TE WHARE WĀNANGA O TE ŪPOKO O TE IKA A MĀUI

VICTORIA
UNIVERSITY OF WELLINGTON

Records Management Policy
Governance Policy

1   Purpose

The purpose of this policy is to provide a framework and assign responsibilities for ensuring that full and accurate records of the business activities of Victoria University of Wellington ('the University') are created, maintained, accessed and disposed of in a controlled manner. The policy aims to ensure that these records are maintained for as long as they are required to support operational, legal, audit or cultural needs, until their disposal in accordance with an authorised General Disposal Authority (GDA).

This policy, and the resultant records management programme of work, represents one essential component of the University's broader approach to the management of its information.

2   Organisational Scope

This is a University-wide policy and shall apply to all staff members of the University, whether permanent or temporary. This includes contractors and volunteers in the course of their work for and on behalf of the University, whether working directly for the University or in partnership with it. The policy applies regardless of location of working environment, be this on University premises, at home, or elsewhere.

The policy applies to all records owned by the University (whether created or received) regardless of format or storage medium, and therefore applies to electronic records. The policy does not therefore apply to 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.

3   Definitions

For purposes of this policy, unless otherwise stated, the following definitions shall apply:

Archives:	Records that have been appraised to have historic value and therefore require permanent preservation (see also: General Disposal Authority).
Capture:	Process of fixing the content, structure and context of a record to ensure it is a reliable and authentic representation of a business activity or process.
Confidential Records:	Records which, if disclosed, could cause damage to the University, its staff, or the wider community. Confidential records might contain information that is personal or sensitive from a commercial, political or cultural perspective.
Disposal:	The final decision concerning the fate of a record. This decision could

be to destroy confidentially, transfer to a dedicated archive facility for permanent preservation, or to sell or donate.

Electronic Records:	Records created, received, or stored by electronic means. This could include databases, emails, videotapes, audiotapes, websites, images and records migrated to digital formats.
General Disposal Authority (GDA):	Legal instrument permitting the disposal of records after minimum retention periods have been met.
Intellectual Property (IP):	The outcomes of intellectual activity and creative effort for which various rights and protections may be conferred by statute, contract or common law. It includes any invention, discovery, or creation, which may be protected way of trademark, patent, design, copyright, know-how, trade secret, permit, and plant variety right (whether registrable or unregistrable) and all applications, drafts and workings relating to these rights.
Metadata:	Structured information that describes and/or enables finding, managing, controlling, understanding or preserving other information over time.
Record:	Information created, received and maintained as evidence and information by an organisation or person, in the transaction of business.
Record-keeping metadata:	Information that facilitates the creation, management and use of records through time. Recordkeeping metadata can be used to identify, authenticate and contextualise records and the people, processes, and systems that create, manage and use them.
Record-keeping system:	A system designed for facilitating the creation, capture, classification, maintenance and disposal of records. A system can be electronic or paper based, or a combination of both, for example, capturing and managing digitally born records in a paper format.
Records Management:	Field of management responsible for the systematic control of the creation, maintenance, use and disposition of records.
Records Management Programme of Work:	An integrated body of work to achieve University wide compliance with this policy. This programme of work is comprised of a number of interconnected elements, which endeavour to provide greater access to and use of information so as to ensure both efficiency and legislative compliance for the University.
Sensitive Records:	Records which, if disclosed, may cause inconvenience to University staff. In addition, external parties may find this information useful as a stepping-stone to gather confidential information.
Vital Records:	Those records that are essential for the on-going business of an agency, and without which the agency could not continue to function effectively. The identification and protection of such records is a primary object of records management and disaster planning.

4   Policy Content

4.1   *Records Management*

The University creates, maintains, accesses and disposes of full and accurate records, by doing the following:

(a)   Creating and capturing records that provide evidence of the University's activities and transactions;

(b)   Identifying and capturing records into a recordkeeping system;

(c)   Arranging records in a meaningful sequence so that they can be easily located and retrieved when necessary;

(d)   Storing records in an appropriate environment that allows access by authorised staff and prevents records from unauthorised access, alteration, loss or damage;

(e)   Documenting and tracking the location and movement of records;

(f)   Using records with care and respect so as not to damage them or comprise their integrity;

(g)   Identifying and protecting records of a confidential or sensitive nature;

(h)   Identifying and protecting records deemed vital for business continuity ;

(i)   Retaining records for as long as necessary for operational, legal, audit or cultural reasons;

(j)   Ensuring records are disposed in accordance with an approved GDA. If those records are not covered by a GDA, the record holders should contact the Manager Record Services for advice;

(k)   Disposing of records in a secure manner; and

(l)   Training and supporting staff to fulfil their records management obligations and aspirations.

4.2   *Records*

All University records must be:

(a)   Complete: They must contain the structural and contextual information necessary to adequately document a University activity.

(b)   Authentic: It must be possible to prove that records are what they purport to be. For example, it must be possible to maintain reliable evidence of the author, creator, sender and recipient of a communication. For electronic records, this information should be captured and/or attributed in the recordkeeping metadata.

(c)   Reliable: They must be trusted as an accurate representation of the business activities and transactions carried out.

(d)   Secure: They must be maintained in a manner that prevents unauthorised access, alteration, loss or damage.

(e)   Accessible: They must be easily located, retrieved and presented without the loss of content, context or structure. Records must be available to appropriate audiences in accordance with the provisions set out for access under the Public Records Act 2005, Official Information Act 1982, and the Privacy Act 1993.

4.3   Record-keeping responsibilities

4.3.1   All staff working for the University, whether permanent or temporary staff, and including contractors and volunteers in the course of their work for and on behalf of the University, are responsible for:

(a)   Understanding and adhering to the University's Records Management Policy and standards; and

(b)   Ensuring records management procedures and guidelines are adhered to.

4.3.2   The Manager Record Services is responsible for:

(a)   Maintaining and reviewing the Records Management Policy;

(b)   Implementing a records management programme that supports compliance with the Records Management Policy; and

(c)   Producing, implementing, maintaining and reviewing standards, procedures and guidelines contingent upon the Records Management Policy.

4.3.3   Responsible Managers are responsible for:

(a)   Ensuring that all staff including volunteers and contractors are aware of the University's documented Records Management Policy, procedures, standards and guidelines. This includes providing for a nominated point of contact with Record Services.

(b)   Ensuring staff working for the University have adequate support in their efforts to comply with the Records Management Policy.

(c)   Ensuring appropriate resources (time, systems and people) are allocated to the implementation of the Records Management Policy.

5   Legislative Compliance

The University is required to manage records within a legislative framework. The Vice-Chancellor has ultimate responsibility for ensuring compliance with the legislative requirements underpinning record-keeping, including:

Copyright Act 1994

Education Act 1989

Electronic Transactions Act 2002

Film, Videos and Publications Act 1993

Health Information Privacy Code 1994

Official Information Act 1982

Privacy Act 1993

Public Records Act 2005

Unsolicited Electronic Messages Act 2007

This policy also complies with the following Standards and Codes:

'Create and Maintain Recordkeeping Standard', Archives New Zealand Mandatory Standard ISO 15489 International Standard for Records Management

6   References

ISO 15489 International Standard for Records Management

'A guide to developing a Record-Keeping Policy', Archives New Zealand Recordkeeping Guides G/6

'Storage Standard', Archives New Zealand Mandatory Standard

'Create and Maintain Recordkeeping Standard', Archives New Zealand Mandatory Standard

'Electronic Recordkeeping Metadata Standard', Archives New Zealand Mandatory Standard

'Digital Recordkeeping Standard', Archives New Zealand Discretionary Standard

Note: underlying policies, procedures, standards and guidelines supporting the implementation of this policy are available via Record Services.

Previous version: Records Management Policy

7   Appendices

Appendix A: General Disposal Authority
Appendix B: Record Disposal Process

8   Approval Agency

Vice-Chancellor

9   Approval Dates

This policy was originally approved on: 5 March 2009

This version was approved on: 19 July 2013

This version takes effect from: 13 August 2013

This policy will be reviewed by: 13 August 2016

10   Policy Sponsor

Director, Student Academic Services

11   Contact Person

The following person may be approached on a routine basis in relation to this policy:

Manager, Record Services
Ext: 5985