

Records Management Policy

Responsibility for policy: University Librarian

Approving authority: Vice-Chancellor

Last reviewed: October 2019

Next review: October 2024



THE UNIVERSITY OF
WAIKATO
Te Whare Wānanga o Waikato

Application

1. This policy applies to all staff of the University of Waikato.

Purpose

2. The purpose of this policy is to:
 - a. set out a framework of principles and responsibilities for ensuring that the University's records are maintained and managed in accordance with legislative requirements, and
 - b. establish responsibilities and accountabilities for staff with respect to records management.

Related documents

3. The following documents set out further information relevant to this policy:
 - [Computer Systems Regulations](#)
 - [Copyright Guidelines for Academic Staff and Students](#)
 - [Corporate Data Management Policy](#)
 - [Disposal Authority for New Zealand Universities \(DA702\)](#)
 - [Email Guidelines](#)
 - [Independent Contractor Policy](#)
 - [Information and Records Management Standard](#)
 - [Intellectual Property and Copyright Policy](#)
 - [Personal Information and Privacy Policy](#)
 - [Protected Disclosures Policy](#)
 - [Records Management Procedures](#)

Related legislation

4. This policy takes account of the following legislation:
 - [Contract and Commercial Law Act 2017](#)
 - [Copyright Act 1994](#)
 - [Education and Training Act 2020](#)
 - [Finance Reporting Act 1993](#)
 - [Official Information Act 1982](#)
 - [Privacy Act 2020](#)
 - [Public Records Act 2005](#)

Definitions

5. In this policy:

authoritative record means the official University copy of the record that is created and maintained as required under the [Public Records Act 2005](#); the authoritative record is held by the relevant creator or process owner

record means information, whether in its original form or otherwise, including (without limitation) a document, a signature, a seal, text, images, sound, speech, or data created, received and maintained by, or on behalf of, the University of Waikato in the conduct of its affairs, which may be compiled, recorded, or stored, as the case may be:

 - a. in written form on any material
 - b. on film, negative, tape, or other medium so as to be capable of being reproduced, or
 - c. by means of any recording device or process, computer, or other electronic device or process.

record excludes:

- learning, assessment and research materials generated by students, including raw data, analysed data, working notes and publications
- teaching and research materials generated by staff, including raw data, analysed data, working notes and publications.

Principles

6. All staff must adhere to the University's [Records Management Procedures](#) which take account of the following principles:
 - a. Staff must create records to document substantive activities and administrative and business transactions involving the University.
 - b. University record keeping and management processes must comply with all relevant legislation.
 - c. Records created or received as part of university business are the property of the University of Waikato, regardless of physical location, source or medium.
 - d. Records created by independent contractors on behalf of the University are the property of the University of Waikato unless there is an explicit agreement between the parties specifying any exclusion.
 - e. The full and unalterable form of a record must be stored and managed in the appropriate electronic or hard copy records system with appropriate contextual information.
 - f. Records that have been defined as confidential must be protected from unauthorised access, use and disclosure.
 - g. Authoritative record owners must classify any record's access restrictions at creation and on revision.
 - h. All records must be secured against unauthorised access, modification, theft and vandalism to ensure their authenticity and integrity.
 - i. Records must be retained and properly preserved in an accessible format and in accordance with the [Disposal Authority for New Zealand Universities \(DA702\)](#) and Archives New Zealand's [Information and Records Management Standard](#).
 - j. Disposal of records must be authorised and managed in accordance with security and environmental requirements.
 - k. Records identified as having long-term value under [DA702](#) must be managed in ways that support their ongoing maintenance and usability.
 - l. A record is placed in the University's archival storage when it is no longer in current use or when it has been in existence for 10 years or more.
 - m. Archival records must be classified as either open or restricted access.

Responsibilities

7. The Vice-Chancellor has general responsibility for compliance with the [Public Records Act 2005](#) and has delegated this responsibility to the University Librarian who is also the Executive Sponsor under the Act.
8. The University Librarian is responsible for:
 - a. establishing the University's [Records Management Procedures](#)
 - b. implementing the University's [Records Management Procedures](#)
 - c. developing records management training programmes and ensuring that all relevant staff receive appropriate recordkeeping training
 - d. developing and implementing auditing processes and monitoring recordkeeping systems to ensure compliance and efficiency
 - e. ensuring that restrictions on access to any records are applied as assigned by the document owners

- f. appraising records items for historical or archival value in accordance with the University's [Records Management Procedures](#), and
 - g. controlling access to, and use of, archived records.
9. Heads of School, Directors and equivalent are responsible for ensuring records management practices within their areas of responsibility comply with the Records Management Policy including the University's [Records Management Procedures](#).
10. The Council Secretary is responsible for ensuring that Council processes comply with this policy.
11. Line managers are responsible for:
- a. ensuring that their staff comply with the Records Management Policy including the University's [Records Management Procedures](#)
 - b. assigning recordkeeping responsibilities in their area of responsibility
 - c. ensuring that appropriate records are created and maintained for their areas of responsibility
 - d. ensuring that their staff have adequate training in the systems they use to manage records
 - e. ensuring that no records are destroyed, altered, sold or transferred without the appropriate authorisation under the University's [Records Management Procedures](#)
12. Job managers for independent contractors are responsible for ensuring that independent contractors comply with the University's [Records Management Procedures](#) in relation to the contracted work.
13. The Director of Campus Operations and Risk Management is responsible for:
- a. storing records not in active use until they can be disposed of, or archived, in accordance with the University's [Records Management Procedures](#)
 - b. maintaining and storing archival records in accordance with the requirements of the [Public Records Act 2005](#) and the [Information and Records Management Standard](#) until they are transferred to Archives New Zealand, and
 - c. the physical transfer of hard copy archival records to Archives New Zealand in accordance with Archives New Zealand's guidance on the [Transport of Your Transfer to Archives New Zealand](#).

Responsibility for monitoring compliance

14. The University Librarian is responsible for monitoring compliance with this policy, by way of an annual report to the Vice-Chancellor.
15. Breaches of this policy must be reported to the Vice-Chancellor and may result in disciplinary action under the [Staff Code of Conduct](#).

Note

The term 'School' in this policy includes Faculties and the term 'Head of School' includes Deans.