



Records Management Policy

Purpose

The purpose of this policy is to outline the approach Unitec will take to ensure Unitec Records are:

- i) fully and accurately created and captured;
- ii) accessible to everyone who has a legitimate purpose to access a Record, including members of the public; and
- iii) protected from unauthorised access, disclosure, modification, loss or damage for the entire period they must be preserved.

Implementing sound records management practice assimilates with the risk management strategy and will ensure Unitec has access to the records required to continue to operate during a disaster or other major event. Well-managed records will also contribute to business continuity during times of organisational restructure and the handover of work to a new staff member.

Scope

This policy applies to all Records created or received by Unitec's Commissioner, the Commissioner's Advisory Committee, any Unitec Council member or staff member and any contractor, consultant or other person engaged by Unitec or its subsidiaries to conduct business on behalf of Unitec.

This policy does not apply to:

- iv) research materials generated by staff or students including (but not exclusively) raw data, analysed data, working notes and publications (i.e. research materials, books, research papers whether published or not) - refer to the Intellectual Property Policy.;
- v) any Record or other material produced in a private capacity;
- vi) any Record copied/produced to be used for reference or as working files.

For the purposes of this policy, the records included in this scope will be referred to as "Unitec Records."

For the avoidance of doubt, this policy does apply to teaching / course materials used by staff to deliver a lecture or other presentation, including any lecture notes / presentation materials.

¹ Public Records Act 2005

Policy Statement(s)

User Awareness

- All Unitec Records are the property of Unitec. The overall responsibility for ensuring all Unitec Records are correctly captured, retained and disposed of rests with the Chief Executive in compliance with the requirements of the [Public Records Act 2005](#). Further details of these records management responsibilities and the specific responsibilities of all other Unitec staff are included in Responsibilities section of this policy.
- Any person covered by the scope of this policy and who creates, receives, maintains or uses Unitec Records must take all reasonable care to ensure that these Records are preserved for the entire period for which they must be retained and are protected from unauthorised access, disclosure, modification, loss or damage. Any person failing to take all reasonable care could be:
 - convicted of an offence under Section 61 of the Public Records Act 2005; and
 - be liable for penalties under Section 62 of the Public Records Act 2005; and
 - also face disciplinary action under Unitec's Disciplinary Policy.
- The Chief Executive will ensure that at all times Unitec has a duly appointed Records Management role responsible for developing and maintaining the records management programme.
- All persons covered by the scope of this policy will be held personally accountable for the correct management of all Unitec Records (including electronic) created, received, maintained or used in the course of their duties at Unitec or under their direct control.

Creation & Capture

- All Unitec Records created or received in the conduct of Unitec's business activities must be full and accurate. This means they must show what occurred, when it occurred, how it occurred, what the transaction was, who participated and the outcome.
- All Electronic Unitec Records (except those generated by and stored within a Unitec Business System) must be captured into Unitec's Central Recordkeeping System. This is currently the H:\ Drive and where approved, as appropriate, by the Unitec Records and Information Officer, Microsoft SharePoint. No Unitec Record must be stored exclusively on a staff member's personal drive (e.g. C:\ or Microsoft OneDrive), a USB/memory stick (or similar) or any other electronic storage device.
- All Unitec Records (electronic and paper) when captured must be filed in accordance with any approved Unitec Filing Classification Scheme that may be in place.
- All paper Archive Records must be stored with Unitec's offsite storage provider to ensure they are stored in the correct environmental conditions and protected from damage.
- Unitec will develop and maintain a records management programme. The objective of this programme will be to ensure that all persons covered by the scope of this policy understand their legislative responsibilities under the [Public Records Act 2005](#) and are provided with the information required to implement these responsibilities. The programme will establish standards and procedures for the correct creation, use, classification, storage and final disposal by either destruction or archiving of all Unitec Records. Training on these procedures will also be available.

Retention & Disposal

- All Unitec Records must be retained for at least the period outlined in the applicable Archives New Zealand General Disposal Authority and any other applicable approved Disposal Authorities that may be in place from time to time.
- Any permanent removal or destruction of a Unitec Record must always be carried out in accordance with approved Disposal Authorities and [Unitec's Disposing of Records Procedure](#).
- Unitec will ensure a migration strategy is in place for all Unitec Records held in Unitec Business Systems and those that are identified as having ongoing value and/or needing to be retained. This strategy will ensure Unitec Records continue to be accessible by migrating them through successive software systems/versions.
- Unitec will ensure a strategy is in place for the systematic backup of all Electronic Unitec Records stored within a Unitec Business Systems. This strategy will ensure the risk of a Unitec Record being lost or damaged is minimised as much as is reasonably possible.

Access & Security

- Unitec recognises its obligations under the Public Records Act 2005 and the Official Information Act 1982 (**OIA**), to make accessible to the public Unitec Records which fall within scope of these statutes. However, before granting this access, Unitec also recognises its obligations under the Privacy Act 1993. No person may be granted access to a Unitec Record where that access would breach the provisions of the Privacy Act 1993 (or any subsequent legislation that is introduced) and/or Unitec's Privacy Policy (as amended from time to time).
- Subject to the OIA, access to any Unitec file must only be for the purposes of Unitec business and not for any other purpose.
- Any transfer or duplication of files must only be for the purposes of conducting Unitec business activities.
- Employees are bound by the terms of Unitec's confidentiality agreement which governs access, duplication and distribution of certain types of information

Associated Procedures

The following documents are to be read in association with this Policy:

- Unitec Records Storage Room Procedure
- Creation and Maintenance of Electronic Records Procedure
- Unitec's Disposing of Records Procedure - includes access to the Disposal Authorities applicable to Unitec Records
- Unitec's Transferring and Retrieving Records Offsite Storage Procedure

RESPONSIBILITIES

Role	Responsibilities
Chief Executive	<ul style="list-style-type: none"> • Ensuring Unitec complies with all legislative requirements for recordkeeping, including the Public Records Act 2005; • Authorising a Records Management Policy; • Appointing a Records Manager who will be responsible for developing and maintaining a records management programme; and • Supporting the records management programme and endorsing the importance of good records management practice at Unitec.
Executive Directors, Directors, Heads of Schools	<ul style="list-style-type: none"> • Staff in their organisational unit (including consultants and contractors) are made aware of Unitec policies and procedures related to privacy, recordkeeping and official information; • Recordkeeping responsibilities are clearly assigned to all staff (including consultants and contractors) in their organisational unit; • Adequate resources (including time and budget) are made available to staff (including consultants and contractors) in their organisational unit to carry out records management activities; • All Unitec Records created, received or maintained by their organisational unit are managed in accordance with this policy; • Authorising the Disposal of Unitec Records created, received or maintained by their organisational unit and in doing so verifying that this Disposal is in accordance with the Public Records Act 2005 and Unitec's Disposing of Records Procedures

Records Manager	<p>Developing a records management programme to support this policy , including the development and maintenance of records management procedures and related training;</p> <ul style="list-style-type: none"> • Ensuring that information about Unitec's Records management policies and procedures is communicated throughout the organisation; • Providing the final authorisation for the disposal of Unitec Records; • Developing and maintaining a Filing Classification Scheme for Unitec; • Providing advice and guidance on records management practice and matters; • Monitoring compliance with this policy and the associated procedures and communicating what corrective action is required where compliance is not being met; and • Liaising with Archives NZ on records management matters on behalf of Unitec and being the key Unitec contact person during any Archives New Zealand Recordkeeping Audit.
All persons covered by the scope of this policy are responsible for	<ul style="list-style-type: none"> • Complying fully with this policy • Following the procedures created as part of the Unitec Records management programme • Seeking clarification on the above procedures where these are not fully understood • Ensuring that personal and other Records not covered by the scope of this policy are clearly separated from Unitec Records • Preventing unauthorised access to Unitec Records.

Definitions

Term	Definition means...
RECORDS MANAGEMENT	means the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions.
RECORDS MANAGER	means the role specifically titled Records Manager or other role title charged with the tasks associated with the records management function at Unitec e.g. Records Advisor, Information Manager, Records Officer etc.
RECORD	<p>means “information, whether in its original form or otherwise, including (without limitation) a document, an email, a signature, a seal, text, image, sound, speech, or data compiled, recorded, or stored, as the case may be:</p> <ul style="list-style-type: none">• in written form on any material; or• on film, negative, tape, or other medium so as to be capable of being reproduced; or• by means of any recording device or process, computer, or other electronic device or process.” <p>(Source: Public Records Act 2005)</p> <p>Broadly there are four types of records:</p> <ul style="list-style-type: none">• Active Record• Inactive Record• Archive Record• Confidential Record
ARCHIVE RECORD	means any Inactive Record that is no longer required by the department/service unit but has continuing value and must be retained permanently as specified in the Disposal Authorities that cover Unitec Records.

Reference Documents

Other related Unitec Policies

- [Unitec’s Privacy Policy](#)
- [Unitec’s Electronic Devices and Systems Policy](#)
- [Unitec’s Intellectual Property Policy](#)

Related Legislation

- [Public Records Act 2005](#)
- [Privacy Act 2003](#)
- [Official Information Act 1982](#)
- [Local Government Official Information and Meetings Act 1987](#)

Approval Details

Version number (this version)	1.3	Issue Date (this version)	21 January 2019
Version History (Amendments made to this version)	<p>Date of amendment/s:</p> <ul style="list-style-type: none"> 11/09/2012 10/04/2013 16/06/2015 12/03/2018 12/03/2018 	<p>Amendment/s:</p> <ul style="list-style-type: none"> Brand new document – 1st edition Change to Application & Scope section to make it clear that this policy does apply to course / teaching materials which are addressed in the Intellectual Property Policy. Minor update – role changes and format Minor update – replace any reference to S:drive with Microsoft OneDrive. Minor update – Add reference to the use of SharePoint as to when this platform can be used for storing Unitec records. 	
	<ul style="list-style-type: none"> December 2018 	<ul style="list-style-type: none"> Change to application and scope to reflect changes in Unitec's Intellectual Property Policy Increase emphasis on access and security and associated obligations 	
Consultation Scope (if appropriate)	<p>Key stakeholders consulted in the review of this policy:</p> <ul style="list-style-type: none"> Records Management Officer IMS 		
Approval authority	Director – Information Technology	Date of Approval	21 January 2019
Policy Sponsor (Has authority to approve minor amendments)	Chief Executive	Policy Owner	Director – Information Technology
Contact Person	Hamish Martin	Date of Next Review	October 2021