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INFORMATION AND RECORDS MANAGEMENT POLICY

Section	Institute Governance and Management		
Approval Date	28.10.2021	Approved by	Executive Team
Next Review	20.09.2023	Responsibility	Executive Director: Finance and Campus Services
Last Reviewed	20.09.2021	Key Evaluation Question	6

PURPOSE

To provide a framework and associated responsibilities for the management of all information and records created or received as part of NMIT’s business activities. NMIT is committed to managing its information and records to ensure identified records are authentic, reliable, secure and accessible and managed to a standard of best practice to meet NMIT’s business functions and legislative accountabilities.

This policy supports NMIT’s values, strategic outcomes and critical enablers through its principles for the effective management, use and dissemination of information as a vital strategic resource.

SCOPE

This policy applies to all employees, contract for service (CFS) individuals, contractors, sub-contractors, partners/joint ventures, trusts, consultants and volunteers (collectively referred to as staff in this policy).

It covers all information and records generated or received as part of NMIT business, regardless of format.

All NMIT practices, systems and procedures involving information and records are to be consistent with this policy.

PRINCIPLES

Information ownership: All information created or received as part of NMIT activities belongs to NMIT, regardless of format, source or location and must be stored on NMIT information systems.

Information is a valued asset: Information is managed as a vital strategic resource for NMIT and all information assets must be available, complete and usable in order to realise their full value.

Information integrity: NMIT information and records must be of sufficient quality to support the purpose of creation whether legal, audit, operational or cultural. All NMIT records must be trusted as an accurate representation of NMIT business activities, decisions, actions and transactions.

Privacy and confidentiality: Information which has legal, commercial or personal sensitivity must be protected from unauthorised access in accordance with the Privacy Act 2020 and other relevant legislation.

Information access: An open and transparent approach to information and records management allows staff to access all information they are authorised to see and systems are designed to protect against loss, unauthorised access and modification.

Te Tiriti o Waitangi: NMIT is committed to the principles of the Treaty of Waitangi and supports the right of Māori to access, use and reuse information and records held by NMIT that are important to Māori.

Retention and disposal: Information must be retained and properly preserved in an accessible format only as long as required for business needs or in accordance with legislation.

DEFINITIONS

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

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 (PRA, Pt 1, s.4.) 	
	Common Corporate Records	Records common to all public offices covering functions such as human resources, finance, communications and property.
	Core Business Records	<p>Records common to all ITPs that relate to their core primary business functions, duties and responsibilities.</p> <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 related to the management and administrative functions of NMIT.</p> <p>This includes all:</p> <ul style="list-style-type: none"> • processes relating to students • teaching and research management • activities of affiliated organisations. <p>This excludes:</p> <ul style="list-style-type: none"> • an individual's records or personal papers created in a private capacity • copies of documents used for reference • working papers and published research not covered by NMIT's 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	A term covering all the functions, processes, activities and transactions of NMIT and its staff. It excludes activities related to personal research.
Capture	A deliberate action which results in the registration of a record into NMIT's information systems. For certain business activities, this action is designed as part of a system so that the capture of records is concurrent with the creation of records.
Disposal Authority	A schedule of classes of records specifying how long each class of records should be retained. Disposal authorities are either issued or approved by Archives NZ and assigned a Disposal Authority number.

DA424 ITPNZ Disposal Authority	The sector-wide disposal authority which covers all core hard-copy and electronic records generated by Institutes of Technology and Polytechnics in New Zealand (ITPNZ). The document prescribes the length of time records relating to NMIT's core business functions, duties and responsibilities are to be retained.
Electronic record	Any record that is created or stored by digital means including documents, databases and email.
General Disposal Authority	Archives New Zealand issues General Disposal Authorities (GDA) for the retention and disposal of classes of records common to all public offices. GDA 6 does not cover records relating to NMIT's core business functions, duties and responsibilities. <ul style="list-style-type: none"> • GDA 6: Common Corporate Public Records • GDA 7: Facilitative, Transitory and Short-Term Value Records
Information and Records Management	The field of management responsible for the systematic control of the creation, maintenance, use and disposition of records.
Information systems	Business information systems capture, maintain and provide access to records over time. A full list of current systems can be found in the IT Acceptable Use policy. NMIT information systems include both digital and physical records and exclude personally owned devices and file storage/databases outside NMIT ownership.
Migration	The act of moving records from one system to another, while maintaining the records' authenticity, integrity, reliability and usability.
Public records	Records created by NMIT in the conduct of its affairs, excluding special collections and records generated by academic staff or students of NMIT that are not defined as NMIT records.
Sentencing	The final decision concerning the retention or disposal of records, i.e. destruction or transfer to archives. This also includes the programme of activities to support sentencing such as surveys, scheduling and records destruction. All NMIT records disposal must be in accordance with DA424 ITPNZ Disposal Authority and Archives NZ General Disposal Authorities.
Taxonomy	A structured scheme of categories in which files are grouped.
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 information 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.
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	<ul style="list-style-type: none"> • Participating in both internal and external records audits as required.
Chief Executive	<ul style="list-style-type: none"> • Ensuring information and records management meets business and legislative requirements. • Assigning responsibilities for information and records. • Ensuring adequate resourcing is provided for information and records management. • Ensuring NMIT policies support the creation and maintenance of full and accurate records of NMIT's functions and activities. • Ensuring that NMIT's information and records management meets best practice guidelines.
Executive Sponsor	<ul style="list-style-type: none"> • Ensuring NMIT's strategy and policy support information and records management. • Ensuring information and records management are aligned with NMIT's strategic objectives and business activities. • Liaising with managers to ensure that information and records management is integrated into work processes, systems and services. • Overseeing information and records management budget allocation to ensure information and records resources are known and sought in funding decisions. • Ensuring information and records management staff have appropriate skills to implement strategies, and regular upskilling is available. • Monitoring and reviewing information and records management practices to ensure these activities are implemented, transparent and meet business needs. • Responding to monitoring and reporting requests from Archives New Zealand.
Executive Team and Managers	<ul style="list-style-type: none"> • Approving the Information and Records Management Policy (Executive Team only). • Ensuring staff are aware of NMIT information and records management policies and procedures. • Assigning information and records responsibilities within teams and ensuring staff know where to find assistance. • Ensuring appropriate records are created and maintained. • Ensuring authorisation is given before any records are destroyed, altered, sold or transferred. • Assigning access restrictions to records where necessary. • Ensuring there is an adequate budget to meet NMIT information and records management responsibilities. • Ensuring information and records management activities meet best practice guidelines.
NMIT Information Manager	<ul style="list-style-type: none"> • Ensuring NMIT information and records management practices meet the aims of this policy, NMIT's strategic objectives and legislative requirements. • Ensuring that information about NMIT information and records management policy, systems, and procedures are communicated throughout the Institute. • Ensuring staff are sufficiently trained and supported in the appropriate use of NMIT's recordkeeping systems. • Ensuring records disposals take place with the correct authorisation and according to legislative requirements. • Regularly reviewing information and records strategies, policies and procedures to ensure that they are relevant, useful and meet NMIT's needs as well as complying with legislative requirements.

POLICY

- All staff will create and maintain full and accurate records of all business activities.
- All public records will be captured in an NMIT business information system.
- Staff may not keep NMIT records in separate, individual filing systems or on their personal devices or personal online accounts.
- Information and records responsibilities will be communicated to staff by their responsible Manager. For joint-venture and off-site contractors, access to NMIT records must be made available to NMIT and the parties will agree on a process to share or hand over electronic and physical records at the conclusion of the contract.
- If an external party is given access to NMIT information systems, for example, IT services and maintenance, a confidentiality agreement must be completed and signed.
- Materials created by staff during the normal course of employment at NMIT are the intellectual property of the Institute, and will therefore be captured in an NMIT business information system. Also refer to [Intellectual Property Policy](#).
- All records will be named and filed in accordance with the NMIT taxonomy.
- Physical files will be kept in designated areas unless required for specific purposes and their location will be included in NMIT's Information Asset Catalogue.
- All record disposals must be authorised and carried out in accordance with the relevant disposal authority.
- A migration policy will identify records of ongoing value to ensure they will be accessible over time through successive software systems. This will be identified in IT and business continuity policies.
- Vital records are identified with particular attention paid to their protection and noted in the NMIT [Business Continuity Policy](#).

LEGISLATION

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

PUBLIC RECORDS ACT 2005

The Public Records Act 2005 (PRA) states that every public office must:

- Create and maintain full and accurate records of its affairs, in accordance with normal prudent business practice (Pt 2, s.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 (Pt 2, S. 17(2)).
- No person may dispose of, or authorise disposal of, public records or protected records except with the authority of the Chief Archivist (Pt 2, s.18(1)).

INFORMATION AND RECORDS MANAGEMENT STANDARD 2016

The standard sets out the minimum level of compliance that organisations must maintain to comply with their obligations under the Public Records Act 2005. It is divided into three sections based on Information principles:

- Principle 1: Organisations are responsible for managing information and records

- Principle 2: Information and records management supports business
- Principle 3: Information and records are well managed

PRIVACY ACT 2020

The Privacy Act (Pt 3, s.22) sets out 13 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.

CONTRACT AND COMMERCIAL LAW ACT 2017

The Contract and Commercial Law Act 2017 (Pt 4) sets out rules relating to the status and use of information in electronic form or information communicated by electronic means. With some exceptions, information in electronic form has the same legal status as paper-based information.

OFFICIAL INFORMATION ACT 1982

The principle of availability underpins the Official Information Act (OIA) (Pt 1, s. 5) and states that information “...shall be made available unless there is good reason for withholding it.” This principle should be considered when NMIT responds to official information requests.

EVIDENCE ACT 2006

The Evidence Act contains general and special rules including clauses related to signatures, evidence produced by a machine, device or technical process and the authenticity of public documents (Subpart 8, ss. 136 – 138).

REFERENCES

INTERNAL

[Business Continuity Policy](#)
[Intellectual Property Policy](#)
[IT Acceptable Use Policy](#)
[NMIT strategy to 2025](#)
[Privacy Policy](#)
[Treaty of Waitangi Policy](#)
[Te Pūkenga Interim Records and Information Policy](#)

EXTERNAL

[Archives New Zealand General Disposal Authorities \(GDAs 6 and 7\)](#)
[Archives New Zealand Resources and Guides](#)
[Contract and Commercial Law Act 2017](#)
[DA424 ITPNZ GDA Disposal Schedule](#)
[Education and Training Act 2020](#)
[Employment Relations Act](#)
[Evidence Act 2006](#)
[Information and records management standard 2016](#)
[Official Information Act 1982](#)
[Privacy Act 2020](#)
[Public Records Act 2005](#)