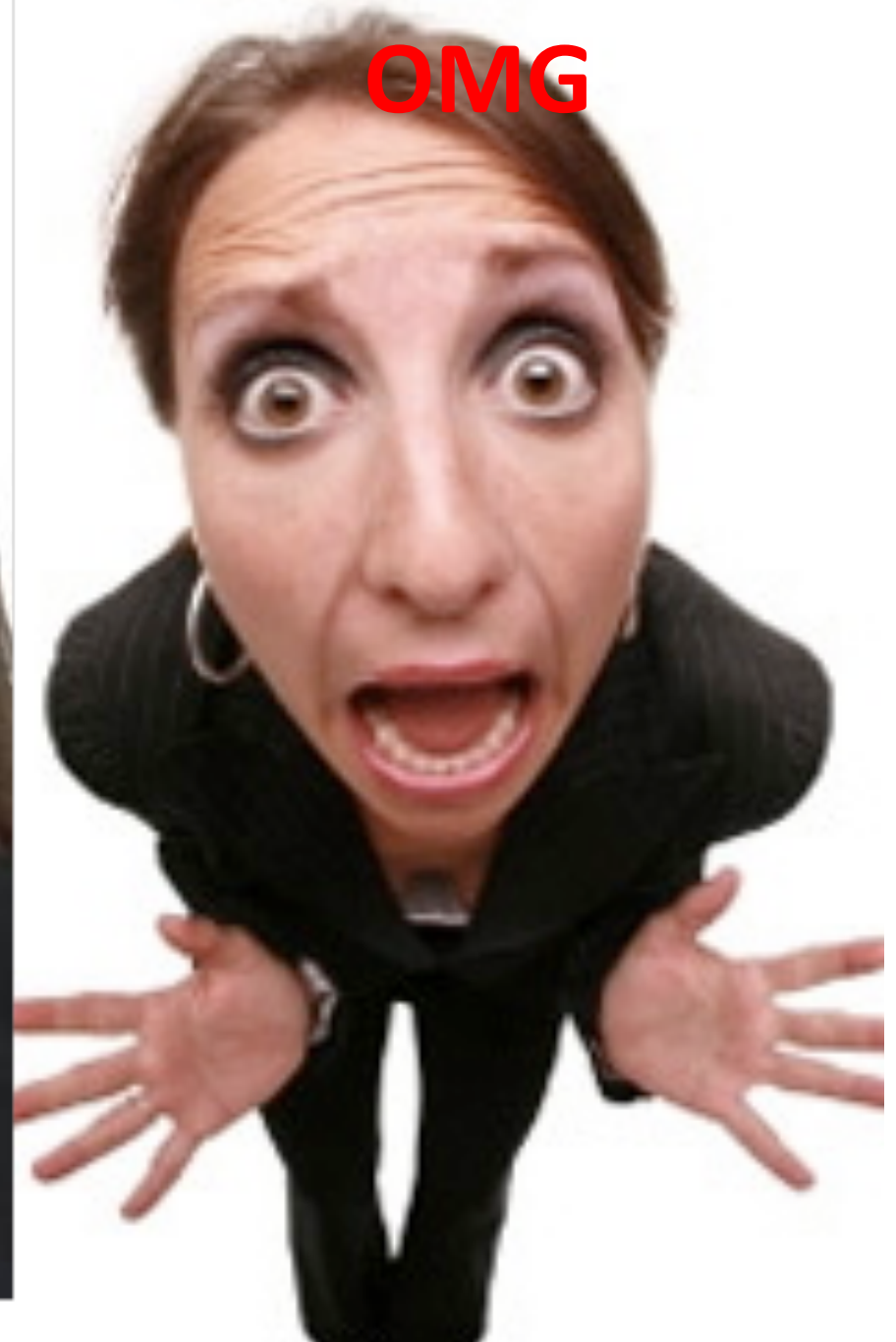





**Whatever**



**OMG**







Compliance against  
State Records  
requirements

Compliance against  
Records Management  
Program

Records security

Records availability  
and recovery

Digital records  
management

Records and data  
governance



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





## 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



A woman is seated at a desk, operating a vintage typewriter. The desk is covered with stacks of papers. In the background, there is a doorway leading to a staircase. On the wall, there are several notices and a calendar. A sign above the doorway reads "AMERICAN FOREST WEEK APRIL 27, 28, 29, 30 and MAY 1, 2, 3". A poster for "COLONIAL PRINTING CO. PRINTING Direct Advertising" is also visible.

## Counter disaster strategies:

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

A woman is seated at a desk in a cluttered office. The desk is covered with stacks of papers and a typewriter. In the background, there are shelves filled with papers and a hanging lamp. The room appears to be a busy office from the early 20th century.

## 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





Std. 8

RIB 26

RIB 59

RIB 52

RIB 58

Guide 24

Std. 10



**THANK YOU**

**Dr. Stephen James**  
**Associate Director NSW IAB**

[www.iab.nsw.gov.au](http://www.iab.nsw.gov.au)  
[youtube.com/iabservices](https://youtube.com/iabservices)

