

Self-Assessment Tool

CRITERIA

People Capability

1. We have a sufficient number of people to process and manage NAIT information	No	Yes
2. We have policies and procedures on training our people	No	Yes
3. We have adequate skills and experience to perform NAIT duties on behalf of our clients	No	Yes
4. We have a plan or process in place to maintain our skill base	No	Yes
5. Our employees tasked with NAIT duties and responsibilities are aware of their obligations under the NAIT Act	No	Yes

Quality Management

6. We have a quality management system, or components that reflect a quality management environment	No	Yes
7. We have a plan to ensure we are regularly monitoring our NAIT obligations	No	Yes
8. We have procedures to undertake internal audits, compliance checks and/or quality assessments	No	Yes

NAIT Data Management

9. We have policies and procedures on data systems and privacy	No	Yes
10. We have a system to ensure the security of all data collected	No	Yes
11. Our NAIT data is held safely and securely	No	Yes
12. Our IT systems and hardcopy practices ensure that private information is adequately protected	No	Yes
13. We collect, hold and use NAIT customer information in accordance with New Zealand law	No	Yes
14. We have a retention policy which states all data entered in the NAIT system must be retained for a period of 3 years and this is followed	No	Yes
15. We transfer data to NAIT accurately, efficiently and securely	No	Yes
16. We meet the NAIT timeframes specified in the Act and the Standards for transfer of data	No	Yes
17. We have a process to identify data upload failures and report it to NAIT within required timeframes	No	Yes
18. We have policies and procedures that describe IT incident resolution processes	No	Yes

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Emergency Planning and Data Management

19. In the event of an emergency, we are able to restore the IT system's capability	No	Yes
20. We have alternative systems to allow continued operation during a failure of the IT system	No	Yes
21. We have a way to communicate with NAIT and our customers during a failure of the IT system	No	Yes
22. We have a system back up and the backup is securely held	No	Yes
23. We have policies and procedures that describe our system back up	No	Yes
24. We have policies and procedures that describe our system recovery process	No	Yes

Business Continuity

25. We have documented business continuity plans for each of our sites	No	Yes
26. The Business Continuity Plan includes the following: <ul style="list-style-type: none"> Restoring system capability without loss of data Operating alternative systems during emergency Communication with the NAIT Organisation about the emergency within 24 hours Communicating with customers about the emergency if required 	No	Yes

Customer Management

27. We have policies and procedures to manage contracts with our NAIT customers	No	Yes
28. We have contracts/agreements with our customers that specify what services we provide relating to NAIT, and any fees associated with these	No	Yes
29. We make sure we only use customer information in accordance with our customer contracts/agreements	No	Yes

Complaints Management

30. We have a customer complaints management policy	No	Yes
31. We maintain a customer complaints register	No	Yes
32. The complaints register includes the following details: <ul style="list-style-type: none"> the nature of the complaint who made the complaint how the complaint was resolved who managed the complaint the date the complaint was received, and the date the complaint was resolved. 	No	Yes

Client Appointment Contracts (Information providers only)

33. We have written agreements with every PICA or their delegate to act on their behalf	No	Yes
34. We have a written agreement with every PICA or their delegate to access their personal data required for NAIT purposes	No	Yes
35. The agreements are clearly presented in a signed contract	No	Yes
36. The agreements are stored securely for a minimum of three years	No	Yes