

Controlled Document – refer to Intranet for latest version

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Purpose

The purpose of this policy is to provide a framework and to assign responsibilities for ensuring that full and accurate records of the business activities of UCOL are created and managed appropriately.

It aims to ensure that these records are managed and maintained, made accessible, stored and disposed of, in a manner that ensures that they meet business and legislative requirements.

Scope

This is a UCOL-wide policy. It applies to:

- All staff of UCOL, including full and part-time permanent, temporary and contracting staff, council members and volunteers. This includes staff of affiliated organisations including its business enterprises.
- All business functions and activities, both academic and corporate, except the following :
 - academic lecturing work created by employees and academic work created by students of UCOL, unless the work has become part of the records of UCOL (s.4 Public Records Act 2005);
- All records regardless of media, created and received by UCOL in the conduct of its business. This includes, but is not limited to: emails, correspondence, faxes, text messages, databases, spreadsheets, recordings, photographs, websites, social media sites, reports and all spoken information including meetings and telephone calls.
- All records created and received regardless of the physical location of the working environment, be this on UCOL premises, at home or offsite.

Recordkeeping principles

Underpinning good business practice is a set of six principles (listed below) governing the way information and records are to be managed and used by UCOL:

Principle 1: UCOL's records are a strategic asset.

Principle 2: Records created and received by UCOL will be equitably available and accessible unless explicit reasons preclude this.

Principle 3: The recordkeeping policy and associated procedures will apply irrespective of format and storage media.

Principle 4: Reliable and accurate records will be created which can be trusted as an accurate representation of UCOL business activities and transactions carried out.

Principle 5: Records will be well managed and maintained to a sufficient quality to meet the requirements of the regulatory framework and support business requirements.

Principle 6: Records should be collected or created once into a prime authoritative data source, then used many times.

Definitions

For the purposes of this policy, the following definitions apply:

Term	Definition
Archives	Those records, no longer required for current use, but with permanent or continuing value relating to the history and activities of UCOL.
Business activity	An umbrella term covering all functions, processes, activities and transactions of UCOL and its employees.
Capture	A deliberate action, which results in the registration of a record into UCOL's recordkeeping system/s.
Creation and maintenance	The process and act of creating records that are accurate, authoritative and reliable, and managing these records overtime in a way that ensures their accessibility and usability for as long as it is necessary to meet legal obligations and business requirements.
Disposal	The final decision concerning the fate of a record, i.e. destruction, transfer to archives or permanent retention.
Disposal authority	A formal authorisation issued by the Chief Archivist under the Public Records Act which provides UCOL the authority to dispose of records.
Hazard	Inanimate threat to records such as environmental threats e.g. flooding, inadequate shelving.
Migration	The act of moving records from one system to another, while maintaining the records' authenticity, integrity, reliability and usability.
Pest	Animate threat to records such as rodents and insects.
Record	Information created, received and maintained as evidence and information by an organisation or person in pursuance of legal obligations or in the transaction of business (ISO 15-489-1:2001).
Record keeping	The creation and maintenance of complete, accurate and reliable evidence of business transactions in the form of recorded information. (AS 4390:1996).
Recordkeeping systems	Approved information systems which capture, maintain and provide access to records over time.
Records management	The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records. (ISO 15-489-1:2001).
Vital records	Those records that are essential for the ongoing business of UCOL and without which the organization could not continue to function effectively.

Roles and Responsibilities

The table below outlines the expectations of UCOL with regard to recordkeeping roles and responsibilities.

Position	Responsibilities
Chief Executive Officer	<ul style="list-style-type: none"> • Authorising the Recordkeeping Policy • Ensuring recordkeeping is sufficiently supported • Assigning responsibilities for recordkeeping • Ensuring compliance with legislative requirements for recordkeeping, including the Public Records Act • Championing high quality information and records management • Ensuring that UCOL creates records of its affairs in accordance with policy requirements • Ensuring that policy exists to prevent unauthorised disposal of records • Ensuring compliance with UCOL Recordkeeping Policy • Ensuring that continuous improvement of recordkeeping at UCOL results in staff working towards meeting best practice guidelines which will eventually stand up to external scrutiny
All UCOL managers and team leaders	<ul style="list-style-type: none"> • Ensuring that staff are aware of UCOL's recordkeeping policy and procedures • Ensuring all new staff receive information/records management induction and training • Championing high quality information and records management • Monitoring staff understanding of and compliance with the UCOL Recordkeeping Policy and associated procedures • Ensuring appropriate recordkeeping practices are implemented in their teams • Supporting and fostering a culture that promotes good recordkeeping practices • Ensuring there is an adequate budget to meet UCOL recordkeeping responsibilities • Ensuring that the recordkeeping practices meet best practice guidelines and can stand up to external scrutiny • Ensuring the security of records when employees leave the organisation
All UCOL staff	<ul style="list-style-type: none"> • Understanding and complying with UCOL's recordkeeping policy and procedures • Creating a full and accurate record of activities, transactions and decisions carried out during the course of business activities • Ensuring that records are maintained by being captured into UCOL recordkeeping systems, rather than in personal systems, and making sure records are filed accurately

	<ul style="list-style-type: none"> • Ensuring that confidential or sensitive information is protected from unauthorised access • Request assistance/clarification of any records management process/practice as required • Ensuring the release of information, where appropriate • Prevent illegal disposal in line with the approved records disposal authority
Contractors/ temporary staff	<ul style="list-style-type: none"> • Must adhere to the Recordkeeping Policy and associated procedures as if they were permanent staff
Corporate Systems	<ul style="list-style-type: none"> • Business owner of the Recordkeeping Policy • Monitoring and auditing compliance with UCOL's Recordkeeping Policy • Ensuring all new staff receive information/records management induction and training • Ensuring that information about UCOL recordkeeping policy, systems and procedures are communicated throughout the organisation • Ensuring that staff receive training, guidance and advice in using UCOL recordkeeping systems

Policy Statements

The statements made below outline UCOL position on how records and information should be managed.

Creation, management and disposal of records

- Full and accurate records must be created and maintained by all UCOL departments to support the administrative, fiscal, legal and business requirements necessary to document a transaction.
- Records must be:
 - in an accessible form for future reference;
 - adequate for the purposes for which they are kept;
 - authentic and provide evidence of activity, including content, context and structure; and
 - legible, readily identifiable and retrievable.
- All records will be identified and captured into UCOL's recordkeeping system/s and appropriately organised and described.
- The retention and disposal of records must be undertaken in accordance with the relevant disposal authority issued by Archives New Zealand – no member of staff will dispose of records unless authorised to do so.
- Disposal of records must be documented to ensure justification and accountability of disposal actions and for future reference.
- Where information is obtained in a media that makes it difficult to retain, the content of the information must be created in another storage media to enable easy retrieval. For example, with a text message or phone conversation in which decisions are made, a file note or other form of information capture is required.

Information sharing, security and access

- Records must be securely stored and maintained to adequately protect against unauthorised access, alteration, loss or damage, environmental hazards and pests.
- All records containing confidential or private material will be handled in accordance with the relevant legislation.
- A migration strategy will be instituted. This strategy will identify records of on-going value and ensure they continue to be accessible over time.
- Vital records will be identified and managed in a secure and protected way.
- Records must be available to appropriate audiences in accordance with the provisions of the regulatory framework.

Information use

- Records will be used with care and respect so as not to damage them or compromise their integrity.
- UCOL's recordkeeping systems should not be used to store or manage personal records which do not have corporate value.
- Records (both physical and digital) are the property of UCOL and therefore no copies of UCOL's records shall be made for personal use unless authorised by the Executive Manager Corporate or the Chief Executive. This also applies to instances whereby an employee is exiting the organisation, i.e. no records of UCOL (physical or digital (including emails)) shall be taken with the employee or deleted/destroyed by the employee prior to their departure without the prior permission of the Executive Manager Corporate or Chief Executive.
- UCOL has the right, at any time and for any reason (including no reason) to require return of devices that hold information (i.e. software, hardware, files, digital files) on no notice at all for monitoring/checking/backing up to preserve official information and to check compliance with policies and obligations.

Information Ownership

- All records created and received by staff in the course of carrying out UCOL's business are the physical and intellectual property of UCOL, not individual staff members, business units or contractors.

Legislative Framework

UCOL is accountable for the conduct of its business as evidenced in the records of its business activities and transactions. UCOL is subject to both legislative and regulatory requirements including, but not limited to:

Legislation

- Public Records Act 2005
- Official Information Act 1982
- Education Act 1989
- Financial Transactions Reporting Act 1993
- Electronic Transactions Act 2002
- Employment Relations Act 2000
- Privacy Act 1993
- Copyright Act 1994
- Evidence Act 2006

- Tax Administration Act 1994
- Financial Reporting Act 1993
- Education Act 1989

Standards and codes

- International Standard on Records Management, ISO 15489
- Archives New Zealand *Continuum Tāhūhū te hanga me te tiaki* publications and mandatory standards
- Health Information Privacy Code
- NZS 8153 Health records
- NZS 8165:2005 Rooms/Office-based Surgery and Procedures

Related documentation

- Recordkeeping Procedure documents (under development)
- UCOL Recordkeeping Requirements for External Contractors

Monitoring and review

This policy and accompanying procedures will be reviewed annually in line with the Quality Assurance audits or whenever a significant change or event necessitates review.

Staff compliance with the policy and accompanying procedures will be monitored through staff self-assessment, by managers with responsibilities for staff and by Corporate Systems.