

Information and Records Management

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Major changes/additions since the last version was approved are indicated by a vertical line in the left hand margin.

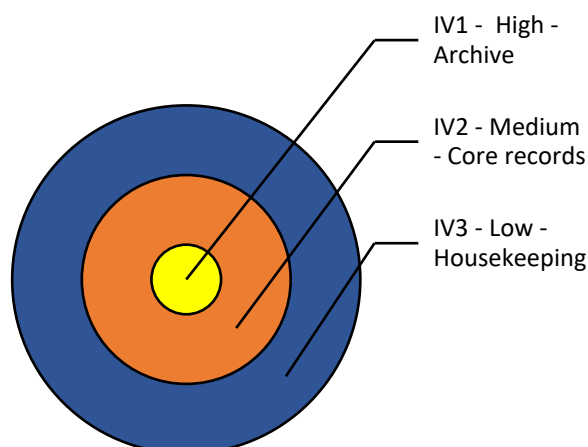
1 Introduction

Information and records are key strategic assets at the core of Ara business, accountability and assurance practices. The relationship that staff have with information from its creation through to its disposal is part of the information culture of Ara. As part of that culture, Ara is committed to developing, implementing and maintaining best practices for information and records management in order to provide a consistent all-of-business approach where information is valued as an asset.

This approach integrates the management of information and records into system development and the day-to-day workflows of all staff to meet business, stakeholder and cultural needs, whilst also meeting information assurance requirements around compliance, governance and risk management.

At Ara, information and records are managed using a values-based model which supports the retention and disposal of information and records according to Public Records Act requirements. This model also facilitates the development of information management platforms such as SharePoint and Office 365.

The model consists of three core information values (IV), which correspond to retention and disposal outcomes.



1.1 Purpose

The Information and Records Management Policy establishes the principles of information and records management for Ara and the associated policy implementation guide CPP114a outlines requirements and responsibilities for staff. The policy supports the establishment of a consistent and coordinated approach to information and records management that effectively and efficiently supports the business of Ara, through the development of a strong information culture.

Together the policy and implementation guide support the creation, usability, and sustainability of Ara information and records and their management as assets. Adherence to the policy and implementation guide ensures that full and accurate records of Ara business decisions and transactions are created and managed appropriately over time to maximise access to business critical information, improve process efficiency and reduce risk to the organisation.

1.2 Scope and Application

This is an Ara-wide policy. It applies to:

- a All staff at Ara, including full and part-time permanent, temporary and contracting staff
- b All business functions and activities of Ara, including those performed by outside contractors
- c All physical and digital information and records, regardless of format or media, created, received and managed by Ara in the conduct of its business by staff and affiliated organisations or businesses. Note: emails, data, datasets and content created and managed in Office 365 are forms of digital record
- d All metadata associated with digital information, including data held in corporate information systems and content management systems.

1.3 Formal Delegations

The Manager, Information and Records has delegated authority from the CE to dispose of Ara records and to sign Archives New Zealand documentation.

1.4 Definitions¹

- a **Access:** The availability of records / archives for consultation as a result of both legal authorisation and the existence of finding aids
- b **Archive:** Record that is of permanent value and transferred to Archives New Zealand; repository housing archives
- c **Archives New Zealand:** Department of Internal Affairs division that administers the Public Records Act 2005
- d **Business Classification Scheme (BCS):** Classification based upon the business functions and activities of Ara which generate records of evidential value
- e **Business decision:** Decision conducted in the line of business which generates a record
- f **Business rule:** Rules established by Ara to ensure that business needs are met and consistent records management practice is implemented, particularly used when information and records are not governed by Archives New Zealand approved disposal authorities
- g **Chief Archivist:** Statutory role responsible for administering the Public Records Act and Archives New Zealand; grants formal authority to dispose of records via disposal authorities

¹ Definitions are based on those published by Archives New Zealand. Archives New Zealand definitions are largely sourced from local and international standards organisations. <http://records.archives.govt.nz/assets/Guidance-new-standard/Key-definitions-16-F17.pdf> [accessed 02/10/2017]

- h **Corporate Information System:** ICT solutions that create, store, manage and provide access to electronic data, information or records. They include either line-of-business systems or shared repositories including content management systems (see Shared repository)
- i **Creation and maintenance:** The process and act of creating records that are accurate, authoritative, and reliable; and managing these records over time in a way that ensures their accessibility and usability for as long as it is necessary to meet legal obligations and business requirements
- j **Data:** A general term meaning facts, numbers, letters and symbols collected by various means and processed to produce information
- k **Destruction:** Disposal outcome where records are securely destroyed. For paper records that means using secure destruction bins; for electronic records or data it means permanent deletion i.e. the information is not retrievable
- l **Digital record:** A record on digital storage media, produced, communicated, maintained and/or accessed by means of digital equipment
- m **Disposal:** Process of implementing a records disposal authority with disposal outcomes of destruction, archiving or permanent retention
- n **Disposal Authority (DA):** Formal authority granted to Ara by the Chief Archivist to dispose of records
- o **Disposal framework:** Collated documentation and processes controlling records disposal at Ara
- p **Executive Sponsor:** Person within an organisation who is assigned strategic and managerial responsibility for the oversight of information and records management
- q **General Disposal Authority (GDA):** Disposal authorities granted by the Chief Archivist for use by multiple agencies
- r **Government loans process:** Process whereby Ara records transferred to Archives New Zealand may be requested for use at Ara
- s **Hazard:** Inanimate threat to records such as environmental threats e.g. flooding, inadequate shelving
- t **Information:** Data that has been processed into a meaningful form
- u **Information asset:** A body of information and/or records that can be defined and managed as a single unit so it can be understood, shared, protected and exploited effectively
- v **Information asset register:** Register to document and manage Ara information assets and the risks to them
- w **Information assurance:** The practice of assuring information and managing risks related to the use, processing, storage, and transmission of information or data and the systems and processes used for those purposes. It includes protection of integrity, availability, authenticity, non-repudiation and confidentiality of the data. It uses physical, technical and administrative controls to accomplish these tasks²
- x **Metadata:** Structured information that describes and/or allows for finding, managing, controlling, understanding or preserving other information over time. Examples of metadata in a physical record keeping environment include the name, file number, date

² https://en.wikipedia.org/wiki/Information_assurance [accessed 29 November 2017]

range and author written on its cover. Examples of metadata in an electronic recordkeeping environment include unique identifier, document properties, dedicated encoding schemes, and other sources of controlled information describing individual files or aggregations of files such as folders

- y **Operating environment:** Digital, physical and hybrid platforms, systems and processes where creation, capture, management and disposal of information and records, data and metadata occur
- z **Permanent retention:** Disposal outcome where records are permanently housed at Ara
- aa **Pest:** A natural threat to records such as rodents and insects e.g. silverfish
- bb **Portable storage device:** An external drive designed to hold any kind of digital data e.g. USB, pen drive
- cc **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. Records can exist in any format (text, email, sound, speech, compiled data etc.) and in any media (film, negative, tape, CD, electronic devices and systems)[see ISO15489]
- dd **Records Centre:** Records storage facility managed by the Information and Records Management Office to store records that meet accession criteria and to process records for disposal and storage both offsite and onsite
- ee **Recordkeeping Framework:** Framework that outlines elements of a records management programme that support good recordkeeping practice
- ff **Shared repository:** A repository, platform, system or drive where electronic records are managed and stored and are accessible to all appropriately authorised staff e.g. Shared drive, SharePoint, Te Kete
- gg **Storage:** Function of storing records for future retrieval and use
- hh **Transaction:** Record that provides evidence of a business activity
- ii **Version control:** A process that allows for the precise placing of individual versions of a document within a continuum.

<p>Related Ara Procedures</p> <ul style="list-style-type: none"> • CPP114a Information and Records Management – Policy Implementation Guide (attached to this policy) • CPP121a-f ICT Standards 	<p>Related Ara Policies</p> <ul style="list-style-type: none"> • CPP106 Intellectual Property • CPP109 Disclosing Personal Information about Students and Staff • CPP110 Legislative Compliance • CPP121 ICT Security
<p>Related Legislation or Other Documentation</p> <ul style="list-style-type: none"> • Public Records Act 2005 (PRA) 	<p>Good Practice Guidelines</p> <ul style="list-style-type: none"> • CPP114a Information and Records Management – Policy Implementation Guide (attached to this policy)
<p>References</p> <ul style="list-style-type: none"> • Archives New Zealand, Information and records management standard, July 2016 http://records.archives.govt.nz/assets/Guidance-new-standard/16-S1-Information-and-records-management-standard-Pdf.pdf (accessed 02 October 2017) • Archives New Zealand, Implementation guide – Information and records management standard, August 2017 http://records.archives.govt.nz/assets/Guidance-new-standard/16-G8-Implementation-guide.pdf (accessed 02 October 2017) 	

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- Archives New Zealand, Records Toolkit, Resources and Guides, <http://records.archives.govt.nz/resources-and-guides/> (accessed 16 October 2017)
- Archives New Zealand, Glossary Definitions Full List, <http://records.archives.govt.nz/assets/Guidance-new-standard/Key-definitions-16-F17.pdf> (accessed 02 October 2017)

Notes

May 2018: The policy has been updated to reflect the changes in mandatory Information and Records Management Standards and to support development of Enterprise Information Management at Ara. The policy recognises a shift towards information asset management and information assurance, which provides a more holistic approach to the development of a strong information culture at Ara.

See CPP114a for details on implementing the Information and Records Management policy

2 Principles

2.1 Overview

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

- Public Records Act 2005 (PRA)
- Privacy Act 1993
- Official Information Act 1982
- Contract and Commercial Law Act 2017 (CCLA)
- Copyright Act 1994
- Evidence Act 2006
- Tax Administration Act 1994
- Financial Reporting Act 1993
- Education Act 1989

2.2 Information Assurance

Principle 1 Compliance

Ara will comply with information and records management legislation and regulatory requirements

This policy and its associated implementation guide integrate the principles and requirements of the mandatory Information and Records Management Standard and its implementation guide as published by Archives New Zealand and mandated by the Public Records Act. The Information and Records Management standard sets the framework for information and records compliance in Public Offices, including Ara.

The PRA and its supporting standard recognise the evidential value of accurate, authoritative information and records created, maintained and disposed in a controlled manner. This policy and its associated implementation guide establish the information and records management practice and tools required by Ara to achieve compliance.

Compliance is measured via the Public Records Act audit process. This external monitoring relates Ara compliance to Parliament. Internal compliance monitoring is undertaken by the Manager, Information and Records and is reported to the Executive Sponsor.

Key measures of the compliance capability of Ara are the ability to provide evidence of information and records management best practice across all operating environments – physical and digital; and the ability to provide records in accordance with legislative and regulatory requirements, in particular the Public Records Act 2005 (PRA) and Official Information Act (1982).

Principle 2 Risk Management

Comprehensive information and records management will support risk management at Ara

Good information and records management practice mitigates risk by reducing the likelihood that Ara is compromised by inappropriate or inadvertent release, loss or disposal of information and records.

Risk is mitigated when Ara is able to provide internal and external stakeholders with access to its information and records when appropriate and/or legally required.

Management, control and access to information and records across all physical and digital operating environments is necessary to ensure effective decision-making that maintains and protects the rights and entitlements of Ara.

Management of information and records from creation to disposition follows a relative values model that reflects the value of the information to the business and the broader context of requirements under the Public Records Act and the corollary disposal outcomes.

2.3 Good Business Practice

Principle 3- Creation and Management

Ara will create and manage information and records over time to support good business practice

The creation and management of accurate and reliable information and records across all physical and digital operating environments enables Ara to function efficiently and effectively. Creating and maintaining records protects the rights and entitlements of Ara, its staff and students.

Physical and digital operating environments must provide appropriate and managed storage solutions for the full life cycle of the information and records. This ensures evidence of information and record authenticity and integrity is maintained and discoverable.

Ara is accountable for its business decisions, transactions and operations and must be able to provide evidence of its business conduct to meet internal and external stakeholder expectations.

Management of information and records includes the routine, regular and authorised disposal of records.

3 Associated procedures for Ara Corporate Policy on: Information and Records Management

Contents: 3.1 Overview – CPP114a Information and Records Management – Policy Implementation Guide

3.1 Overview – CPP114a Information and Records Management – Policy Implementation Guide

- a The accompanying Information and Records Management – Policy Implementation Guide (CPP114a) provides staff with actions and activities to deliver the principles of CPP114. Activities, actions and processes described in Figures 1, 3 and section 4 of CPP114a are mandatory and directly contribute to Ara good business practice and Public Records Act compliance levels. This also fits a model of shared responsibility for information and records management and a broader culture of accountability across Ara.

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- b The Guide interprets the principles and minimum compliance requirements of the mandatory Archives New Zealand Information and Records Management Standard 16/S1 and associated Implementation Guide 16/G8 for an Ara operational environment. It likewise reflects Archives New Zealand's shift to a more regulatory model and the emphasis they are placing in their published guidance on digital information and records management.