

INFORMATION AND RECORDS MANAGEMENT POLICY

Section	University Management
Contact	ITS Information and Records
Last Review	June 2021
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Purpose:

To establish a framework for the implementation of the University's information and records management programme that ensures full and accurate records of the University's activities are created, captured, maintained, made accessible, stored, and legally disposed of in accordance with legislative requirements.

Audience:

This policy applies to all university staff and its affiliated organisations, including its business enterprises such as wholly owned subsidiary companies, joint venture companies, partnerships, trusts, and research centres. It also applies to volunteers and independent contractors in the course of their work for, and on behalf of the University.

Policy:

1. Information and records created in the course of the university's business are owned by the University and subject to its control – unless otherwise superseded by another University Policy or Agreement.
2. Information and records created by a contractor during the course of a contract belong to the University and should be captured and managed in the University recordkeeping systems - unless otherwise agreed in the formal contract specifying any exclusion.
3. Information and records will be managed as corporate assets, in the same way as financial, people, and physical assets of the University. Information and records will be effectively managed to create business value, reduce duplication, and support a collaboration culture with the embedded use of a fully integrated digital collaborative environment.
4. Under the Public Records Act, all staff of the University, its Controlled Entities, and any organisations contracted to deliver services on Massey's behalf have to create and maintain full and accurate records of the University's business activities and decisions, in accordance with its normal or prudent business practices. All staff have a responsibility to ensure that information and records are managed appropriately in accordance with this policy within their areas of responsibility and accountability.
5. All records must be compliant with the recordkeeping requirements arising from the regulatory and accountability environment in which Massey operates.

Definitions:

Business Activity is an umbrella term covering all the functions, processes, activities, and transactions of the University and its employees that are related to the management and administrative functions of the University. It excludes activities related to personal research.

Controlled Entities mean those organisations or entities where the University has an ownership stake of 50% or more.

Full and accurate records in this policy refer to records which are created to the extent necessary to:

- facilitate action by staff, at any level and by their successors
- make possible a proper investigation of the conduct of business by anyone authorised to undertake such scrutiny, and
- protect the financial, legal, and other rights of the University and any others affected by its action, and decisions.

Information refers to knowledge communicated or received. The result of processing, gathering, manipulating, and organising data in a way that adds to the knowledge of the receiver. (AS/NZS ISO 16175-1:2020)

Record in this policy refers to information recorded in any form that is created or received and maintained in the transaction of business activities and retained as evidence of such an activity by Massey University (inc. all staff, affiliated organisations, and anyone contracted to deliver services on its behalf). This covers all functions of the University including management, academic, and administration. A record may be a document, signature, seal, text, image, sound, speech, or data, and it can be in audio, electronic (including web pages) or physical format. Apart from records outlined in the Disposal Authority for New Zealand Universities (DA702), this also includes:

- teaching and research materials owned by the University, and
- the records of the University's affiliated organisations.
- research data, whether received from external parties or created by the University (which shall at all times be subject to research protocols and the Privacy Act).

This excludes:

- an individual's documents, correspondence or personal papers that have been created in a private capacity,
- materials received for information only,
- primary drafts and working papers not recording decisions,
- published research that are not covered by the University's Intellectual Property Policy,
- copies of documents kept for personal reference or convenience.

Public Records means any records, in any form, in whole or in part, created or received by a public office (such as Massey University) in the course of its business which are covered by the Public Records Act 2005. The A provides a detailed guide to the various types of Public Records. The term 'Public Record' does not necessarily imply public access or the placement of such records into the public arena. This excludes records not covered by the Public Records Act, i.e., teaching and research materials generated by academic staff or students, including (but not limited to) raw data, analysed data, working notes, and publications.

Recordkeeping System refers to a system which captures, manages, and provides access to records over time. The system can be manual or electronic, depending on the records formats and the operating environment. A manual system, such as corporate filing systems and registers, may be appropriate to capture and maintain physical

records. A business information system or database application (e.g., finance system, HR system), while not a dedicated recordkeeping system, may incorporate aspects of recordkeeping functionality.

Records Management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

Legal compliance:

- Public Records Act 2005
- Official Information Act 1982
- Privacy Act 2020
- Information and Training Act 2020
- Massey University Act 1963

Related procedures / documents:

[Business Classification Scheme](#)
[Data Management Policy](#)
[Disposal Procedure for Physical Records](#)
[DA for New Zealand Universities \(DA702\)](#)
[Offsite Storage Procedure](#)
[Guidelines on SharePoint Collaboration Sites](#)
[Privacy Policy](#)
[IRM Guidelines on recordkeeping and digitisation](#)
[IRM Guidelines on managing records on business systems](#)
[IRM Guidelines on information management and social media](#)
[IRM Legal Compliance](#)
[IRM Roles and Responsibilities](#)
[IRM Principles](#)
[Research Data Management Policy](#)

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