



<b>OTAGO POLYTECHNIC MANAGEMENT POLICY</b>		<b>Number: MP0101.02</b>
Title:	<b>Information Management</b>	
Classification:	<b>Operations</b>	
Chief Executive Approval:	Effective Date: <b>1 May 2019</b>	Review Date: <b>1 April 2022</b>
Previous Policy No:	<b>n/a</b>	Status: <b>Current</b>
Contact Authority:	<b>Deputy Chief Executive Corporate Services</b>	

<b>Purpose</b>	To define principles and responsibilities for ensuring Otago Polytechnic information is managed as a corporate asset in order to meet legislative requirements, business needs and stakeholder expectations.
<b>Compliance</b>	Public Records Act 2005 and all subsequent amendments Education Act 1989, and all subsequent amendments Electronic Transactions Act 2002, and all subsequent amendments Public Records Act 2005, and all subsequent amendments
<b>Definitions</b>	<p><b>‘Archives New Zealand’</b> means the department of state responsible for managing public archives and setting standards around public records under the direction of the Chief Archivist.</p> <p><b>‘Chief Archivist’</b> means the chief executive of Archives New Zealand, with the function of exercising leadership in information management in public offices and in management of public archives in New Zealand.</p> <p><b>‘Disposal’</b> includes destruction, submission to the Chief Archivist for assessment as a public archive, or retention as public archive.</p> <p><b>‘Public Records’</b> means information created or received by a public office in the conduct of its affairs, and includes records created or maintained digitally. This excludes records not covered by the Public Records Act, i.e. Teaching and Research materials generated by academic staff or students.</p> <p><b>‘Information and Records’</b> means information created or received in the transaction of business. Information and records may be in any format – paper based, digital documents, data, excel spreadsheets, emails, photographs etc.</p> <p><b>General Disposal Authorities (GDA)</b> refer to the disposal authorities issued by the Chief Archivist of Archives New Zealand. A GDA sets out the authority and criteria for retention and disposal for specified records not listed in the sector specific authority. This includes Human Resources, Finance and other common corporate records.</p> <p><b>ITP NZ DA424</b> refers to the sector specific disposal authority which sets out the authority and criteria for retention and disposal for records specific to Institutes of Technology and Polytechnics.</p>
<b>Policy</b>	<ol style="list-style-type: none"> <li>Otago Polytechnic is required under the Public Records Act to establish and implement an information management programme. This programme is a management framework consisting of policy, procedures, systems and training to ensure consistent and compliant information management for the benefit of the polytechnic.</li> <li>All staff are responsible for the management of Otago Polytechnic information and are required to comply with this policy as part of the Polytechnic’s overall information management framework.</li> <li>Otago Polytechnic, and any organisations contracted to deliver services on Otago Polytechnic’s behalf will create and maintain full and accurate records of its affairs, in accordance with normal prudent business practice.</li> <li>Otago Polytechnic will maintain in an accessible form, so as to be available for subsequent reference, all records until such time as they may be legally disposed.</li> <li>Otago Polytechnic records will not be created or maintained in any personal or private cloud storage services (e.g. Dropbox, Google Docs etc.).</li> <li>Otago Polytechnic will not dispose of information and records until they have been retained for the minimum retention periods authorised by the Chief Archivist, as outlined in both the ITP NZ Disposal Authority DA424 and the GDA 6.</li> </ol>



7. All Otago Polytechnic records created by the Polytechnic and as defined by this policy, are the property of the Polytechnic and not the individual members of staff who created or received them.
8. The following responsibilities exist for Otago Polytechnic's public records:

<b>Role:</b>	<b>Responsibility:</b>
CE	The Chief Executive has the ultimate responsibility for ensuring Otago Polytechnic complies with the legislative requirements for information and records management.
Executive Sponsor	The Executive Sponsor is responsible for the oversight and execution of all information management strategy and policy.
Executive Leadership Team	The Executive Leadership team are responsible for ensuring resourcing and funding is available within their portfolios to meet the requirements set out in this policy.
Business owners, Heads of School/College/Department, Managers (or equivalents)	Business owners, Heads of School/College/Department, Managers (or equivalents) are responsible for:  Ensuring records in their areas are managed in accordance with Otago Polytechnic requirements  Ensuring records and information in their areas are stored appropriately  Ensuring no records or information are disposed of unless permitted by ITP NZ DA424 or GDA 6 and 7.  Ensuring records of permanent value are identified and appropriately managed.
Chief Information Officer (CIO)  Information Systems Support (ISS)  Information Management Staff	Leading the development of strategy, and policy around information and records management at Otago Polytechnic  Providing advice and training to staff on information and records management  Ensuring auditing processes are in place to monitor information and records management  Authorising the disposal of records as per the requirements outlined in ITP NZ DA424 and GDA 6 and 7.  Ensuring the maintenance of business and information systems is consistent with the requirements outlined in this policy.
All Staff	Adhering to the requirements outlined in this policy.

## Referral Documents

### MP0101a Information Management\_SOP001 Public Records Retention and Disposal Schedule

MP0447 Retention of Employee Information

Archives New Zealand Recordkeeping Standards and General Disposal Authorities

([www.archives.govt.nz/continuum](http://www.archives.govt.nz/continuum))

[General Disposal Authority for Institutes of Technology and Polytechnics](#)

The following General Disposal Authorities (GDAs) provide disposal coverage for activities common across public agencies:

[GDA 6 Common Corporate Records](#)

[GDA 7 Short Term Transitory Value](#)

ISO 15489 *Information and Documentation – Records Management* International Standard, Geneva, 2001

Approved by Chief Executive

Date: 1 May 2019



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