

Records Management Policy

# Audience and scope:

This policy is relevant to all staff. It applies to all records created, received, or maintained in the course of MIT’s business activities. It applies to all records irrespective of format, storage medium or geographic location.

### Document management and control

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| Policy Number | LC4 | Consultation Scope | Chief Executive, Directors and Deans |
| Category | Legal and Contracts | Approval Bodies | Chief Executive |
| Policy Owner | CFO and Director Corporate Services | Review Dates | March 2017 |
| Policy Contact Person | Legal and Contracts Manager |

### Amendment history

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| Version | Effective Date | Created/Reviewed by | Reason for review/Comment |
| 1 | 1 / 12 / 2013 | Stephen Hunt | Regular cyclic review |
| 2 | 26 / 8 / 2015 | Greg Weston / Kara Hiron | Regular cyclic review |
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# Records Management Policy

### Purpose

1.1.1 The purpose of this policy is to establish a recordkeeping framework and assign responsibilities for the consistent and measurable capture and maintenance of records which evidence the business activities of Manukau Institute of Technology (“MIT”). A consistent institute wide approach to the capture of Institute Records conforms to the needs of the business and legislative obligations.

1.1.2 This policy is in accordance with MIT’s obligations pursuant to, though not limited to, the Public Records Act 2005.

### Policy

1.2.1 MIT acknowledges that recordkeeping is a prudent business practice and will establish and manage an effective, up-to-date recordkeeping framework to support complete, accurate, reliable and authentic record capture as evidence of its business activity.

1.2.2 MIT will manage its records efficiently and in a manner that is consistent with its legal obligations including, but not limited to, the Public Records Act 2005.

### Procedures

*Records Management*

1.3.1 MIT will define and introduce an institutional recordkeeping framework which will comprise of an aggregation of policies, procedures, guidelines, disposal authorities, training and other resources and tools to allow for consistent, measurable and compliant records management by MIT.

1.3.2 Records deemed to be Institute Records, must be arranged into a meaningful order such as a Business Classification Scheme. This will allow MIT to locate and retrieve records consistently and when required.

1.3.3 Records must be kept in appropriate storage mitigating unauthorised access and preventing alteration, damage or loss.

1.3.4 MIT will create, maintain and dispose of records in accordance with all known legal obligations and associated mandatory standards and requirements. Public records created by MIT will only be disposed of with explicit authorisation by the Chief Archivist of New Zealand.

1.3.5 All personal information contained in Institute Records must be collected, stored and used in accordance with the provisions of the Privacy Act 1993. Further assistance and guidance may also be sought from MIT’s Privacy Officer.

*Records*

1.3.6 All Institute Records should ideally be:

* *Complete:* In addition to the content of the record, suitable contextual information must exist to document the activity to which the records relate.
* *Reliable:* Records must be trusted to be a true and definitive representation of the business activity being undertaken.
* *Authentic:* It must be possible to gauge whether the record is in fact what it claims to be. For example, a user should be able to confirm the author, version, creation date of a procedural document. For electronic records, authenticity may be confirmed through structural and contextual metadata.
* *Secure:* Records must be maintained so that the chance of unauthorised access is minimised and records cannot be altered, damaged or lost.

*Responsibilities*

1.3.7 Directors and Deans are responsible for ensuring staff (including contractors) are aware of and work to the procedures, standards and systems that comprise the recordkeeping framework.

1.3.8 All MIT staff are responsible for capturing records within the MIT record keeping framework. This includes contractors. It is the individual’s responsibility to understand and adhere to MIT’s policies and procedures relating to records management.

### Evaluation/Outcomes

1.4 Performance against the requirements of this policy will be measured by inclusion in MIT’s audit framework.

# Additional Information

### Glossary

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| Term | Definition |
| **Archives** | Those records which have either been appraised to either have ongoing historic value or as set out in the ITPNZ GDA to be maintained in perpetuity. There is a requirement to transfer records of archival value (those records of significant value to the nation) to Archives New Zealand after a period of 25 years. |
| **Disposal** | In relation to a public record, means:   1. the transfer of control of a record; or 2. the sale, alteration, destruction, or discharge of a record.   (*Public Records Act 2005, Sec 4*).  For the purposes of MIT, disposal would usually refer to the controlled destruction of a record having met its minimum legal retention period set out by applicable disposal authorities that have been authorised by the Chief Archivist of NZ. |
| **Estray record** | A public record, public archive or protected records that has been disposed of otherwise than:   1. in accordance with an authorisation of the Chief Archivist under the Public Records Act 2005; or 2. as required by or under another enactment; but 3. does not include a discharged public record   (*Public Records Act 2005, Sec 4*) |
| **Institute Records** | Records created by MIT as a result of undertaking its normal business activity and which can evidence those activities and there outcomes. |
| **ITPNZ General Disposal Authority (GDA)** | The legal instrument approved by the Chief Archivist of New Zealand that authorises the disposal of public records in accordance with minimum retention periods and actions for the ITP sector. The Retention & Disposal Schedule to the GDA is the approved mechanism that facilitates the application of the GDA. |
| **Metadata** | Data which describes context, content and structure of a record through time enabling discovery, management and authentication of the record. Specifically, recordkeeping metadata can be used to identify, contextualise and validate people, processes and systems that create, maintain and dispose of institutional records. |
| **Offsite storage** | Compliant storage repository other than on campus, where inactive records of value can be maintained through to eventual disposal or archiving. |
| **Public Record** | A *record* created or received by a *public office* in the conduct of its affairs. This includes records declared to be public records by the Governor-General and *estray* records. This does not include special collections (records collected for purposes such as research) or records created by the academic staff or students of a tertiary education institution, unless the records have become part of the records of that institution.  (*Public Records Act, Sec 4*) |
| **Record** | Information, whether in its original form or otherwise, including (without limitation) a *document,* a signature, a seal, text, *images,* sound, speech, or data compiled, recorded, or stored, as the case may be:   1. in written form on any material; or 2. on film, negative, tape, or other medium so as to be capable of being reproduced; or 3. by means of any recording device or process, computer, or other electronic device or process.   (*Public Records Act, Sec 4*) |
| **Recordkeeping framework** | The aggregation of policies, procedures, disposal authorities, training and other resources and tools put in place to allow for a consistent, measurable and compliant records management approach by MIT e.g. TechOne, Offsite Storage facilities, Records Management induction process, Records Management Policy etc. |
| **Vital records** | Authoritative records, which contain essential information necessary for the resumption of operations after a disaster or significant event, and that re-establish the legal, financial and academic status of an institute and determine the rights and obligations of the individual and corporate bodies within it. |

### Exemptions and dispensations

Not applicable.

### Delegations

As per:

* Council’s Register of Permanent Delegations and Authorisations;
* Chief Executive’s Register of Sub Delegation of Council’s Functions and Powers; and
* Chief Executive’s Register of Permanent and Temporary Delegations and Sub Delegations.

### Relevant Legislation

* Public Records Act 2005
* Privacy Act 1993
* Electronic Transactions Act 2002
* Education Act 1989
* Health Act 1956
* Health (Retention of Health Information) Regulations 1996
* Official Information Act 1982

### Legal Compliance

This policy complies with MIT’s statutes, regulations and relevant legislation.

### Associated documents

* [Records](http://archives.govt.nz/s2-storage-standard) Management Standard for the New Zealand Public Sector [Mandatory for Public Offices and Local Authorities]  
  This standard sets minimum requirements for the management of records by public offices (excluding schools) and local authorities.
* [S4: Access Standard](http://archives.govt.nz/s4-access-standard)  
  This standard sets out legislative requirements and guidance on best practices for the provision of access to public archives and local authority archives.
* [S5: Digital Recordkeeping Standard](http://archives.govt.nz/s5-digital-recordkeeping-standard)  
  The Digital Recordkeeping Standard (DRS) establishes principles and good practice requirements for creating and managing records in digital systems, in accordance with the Public Records Act.
* S6 Digitisation Standard [REVOKED - 2013] Replaced by [AS/NZS ISO 13028: 2012, *Information and documentation - Implementation guidelines for digitization of records*](http://archives.govt.nz/advice/guidance-and-standards/guidance-subject/digitisation-toolkit)
* GDA 6: Common Corporate Services Public Records
* GDA 7: Facilitative, Transitory and Short-Term Value Records
* DA424 Institutes of Technology and Polytechnics General Disposal Authority (including Appraisal Report and Retention and Disposal Schedule)