

RECORDS MANAGEMENT POLICY

Category	Governance
Policy Owner	Group Director Risk and Assurance
Last Review	3 April 2023
Next Review	3 April 2028
Approved By	Vice-Chancellor
Effective Date	3 April 2023

1. PURPOSE

The purpose of this policy is to ensure a clear and consistent approach to the creation, management and Disposal of Information, Data and Records, in a manner which supports both organisational activities and legislative compliance.

2. POLICY

The University must:

- Treat Information, Data and Records as critical assets of the organisation;
- Give effect to Te Tiriti o Waitangi and indigenous Data sovereignty in managing Information;
- Create and store Information, Data and Records in appropriate formats and repositories for their sensitivity, value and intended use;
- Maintain Information, Data and Records so that they are accessible, complete and secure for as long as they are required to be kept to support business activity and/or legislative requirements;
- Not dispose of Public Records save in accordance with the Disposal Authority or other legislative instrument;
- Provide Information management frameworks that satisfy industry codes and ensure the University's compliance with all relevant legislation, including the Public Records Act 2005 (**PRA**);
- Provide appropriate systems, equipment and tools to enable compliance by University Staff with the requirements of this policy; and
- Provide relevant training and assistance to Staff to improve knowledge and skills in Information management and to minimise risks to Public Records.

All Records created by or for the University are the property of the University and not of the individual members of Staff who created or received them.

Roles and Responsibilities

The Vice-Chancellor is responsible for the University's compliance with the PRA.

The Executive Sponsor is responsible for strategic oversight of Information and Records management at the University including (but not limited to):

- Ensuring the development and implementation of an Information, Data and Records management programme;
- Identifying what Information, Data and Records are important to Māori; and
- Ensuring that policy and procedures exist to prevent unauthorised Disposal of Records.

All managers are responsible for ensuring Staff under their purview are aware of and follow this policy, along with the associated procedures, including but not limited to:

- Identifying Staff requiring Records management training (including contractors and fixed-term employees);
- Ensuring staff are enabled to give effect to Te Tiriti o Waitangi;
- Fostering a culture that promotes good Information and Record management practices; and
- Ensuring appropriate resources (time and people) are allocated to Information and Records management.

All University Staff must:

- Understand and comply with this policy and associated procedures;
- Create full and accurate Records of activities, transactions and decisions carried out in the course of daily business activity;
- Protect and store all Records in approved University Record keeping repositories;
- Ensure that access to and distribution of Information and Records are appropriate to the nature, value and intended use of the documents;
- Ensure hapū and Māori communities have access to mātauranga, kōrero tuku iho or taonga specific to that hapū or community;
- Notify the Executive Sponsor if any Public Records identified as high value or high risk (according to the University's Information asset register) have been lost; and
- Ensure Public Records are not destroyed or removed other than in accordance with a current Disposal Authority or other legislative requirement.

3. DEFINITIONS

Data:	a general term meaning facts, numbers, letters, and symbols collected and processed to produce information.
Disposal:	refers to the transfer of control of or the sale, alteration, destruction or discharge of a Record.
Disposal Authority:	refers to the Disposal Authority for University Public Records at that time in force, including such extensions to the minimum periods as may be approved by the University, and/or Archives New Zealand.
Executive Sponsor:	refers to the University's first point of contact for Archives New Zealand and is currently the Group Director Risk and Assurance.
Information:	is created and managed by members of the University community in the conduct of the business of the University. Much of the Information created will be evidence of business activity and functions of the University, and therefore, is a Record.
Public Record(s):	refers to a University Record that is subject to the requirements of the PRA but excludes academic research Data, University special collections, teaching materials and materials created by students are not public records.
PRA:	refers to the Public Records Act 2005 and includes any amendments or replacement statute and secondary legislation.

Record(s):	refers to Information or Data created, received and maintained as evidence and Information in pursuance of legal obligations or in the transaction of an organisation.
Staff:	means University employees whether permanent, fixed term or temporary and includes contractors, secondees, interns and others who form part of the University's workforce from time to time or perform some of its activities or functions.
University:	means Auckland University of Technology and includes any entities in which the University has an ownership stake of 50% or more.

4. SCOPE

This policy applies to:

- All University Staff and all persons granted access to University Data, Information and Records whether as a result of a partnership, contract or other arrangement; and
- All Information and Records, including metadata, created by or for the University in any format, including but not limited to paper and digital.

5. LEGISLATION AND COMPLIANCE

The University shall comply with all applicable New Zealand laws, legislation and regulations.

See also the Register of Key Legislation and specifically:

[Public Records Act 2005](#)
[Archives New Zealand Information Management Standard](#)
[Privacy Act 2020](#)
[Official Information Act 1982](#)
[Contract and Commercial Law Act 2017](#)
[Evidence Act 2006](#)
[Local Government Official Information and Meetings Act 1987](#)
[Protected Disclosures \(Protection of Whistleblowers\) Act 2022](#)

6. RELATED PROCEDURES AND DOCUMENTS

[Information and Communication Technology Policy](#)
[Information and Communication Technology Procedures](#)
 Information Sensitivity Guideline
 AUTECH Procedures and Guidelines
 DIGG Information Management Framework
 Research Data Management page

Policies and Procedures can be found on [TUIA](#).

7. DOCUMENT MANAGEMENT AND CONTROL

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