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## Information and Records Management and Security Policy

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### 1. Purpose

- 1.1 The purpose of this Policy is to ensure the University's information and records are appropriately created, managed, stored, accessed, transferred, and disposed of (where necessary).
- 1.2 Ensure that the security, confidentiality, integrity and availability of information and records are maintained appropriately and meet legislative compliance and/or contractual obligations.
- 1.3 Managing information and records enables the University to be accountable for its decisions, actions and transactions to and with students, stakeholders, funders and the Government. Information and records also support the University's strategic goals and form the documentary history of the University.

### 2. Application of Policy

- 2.1 This policy applies to University Information<sup>1</sup>, data and Records<sup>2</sup> regardless of format or storage medium and to all staff members; and
- 2.2 The policy does not apply to information and records in which the intellectual property (IP) is fully owned by a member of University staff. See the [Intellectual Property Policy](#) for guidance on IP ownership.

## Policy Content

### 3. Principles

- 3.1 The University will create, manage and dispose of information and records in accordance with our Records and Information Management Procedures and guidelines and our legal obligations.
- 3.2 University Records covered by this policy are the property of the University, and not of the individual staff members who create or receive them.
- 3.3 The University will ensure that there is training and support for staff members and will conduct audits to ensure compliance with this policy.

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<sup>1</sup> See Appendix 1 for further information

<sup>2</sup> See Appendix 1 for further information

- 3.4 Staff members will complete all relevant training to ensure adherence with this policy and will only access information they have a genuine need for (taking into consideration their role requirements, this policy and all legal obligations).
- 3.5 The Executive Sponsor, along with the wider Digital Solutions Team, is responsible for ensuring that University Information Systems comply with this Policy.

#### 4. Definitions

In this Policy, unless the context otherwise requires:

Business owner	The person responsible for the creation of the information, for setting the controls, collection and use of the information. There may be more than one business owner.
Business system	An organised collection of hardware, software, supplies, policies, procedures and people which stores, processes and provides access to an organisation's business information <sup>3</sup> .
Information	information, whether in its original form or otherwise, including (but not exclusively) documents, a signature, a seal, text, images, sound, speech, or data compiled, recorded or stored in in any format (paper, electronic files, databases, texts, social media etc)
Information Systems	Any computer system, telephone or peripherals owned or administered by the University, together with any associated electronic or mobile data storage systems; and any communication devices, wired or wireless network intended for the transfer of information, whether on University campuses or to which Users have access through University facilities, including the Internet.
Executive Sponsor	The role with overall responsibility for this policy, which includes establishing and maintaining University-wide information management standards, procedures and guidelines that support this policy. The Executive Sponsor is nominated by the Vice-Chancellor of the University to be the first point of contact for Archives New Zealand. The Sponsor is also responsible for periodic reviews of this policy to ensure the policy aligns with the University's strategic plan and legal obligations.
Staff Member	an employee of the University.
University	Means Te Herenga Waka Victoria University of Wellington.

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<sup>3</sup> AS/NZS ISO 23081-2:2007

University Information	University Information is all information and records created, received and used by the University. (See Appendix 1)
Record	Information created, received and maintained as evidence and information by an organisation or person, in the transaction of business <sup>4</sup> .  Records do not include 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 <sup>5</sup> . (See Appendix 1)
User	User of University Information systems.

### Related Documents and Information

#### 5. Related Documents

[Education and Training Act 2020](#)

[Official Information Act 1982](#)

[Privacy Act 2020](#)

[Public Records Act 2005](#)

Acceptable Use of Information Systems Statute

Privacy Policy

Privacy Notice

Delegation Framework

Records and Information Management Procedures

Cyber Security Procedures

#### 6. Document Management and Control

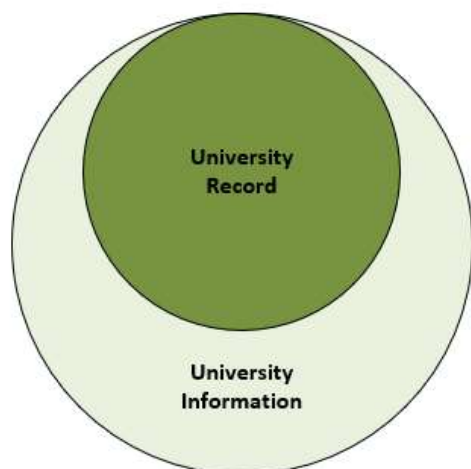
Approver	Vice-Chancellor
Approval Date	03.06.2021
Effective Date	03.06.2021
Last Modified	03.06.2021
Review Date	June 2024
Sponsor	University Librarian Director, Digital Solutions
Contact Person	University Librarian Director, Digital Solutions

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<sup>4</sup> Public Records Act 2005

<sup>5</sup> Public Records Act 2005

## Appendix 1: Explanation of University Information and University Record



Every part of the University works with University Records. Examples include:

- Financial activities (budgeting, accounting, making and receiving payments);
- Interactions with students – assessment marks, final grades, advice that influences students' decisions;
- Administration of Schools, Faculties and Central Service Units – including Committee work, programme administration, programme development;
- University projects, including buildings and systems;
- Council agendas, papers and minutes.

Examples of information and records that are not University Records include:

- Teaching, learning and research;  
However, research contracts that bind the University are University Records as are certain research data or materials which are governed by contractual or other compliance obligations.
- Student produced work (assessment);
- Employees personal documents unrelated to the individual's job responsibilities;
- Records of separate businesses that lease space from the University.