

RECORDS MANAGEMENT POLICY

Section	Institute Governance and Management		
Approval Date	20.08.2012	Approved by	Directorate
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PURPOSE

The purpose of this policy is to provide a framework and assign responsibilities for ensuring that full and accurate records* of Nelson Marlborough Institute of Technology (NMIT)'s activities are created.

It aims to ensure that these records are managed, classified and maintained for as long as they are required to support the NMIT's functions and accountabilities until their disposal in accordance with the authorised retention and disposal schedule.

* see DEFINITIONS table p.3

SCOPE

This policy applies to all staff of NMIT, whether permanent or temporary, including contractors and volunteers, NMIT-owned subsidiary companies, joint venture companies and trusts.

This policy applies to all business activities performed by, or on behalf of NMIT, in whatever manner they are conducted. This includes all written correspondence, whether paper or electronic, and all spoken transactions, including meetings and telephone calls. Equally, it covers all records of these activities regardless of the media in which they are captured.

All NMIT's practices, systems and procedures pertaining to recordkeeping are to be consistent with this policy.

PRINCIPLES

NMIT records are of sufficient quality to support the purpose of creation whether legal, audit, operational or cultural. All NMIT records must be:

Identified	All information created, collected, received, organised and used by NMIT staff must be assessed to determine whether or not it is a record.
Complete	Records must contain the structural and contextual information necessary to adequately document an NMIT activity.
Authentic	It must be possible to prove that records are what they purport to be. For example, it must be possible to maintain reliable evidence of the date and sometimes the time, author, creator, sender and recipient of a communication. For electronic records, this information will be captured and/or attributed in the recordkeeping metadata.
Reliable	Records must be trusted as an accurate representation of NMIT business activities and transactions carried out.

Secure	Records must be maintained in a manner that prevents unauthorised access, alternation, loss or damage.
Accessible	They must be easily located, retrieved and presented without the loss of content, context or structure. Records must be available to appropriate audiences in accordance with the provisions set out for access under the Public Records Act 2005, Official Information Act 1982, and the Privacy Act 1993

NMIT is subject to a number of Acts of Parliament. It requires the creation and maintenance of full and accurate records that support day-to-day functions and business activities of NMIT.

THE PUBLIC RECORDS ACT 2005

The Public Record Act 2005 states that every public office must:

- Create and maintain full and accurate records of its affairs, in accordance with normal prudent business practice, Part 2 section 17 (1).
- Maintain in an accessible form, so as to be able to be used for subsequent reference, all public records that are in its control, until their disposal is authorised by or under this Act, or another Act, Part 2 section 17 (2).
- No person may dispose of, or authorise disposal of, public records or protected records except with the authority of the Chief Archivist, Part 2 section 18 (1).

THE PRIVACY ACT 1993

The Privacy Act 1993 sets out twelve Information Privacy Principles (IPPs) which form the basis on which all issues of the privacy of personal information are determined. Everyone who has access to the personal information NMIT collects and/or holds must understand and comply with these basic principles.

ELECTRONIC TRANSACTIONS ACT 2002

Electronic Transactions Act 2002 sets out the rules to facilitate the use of email and other electronic technology, both in business and in interaction between government and the public. With some exceptions, information in electronic form is now on the same legal footing as paper-based information. The Act says that information can't be considered to be legally invalid merely because it is in electronic form. This Act also states the legal requirements regarding the process of digitizing original records.

OFFICIAL INFORMATION ACT

The principle of availability underpins the whole Official Information Act (OIA). It is set out in section 5 of the Act:

“Principle of availability – The question whether any official information is to be made available, where that question arises under this Act, shall be determined, except where this Act otherwise expressly requires, in accordance with the purposes of this Act and the principle that the information shall be made available unless there is good reason for withholding it.”

This principle should always be kept in mind when NMIT is considering how best to respond to a request for official information.

EVIDENCE ACT 2006

The purpose of this Act is to help secure the just determination of proceedings by—

- providing for facts to be established by the application of logical rules; and
- providing rules of evidence that recognise the importance of the rights affirmed by the New Zealand Bill of Rights Act 1990; and
- promoting fairness to parties and witnesses; and
- protecting rights of confidentiality and other important public interests; and
- avoiding unjustifiable expense and delay; and
- enhancing access to the law of evidence.

This act also covers general and special rules regarding documentary evidence and evidence produced by machine, device, or technical process.

DEFINITIONS

For the purposes of this policy, the following definitions apply. They are based on the definitions included in *Archives New Zealand Glossary of Archives and Recording Keeping Terms*.

Record/s	Information including a document, a signature, a seal, text, images, sound, speech or data compiled, recorded, or stored – <ul style="list-style-type: none">• In written form in any material; or• On file, negative, tape or other medium; or• By means of any recording device or process, computer or other electronic device or process (Section 4, Public Records Act 2005)	
	Core Records	Records that are common to all public offices – Refer to Archives NZ General Disposal Authorities (GDAs 6 and 7) eg: human resources; financial; general housekeeping (copies; incomplete material, information only, externally sourced material etc); corporate services records.
	Administrative Records	Records common to all other ITPs – Refer to DA424 ITPNZ GDA Disposal Schedule. Any record or other material, in any form, which has been created, received, recorded or legally filed by the administrative and academic offices of NMIT that is related to the management and administrative functions of NMIT. This includes all: <ul style="list-style-type: none">• processes relating to students• teaching and research management• the activities of affiliated organisations. This excludes: <ul style="list-style-type: none">• an individual's records or personal papers that have been created in a private capacity,• copies of documents used for reference,• working papers and published research that are not covered by NMIT Intellectual Property policy.

Archives	Records which are not required for current use but have permanent or continuing value relating to the history and activities of NMIT.	
Business activity	An umbrella term covering all functions, processes, activities and transactions of Nelson Marlborough Institute of Technology and its employees. It excludes activities related to personal research.	
Capture	A deliberate action which results in the registration of a record into NMIT's recordkeeping systems. For certain business activities, this action has been designed into electronic systems so that the capture of records is concurrent with the creation of records.	
DA424 ITPNZ GDA Disposal Schedule	The document that prescribes the length of time that NMIT administrative records are to be retained.	
Disposal	<p>The final decision concerning the fate of records, ie destruction or transfer to archives. This also includes the programme of activities to support transfer such as surveys, scheduling, and records destruction.</p> <p>All NMIT records disposal will be in accordance with the DA424 ITPNZ GDA Disposal Schedule and Archives NZ General Disposal Authorities.</p>	
Electronic records	Any record that is created or stored by digital means. Includes documents, databases, and email.	
GDA	General Disposal Authority Archives New Zealand has four General Disposal Authorities (GDAs) for classes of records common to all public offices, and one GDA for digitised records:	
	Core Records	<ul style="list-style-type: none"> • GDA 6: Common Corporate Services Public Records • GDA 7: Facilitative, Transitory and Short-Term Value Records
	DA424 ITPNZ GDA Disposal Schedule	Is the document that prescribes the length of time that NMIT administrative records are to be retained. General Disposal Authority - IDA424 ITPNZ
Migration	The act of moving records from one system to another, while maintaining the records' authenticity, integrity, reliability and usability.	
NMIT record/s	<p>Any record or other material, in any form, which has been created, received, recorded or legally filed by the administrative and academic offices of NMIT that is related to the, teaching and learning, management and administrative functions of NMIT.</p> <p>This includes all processes relating to students, teaching and research management and the activities of affiliated organisations. This excludes: an individual's records or personal papers that have been created in a private capacity, copies of documents used for reference, working papers and published research that are not covered by NMIT Intellectual Property policy.</p>	
Public records	Records created by a public office, such as NMIT, in the conduct of its affairs. This excludes: special collections and records generated by the academic staff or students of NMIT that are not defined as NMIT records (see definition above).	
Recordkeeping	Making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information.	

Recordkeeping systems	<p>Information systems which capture, maintain and provide access to records over time. NMIT record-keeping systems include the following. A full list of current systems are listed in the Staff Information and Communications Technology (ICT) Use Policy :</p> <ul style="list-style-type: none"> • NMIT's Intranet Site • Student Management Systems <ul style="list-style-type: none"> ○ EBS4 (from 2013) ○ APlus+ (Student assessment and attendance records (2012 - 2014) ○ Artena (2000 – 2013) ○ PIMMS (1989 - 2000) • NMIT-owned filing cabinets and folders • NMIT-owned archive stores <p>NB: Excludes personally owned devices and file storage/databases outside NMIT ownership.</p>
Records Management	The field of management responsible for the systematic control of the creation, maintenance, use and disposition of records.
Taxonomy	A structured scheme of categories in which files are grouped.
ITPNZ Taxonomy Map	A 4 level classification scheme developed by ITPNZ for the naming and classification of NMIT records. ITPNZ GDA Taxonomy v1 - with Classifications
Vital records	Those records without which NMIT could not continue to function.

RESPONSIBILITIES

All staff	<ul style="list-style-type: none"> • Complying with NMIT's documented records management policy and procedures. • Creating full and accurate records of activities, transactions and decisions carried out during the course of daily business activity. • Ensuring such records are maintained by being captured into NMIT's records management systems, and by handling records with care and respect so as not to damage them or compromise their integrity. • Preventing unauthorised access to records. • Ensuring that no records are destroyed or removed unless permitted by a current disposal authority. • Following good practice guidelines for naming records. • Participating in both internal and external records audits as required.
Chief Operating Officer	<ul style="list-style-type: none"> • Ensuring compliance with legislative requirements for recordkeeping, including the Public Records Act. • Authorising the Records Management Policy. • Assigning responsibilities for recordkeeping. • Supporting recordkeeping at NMIT. • Ensuring that NMIT policies support the creation and maintenance of full and accurate records of NMIT's functions and activities. • Ensuring that NMIT's recordkeeping meets best practice guidelines and stands up to external scrutiny. • Ensuring that no illegal records disposal takes place.

NMIT Managers and Team Leaders	<ul style="list-style-type: none"> • Ensuring that staff are aware of NMIT Recordkeeping policies and procedures. • Assigning recordkeeping responsibilities and ensuring that staff know where to go for assistance. • Ensuring appropriate records are created and maintained. • Ensuring that no records are destroyed, altered, sold or transferred without authorisation. • Assigning access restrictions to records where necessary. • Ensuring there is an adequate budget to meet NMIT recordkeeping responsibilities. • Ensuring that the recordkeeping practices meet best practice guidelines and can stand up to external scrutiny.
NMIT Records Manager	<ul style="list-style-type: none"> • Ensuring that NMIT recordkeeping procedures support the aims of this policy. • Ensuring that information about NMIT recordkeeping, policy, systems, and procedures are communicated throughout the Institute. • Ensuring that staff are sufficiently trained and supported in appropriate use of NMIT's recordkeeping systems. • Monitoring and auditing compliance with NMIT's record keeping systems. • Ensuring that no illegal records disposal take place. • Regularly reviewing this policy. • Regularly reviewing procedures to ensure that they are relevant, useful and meet NMIT's needs.

POLICY

NMIT expects that:

- All staff will create and maintain full accurate records of all business activity.
- All public records will be captured into an NMIT recording keeping system.
- Staff may not keep public records in separate, individual filing systems or on their hard-drive.
- Recordkeeping responsibilities should be communicated to contractors, and joint-venture partners by the Manager responsible. Where practicable the relevant records should be stored in an NMIT Recordkeeping System, where this is not practicable access to these records must be available to NMIT. The Manager agree on a process to share or handover electronic and physical records at the conclusion of the contract.
- Materials created by staff members during the normal course of employment at NMIT are the intellectual property of the institute, therefore will be captured in an NMIT recordkeeping system. Also refer to *Intellectual Property*.
- All records will be named and filed in accordance with the NMIT Taxonomy
- Physical files will be kept in the designated areas unless required for specific purposes. The location of physical files will be kept-up-to-date at all times in the central record keeping system.
- No staff member will dispose of public records unless authorised to do so.

- *DA424 ITPNZ GDA Disposal Schedule* has been issued which will be routinely assessed and routinely applied.
- A migration strategy will be instituted. This strategy will identify records of ongoing value and ensure they continue to be accessible over time by migrating them through successive software systems. This will be identified in IT policy and be reflected in ongoing management procedures.
- Vital records identified and particular attention will be paid to their protection. These records will be identified in the NMIT Disaster Preparedness Plan when complete.

REFERENCES

INTERNAL

Intellectual Property
Staff Information and Communications Technology (ICT) Use
Privacy Policy

EXTERNAL

ITPNZ Taxonomy
DA424 ITPNZ GDA Disposal Schedule
Archives NZ General Disposal Authorities (GDAs 6 and 7)
Education Act 1989
Public Records Act 2005
Official Information Act 1982
Privacy Act 1993
Employment Relations Act 2000
Electronic Transactions Act 2002
Evidence Act 2006
Archives New Zealand Continuum Resource Kit (contains standards and best practice advice in the form of guides and fact sheets)