

Information and Records Management Policy

Policy owner: General Manager Corporate Services

Policy approved by: The ENZ Board

Policy reviewed and approved: Approved by the Board on 23 August 2022

Next comprehensive review due: August 2025, for implementation on 1 September 2025

Distribution: Available online in Ipu.

This policy is provided to all staff and Board members. It is the responsibility of each staff and Board member to understand and apply this policy. It also applies to contractors engaged by Education New Zealand (ENZ). It is the responsibility of the Manager engaging the contractor to ensure they are aware of all ENZ policies while working for ENZ.

Purpose

To provide a framework and define principles and accountabilities for ensuring that information and records within Education New Zealand (ENZ) are effectively managed as an asset of the organisation, and ensure that our systems, business processes and staff all meet our legislative requirements whilst supporting efficiency and best practice.

Scope

The policy covers all information, document management and records processes and systems in ENZ.

It applies to all ENZ staff (permanent and fixed term), the Board, consultants and contractors.

Information and Records are those created, consumed, or received as part of business operations within ENZ and may be in multiple formats including (but not limited to):

- Electronic Documents
- Emails
- Paper Files
- Text messages
- Audio files
- Video
- Databases
- Social Media and web content

The policy covers any systems that sources, generates, captures, maintains, or publishes content (internally and externally).

Principles

Accessible

Information and Data should be easily accessible by those that need it (internally within ENZ, and externally with partners or the public as per the Public Records Act 2005 (PRA) and the Official Information Act 1982 (OIA) when they need it.

Protected

Security and access will be applied, and managed, to documents and systems to ensure appropriate and legal access to content by authorised users without compromising business function.

Legally compliant

Business processes will be defined, and Information Systems will be configured to support ENZ's legislative requirements. Specifically (but not limited to) the following Acts:

- Public Records Act 2005
- Official Information Act 1982
- Privacy Act 2020
- Electronic Transactions Act 2002
- Statistics Act 1975
- Tax Administration Act 1994
- Health and Safety in Employment Act 1991
- Employment Relations Act 2000
- Holidays Act 2003
- Electronic Transactions Act 2002

Supported

Information and Records Management system will be well maintained including:

- The review, definition, and development of document management structures
- To ensure that information systems are secured, and underlying technology is regularly updated.
- Adherence with ENZ's IT strategy.
- Staff will be supported in their use of the system with regular training to be offered by the Information Management consultant and ICT team.

Reusable

Information and data should be reusable across our information systems (wherever possible) to reduce unnecessary collection and duplication of effort.

Policy Statements

Legislative commitments

As a government agency, ENZ has a responsibility for maintaining a public record of all organisation activity, decisions, and correspondence. Good information management practice is to ensure that ENZ creates captures, retains, and can retrieve and access evidence of compliance with these requirements. This includes:

- Creation and management of public records.
- Information about financial activities.
- Information about personnel.
- Management of records which holds personal or sensitive information.

To achieve this, ENZ requires that all staff:

- Store information in the correct repository in a manner defined by ENZ's Records Management Guidelines.
- Manage records appropriately and in accordance with the Public Records Act 2005 which sets out the requirements for the creation, management, and disposal of all public records e.g. those records created by a public office in the course of its business.
- Adhere to the Official Information Act 1982 which defines the requirements for all government agencies about providing access to information for members of the public, including the reasons for withholding access to that information.
- Ensure that content is appropriately collected, secured, and disposed of to ensure that a.) there are no breaches of privacy as per the Privacy Act 2020, and b.) that you do not bring ENZ or the NZ Government into disrepute.

Information Ownership

All information created or received by ENZ staff in the course of their work for ENZ is owned by ENZ or in some cases by the client if specified by the contract with the client.

All information created by contractors during a contract belongs to ENZ and should be managed within ENZ's information system.

Access, Privacy and Security

For ease of access and business efficiency, ENZ adopts an "open by default" approach to content stored internally. This means that systems and content can be accessed and used by ENZ staff and Board members except where there is a particular requirement to secure content. This includes content that may contain personal or commercially sensitive information e.g., personnel files.

External sharing or distribution of content is limited to Microsoft Teams, OneDrive, and Outlook. Access to content stored in SharePoint is limited to internal staff only.

If security is breached (either real or perceived, maliciously, or accidentally), the breach must be reported immediately to the GM Corporate Services. The GM will investigate, and remedial action will be taken as required.

If there is a privacy breach (real or perceived, maliciously, or accidentally), the breach should be reported immediately to the GM People, Culture, and Capability. Again, the GM will investigate, and remedial action will be taken as required. Privacy breaches may be reported to the Privacy Commissioner as per the Privacy Act 2020

Retention and Disposal

Under our archival requirements, content (both digital and physical) must be retained or stored based on its business function and value.

Information disposal will be carried out in accordance with an approved records retention and disposal authority as required by the Public Records Act and approved by Archives New Zealand. Disposal of information must be carried out following established disposal procedures under the guidance of the General Manager Corporate Services.

Discoverability

Any content created as part of ENZ operations is subject to discovery under the Public Records Act, this includes digital or handwritten documents, notes, audio recordings or videos. As such it is important that all ENZ staff behave in a professional manner as they conduct business.

Single source

As described earlier under reusability, ENZ encourages the concept of create once and use many times. Duplication should be minimised. This approach reduces the effort required to create and manage duplicate information.

Information use

All ENZ staff (including the Board, consultants and contractors) must use information appropriately and efficiently to carry out the organisation's business.

All staff must ensure that any information collected or created is for a specified purpose that supports the business of ENZ and the reasons for collection and creation are transparent.

Roles and Responsibilities

Any information collected, created, or distributed by a member of ENZ (either as a permanent employee, contractor, or external partner) is regarded as an organisational asset, belonging to ENZ, not the individual or third party.

As a member of ENZ, you must ensure:

- ALL effort is made to store ALL business content in the appropriate location.
- ENZ is not compromised or put into disrepute when sharing content – this means ensuring that unapproved or commercially or politically sensitive information is not inappropriately distributed.
- Content is not manipulated inappropriately.
- People's private and personal information is not accessed or shared without appropriate permission being provided by the individual.
- ALL notes and emails are discoverable under the Public Records act, as such all such notes and documents MUST be professional.

Specific information management roles and responsibilities within ENZ are defined below:

Position	Responsibilities
Chief Executive	<ul style="list-style-type: none"> • Authorise the Information Management Policy • Assign responsibilities for recordkeeping • Champion high quality information and records management • Ensure that policy exists to prevent unauthorised disposal of records • Ensure compliance with ENZ's Information and Records Management Policy
General Manager - Corporate Services	<ul style="list-style-type: none"> • Business owner of the Information and Records Management Policy • Monitor and audit compliance with the Information and Records Management Policy • Champion high quality information and records management • Evaluate and approve the destruction of records based on the approved Retention and Disposal schedule.
ICT team	<ul style="list-style-type: none"> • Maintain and support the function, security, and integrity of ENZ's data and information repositories • Manage the information and records management function within ENZ • Implement actions to monitor and audit compliance with Information Management Policy • Ensure all new staff receive information/records management induction and training • Ensure staff receive training and support in using ENZ's information management systems

ENZ managers	<ul style="list-style-type: none"> • Ensure all new staff receive information/records management induction and training • Champion high quality information and records management • Monitor staff understanding of, and compliance with the ENZ information management policy and procedures • Ensure appropriate information management practices are implemented in their teams • Support and foster a culture that promotes good recordkeeping practices
All staff and the Board	<ul style="list-style-type: none"> • Understand and comply with ENZ's documented information and records management policy and procedures • Understand their legislative requirements of a government employee • Create a full and accurate record of activities, transactions and decisions carried out during business activities • Ensure that business records are maintained by being stored and accessed in ENZ's recordkeeping systems, rather than in personal systems, and make sure records are filed accurately • Ensure records are accessible to colleagues as required by not putting passwords on documents • Ensure that client or sensitive information is protected from unauthorised external access • Report any security breaches
IT Vendors	<ul style="list-style-type: none"> • Maintain and support the function, security, and integrity of ENZ's data and information repositories as per the contractual arrangements • Adhere to the Information and Records Management Policy and Procedures as if they were permanent staff
Contractors/ temporary staff	<ul style="list-style-type: none"> • Adhere to the Information and Records Management Policy and Procedures as if they were permanent staff
ENZ Digital Review Group	<ul style="list-style-type: none"> • Ensure Information and Records Management practices are regularly reviewed.