

## Records Management

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*Major changes/additions since the last version was approved are indicated by a vertical line in the left hand margin. (or similar statement to give overview of changes made)*

*March 2012: Ara Institute of Canterbury<sup>1</sup> Policy and Procedures have been updated to reflect the changes in structure, committees, roles and delegations as a result of the Ara Management Restructure currently being implemented. The content of this policy and procedure will be reviewed according to the review cycle detailed above.*

## 1 Introduction

Ara is committed to developing, implementing and maintaining recordkeeping best practices which provide a consistent all-of-business approach. This approach integrates records management into the day-to-day workflows of all staff to meet business needs, compliance requirements, stakeholder expectations and cultural needs.

The Records Management policy is presented as a set of principles with supporting recordkeeping standards that serve as a ready reference for ARA to meet good recordkeeping requirements. Adherence to the policy and standards ensures that full and accurate records of Ara business decisions and transactions are created and managed appropriately over time to maximise access to business critical information, improve process efficiency and reduce risk to the organisation.

### 1.1 Purpose

The Records Management Policy establishes the principles of recordkeeping for Ara and the associated standards outline the requirements and the recordkeeping responsibilities of staff. The policy supports the establishment of a consistent and coordinated approach to records management that effectively and efficiently supports the business of Ara.

### 1.2 Scope and Application

This is an Ara-wide policy. It applies to:

- a All staff at Ara, including full and part-time permanent, temporary and contracting staff
- b All business functions and activities of Ara, including those performed by outside contractors
- c All records, regardless of format or media, created, received and managed by Ara in the conduct of its business by staff and affiliated organisations or businesses. Note: emails, data and datasets are forms of electronic record
- d All metadata associated with electronic information, including data held in corporate information systems and content management systems.

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<sup>1</sup> From herein referred to as Ara

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### 1.3 Formal Delegations

The Records Manager has delegated authority from the CE to dispose of Ara records and to sign Archives New Zealand documentation.

### 1.4 Definitions

- a **Access:** The availability of records / archives for consultation as a result of both legal authorisation and the existence of finding aids
- b **Archive:** Record that is of permanent value and transferred to Archives New Zealand; repository housing archives
- c **Archives New Zealand:** Department of Internal Affairs division that administers the Public Records Act 2005
- d **Business Classification Scheme (BCS):** Classification based upon the business functions and activities of Ara which generate records of evidential value
- e **Business decision:** Decision conducted in the line of business which generates a record
- f **Business rule:** Rules established by Ara to ensure that business needs are met and consistent recordkeeping practice is implemented, particularly used when records are not governed by Archives New Zealand approved disposal authorities
- g **Chief Archivist:** Statutory role responsible for administering the Public Records Act and Archives New Zealand; grants formal authority to dispose of records via disposal authorities
- h **Corporate Information System:** ICT solutions that create, store, manage and provide access to electronic data, information or records. They include either line of business systems e.g. SMS, Talent2 Alesco, Kypera or shared repositories including content management systems (see Shared repository)
- i **Creation and maintenance:** The process and act of creating records that are accurate, authoritative, and reliable; and managing these records over time in a way that ensures their accessibility and usability for as long as it is necessary to meet legal obligations and business requirements
- j **Data:** A general term meaning facts, numbers, letters and symbols collected by various means and processed to produce information
- k **Destruction:** Disposal outcome where records are securely destroyed. For paper records that means using secure destruction bins; for electronic records or data it means permanent deletion i.e. the information is not retrievable
- l **Disposal:** Process of implementing a records disposal authority with disposal outcomes of destruction, archiving or permanent retention
- m **Disposal Authority (DA):** Formal authority granted to Ara by the Chief Archivist to dispose of records
- n **Disposal framework:** Collated documentation and processes controlling records disposal at Ara
- o **General Disposal Authority (GDA):** Disposal authorities granted by the Chief Archivist for use by multiple agencies

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- p **Government loans process:** Process whereby Ara records transferred to Archives New Zealand may be requested for use at Ara
- q **Hazard:** Inanimate threat to records such as environmental threats e.g. flooding, inadequate shelving
- r **Information:** Data that has been processed into a meaningful form
- s **Metadata:** Structured information that describes and/or allows for finding, managing, controlling, understanding or preserving other information over time. Examples of metadata in a physical record keeping environment include the name, file number, date range and author written on its cover. Examples of metadata in an electronic recordkeeping environment include unique identifier, document properties, dedicated encoding schemes, and other sources of controlled information describing individual files or aggregations of files such as folders
- t **Permanent retention:** Disposal outcome where records are permanently housed at Ara
- u **Pest:** Animate threat to records such as rodents and insects e.g. silverfish
- v **Portable storage device:** An external drive designed to hold any kind of digital data e.g. USB, pen drive
- w **Record:** Information created, received and maintained as evidence and information by an organisation or person in pursuance of legal obligations or in the transaction of business. Records can exist in any format (text, email, sound, speech, compiled data etc.) and in any media (film, negative, tape, CD, electronic devices and systems)[see ISO15489]
- x **Records Centre:** Records storage facility managed by the Records Management Programme to store records that meet accession criteria and to process records for disposal and storage both offsite and onsite
- y **Recordkeeping Framework:** Framework that outlines elements of a records management programme that support good recordkeeping practice
- z **Shared repository:** A repository, system or drive where electronic records are managed and stored and are accessible to all appropriately authorised staff e.g. Shared drive, SharePoint, Equella
- aa **Storage:** Function of storing records for future retrieval and use
- bb **Transaction:** Record that provides evidence of a business activity
- cc **Version control:** A process that allows for the precise placing of individual versions of a document within a continuum.

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<p><b>Related Ara Procedures</b>(indicate if attached to policy or where they can be found)</p> <ul style="list-style-type: none"> <li>• CPP106a Intellectual Property Flowcharts</li> <li>• CPP121a-f ICT Standards</li> <li>• CPP1141-d (appended to this policy document)</li> </ul>	<p><b>Related Ara Policies</b></p> <ul style="list-style-type: none"> <li>• CPP106 Intellectual Property</li> <li>• CPP109 Disclosing Personal Information about Staff and Students</li> <li>• CPP110 Legislative Compliance</li> <li>• CPP121 ICT Security</li> <li>• CPP123 Data Governance</li> </ul>
<p><b>Related Legislation or Other Documentation</b></p> <ul style="list-style-type: none"> <li>• Public Records Act 2005 (PRA)</li> <li>• ISO 15489-1:2001 Information and documentation -- Records management - Part 1: General</li> <li>• ISO/TR 15489-2:2001 Information and documentation -- Records management - Part 2: Guidelines</li> </ul>	<p><b>Good Practice Guidelines</b>(indicate if attached to policy or where they can be found)</p>
<p><b>References</b></p> <ul style="list-style-type: none"> <li>• Archives New Zealand, Records Management Standard for the New Zealand Public Sector – Pre-publication version March 2014 <a href="http://archives.govt.nz/sites/default/files/records_management_standard_for_the_new_zealand_public_sector_-_pre-publication_version_march_2014.pdf">http://archives.govt.nz/sites/default/files/records_management_standard_for_the_new_zealand_public_sector_-_pre-publication_version_march_2014.pdf</a> (accessed 25 March 2014)</li> <li>• Archives New Zealand, Access Standard, <a href="http://archives.govt.nz/advice/continuum-resource-kit/glossary/definitions-full-list">http://archives.govt.nz/advice/continuum-resource-kit/glossary/definitions-full-list</a> (accessed 25 March 2014)</li> <li>• Archives New Zealand, Create and Maintain Recordkeeping Standard, <a href="http://archives.govt.nz/sites/default/files/S7_Create_and_Maintain_Recordkeeping_Standard.pdf">http://archives.govt.nz/sites/default/files/S7_Create_and_Maintain_Recordkeeping_Standard.pdf</a> (accessed 25 March 2014)</li> <li>• Archives New Zealand, Disposal Standard, <a href="http://archives.govt.nz/sites/default/files/S9_-_Disposal_Standard.pdf">http://archives.govt.nz/sites/default/files/S9_-_Disposal_Standard.pdf</a> (accessed 25 March 2014)</li> <li>• Archives new Zealand, Storage Standard, <a href="http://archives.govt.nz/sites/default/files/S2_Storage_Standard_PDF.pdf">http://archives.govt.nz/sites/default/files/S2_Storage_Standard_PDF.pdf</a> (accessed 25 March 2014)</li> <li>• Archives New Zealand, Glossary Definitions Full List, <a href="http://archives.govt.nz/advice/continuum-resource-kit/glossary/definitions-full-list">http://archives.govt.nz/advice/continuum-resource-kit/glossary/definitions-full-list</a> (accessed 25 March 2014)</li> </ul>	
<p><b>Notes</b> See CPP114a-d for details on supporting procedures and documentation for Recordkeeping Standards</p>	

## 2 Principles

### 2.1 Overview

Ara is accountable for the conduct of its business as evidenced in the records of its business activities and transactions. Ara is subject to both legislative and regulatory requirements including but not limited to the following:

- Public Records Act 2005 (PRA)
- Privacy Act 1993
- Official Information Act 1982
- Electronic Transactions Act 2002
- Copyright Act 1994
- Evidence Act 2006
- Tax Administration Act 1994
- Financial Reporting Act 1993
- Education Act 1989

For a full list of legislation which relates to Ara, please see [www.itpnz.aon.co.nz](http://www.itpnz.aon.co.nz).

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## 2.2 Compliance

### **Principle 1: Ara will comply with recordkeeping legislation and regulatory requirements**

Compliance capability at Ara is measured by the ability to provide evidence of recordkeeping best practice and through the ability to provide records in accordance with legislative and regulatory requirements, in particular the Public Records Act 2005 (PRA) and Official Information Act (1982). Public Records Act audit is the external monitoring process that relates the compliance at Ara to Parliament. Recordkeeping compliance is also monitored internally by the Records Manager.

This policy and its associated standards integrate the principles and requirements of the mandatory recordkeeping standards set forth in the PRA. These standards set the framework for recordkeeping compliance in Public Offices, including Ara.

The PRA and its supporting standards recognise the evidential value of accurate, authoritative records created, maintained and disposed in a controlled manner. This policy – and its associated standards – establishes the records management practice and tools required by Ara to achieve compliance.

## 2.3 Good Business Practice

### **Principle 2: Ara will create and manage records over time to support good business practice**

The creation and management of accurate and reliable records enables Ara to function efficiently and effectively.

Management of records includes the routine, regular and authorised disposal of records.

Creating and maintaining records protects the rights and entitlements at Ara and those of its staff and students.

Ara is accountable for its business decisions and transactions and must be able to provide evidence of its business conduct to meet internal and external stakeholder expectations.

## 2.4 Risk Management

### **Principle 3: Comprehensive records management will support risk management at Ara**

Good recordkeeping practice mitigates risk by reducing the likelihood that Ara is compromised by inappropriate or inadvertent release of records.

Risk is mitigated when Ara is able to provide internal and external stakeholders with access to its records when appropriate and/or legally required.

Management, control and access to records are necessary to ensure effective decision-making that maintains and protects the rights and entitlements of Ara.

## **3 Associated Standards and procedures for**

### **Ara Corporate Policy on: Records Management**

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<b>Contents:</b>	3.1	Ara Recordkeeping Standards
	3.2	Application of Ara Recordkeeping Standards
	3.3	The Standards CPP 114a-d

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### 3.1 Ara Recordkeeping Standards

#### a Overview

Recordkeeping Standards at Ara have been developed to meet the recordkeeping requirements of the institute and its staff. The standards provide direction and guidance on recordkeeping expectations, roles and responsibilities throughout the institute.

In addition, the standards ensure that principles of compliance, good business practice and risk management are addressed through the integration and interpretation of principles and requirements outlined in Archives New Zealand's recordkeeping standards: Creation and Maintenance, Disposal, Access and Storage and the Records Management Standard for the Public Sector – Pre-publication version March 2014.

Archives New Zealand's recordkeeping standards are based on ISO 15489-1 and ISO/TR 15489-2. For Ara, this means that through adherence to the Ara Recordkeeping standards, the institute meets not only the mandatory standards of the Public Records Act but additionally those international recordkeeping standards established by the International Organization for Standardization (ISO).

Ara Recordkeeping Standards are mandatory. This ensures consistency of recordkeeping practice across the institute and also ensures that Ara can be confident when measuring and reporting on compliance to both internal and external stakeholders.

#### b Summary Table

The table below summarises each Ara Recordkeeping Standard: Creation and Maintenance, Disposal, Access and Storage. It acts as a ready reference to improve usability and direct users to the standard and section that meets their immediate recordkeeping needs.

Ara Recordkeeping Standard	Standard Coverage – Rules and Requirements	Standard applies to
CPP 114a Creation and Maintenance Standard	<p><i>Rule 1: Recordkeeping practices must be actively incorporated into Ara business processes</i></p> <ul style="list-style-type: none"> <li>Recordkeeping practices are supported throughout Ara</li> <li>Ara records are managed systematically</li> </ul> <p><i>Rule 2: Full and accurate records of Ara business decisions and transactions must be made</i></p> <ul style="list-style-type: none"> <li>Records of business decisions and transactions are created</li> <li>Records of business decisions and transactions are captured routinely into a shared system</li> </ul> <p><i>Rule 3: Records must provide authoritative and reliable evidence of Ara business</i></p> <ul style="list-style-type: none"> <li>Records are authentic, reliable, complete and accessible.</li> </ul>	<ul style="list-style-type: none"> <li>CE</li> <li>Records Manager</li> <li>Human Resources</li> <li>ICT</li> <li>Managers with staff responsibility</li> <li>All staff</li> </ul>
CPP 114b Disposal Standard	<p><i>Rule 1: Disposal must be authorised</i></p> <ul style="list-style-type: none"> <li>Records disposal follows processes in the Ara disposal framework</li> </ul>	<ul style="list-style-type: none"> <li>Records Manager</li> <li>ICT</li> <li>Managers</li> <li>All staff</li> </ul>

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	<i>Rule 2: Disposal must be actively incorporated into Ara business processes</i> <ul style="list-style-type: none"> <li>Ara records are disposed systematically</li> </ul>	
CPP 114c Access Standard	<i>Rule 1: Ara records must be an accessible resource</i> <ul style="list-style-type: none"> <li>Ara records are accessible where appropriate</li> </ul>	<ul style="list-style-type: none"> <li>Records Manager</li> <li>Managers</li> <li>All staff</li> </ul>
CPP 114d Storage Standard	<i>Rule 1: Records storage must be managed</i> <ul style="list-style-type: none"> <li>Records storage areas at Ara provide a safe and hazard-free environment for active and inactive records</li> <li>Off-site storage is centralised through the Records Management Programme</li> </ul>	<ul style="list-style-type: none"> <li>Records Manager</li> <li>Facilities Management</li> <li>Managers</li> <li>Staff with off-site storage responsibility</li> <li>All staff</li> </ul>

### 3.2 Application of Ara Recordkeeping Standards

Ara Recordkeeping Standards are a first point of reference for staff with recordkeeping questions. The standards should be applied to provide guidance on records creation and maintenance, disposal, access and storage.

The standards are supported with procedures and additional documentation where appropriate. Use of the standards in conjunction with supporting documentation promotes recordkeeping best practice at Ara.

The Records Manager should be contacted for additional guidance and support on recordkeeping best practice.

#### a Ara Requirements

The mandatory application of Ara Recordkeeping Standards facilitates the institute in meeting its legal obligations under the PRA but also in meeting the institute's aims of improving business efficiency and effectiveness.

#### b Format

Ara Recordkeeping Standards follow a consistent format: title of the standard, standard rule, requirements, responsibilities, results and if applicable a list of associated procedures and documentation that supports the standard.

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### 3.3 The Standards CPP 114a-d

## CPP 114a Creation and Maintenance Standard

1. Recordkeeping practices must be actively incorporated into Ara business processes

Requirement	Responsibility	Result
i. Recordkeeping practices are supported throughout Ara	<p><b>CE must:</b></p> <ul style="list-style-type: none"> <li>Ensure recordkeeping compliance</li> </ul> <p><b>Records Manager must:</b></p> <ul style="list-style-type: none"> <li>Develop, implement and maintain recordkeeping capability to facilitate compliance</li> <li>Support policies and procedures through communication and training</li> </ul> <p><b>Human Resources must:</b></p> <ul style="list-style-type: none"> <li>Include recordkeeping responsibilities in all position descriptions and contractor agreements</li> <li>Include recordkeeping responsibilities as part of induction procedures/ information packages</li> <li>Acknowledge the recordkeeping function in the organisational chart</li> </ul> <p><b>Managers with staff responsibility must:</b></p> <ul style="list-style-type: none"> <li>Ensure staff understand recordkeeping responsibilities as part of role-specific induction and position relevant training</li> </ul> <p><b>All staff must:</b></p> <ul style="list-style-type: none"> <li>Understand what a record is</li> <li>Understand that records created in the line of business are the property of Ara<sup>2</sup></li> <li>Comply with recordkeeping policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>Ara has a strong culture of good recordkeeping practice</li> <li>Recordkeeping practices and procedures contribute to compliance</li> <li>Recordkeeping compliance is monitored internally</li> <li>The Ara organisational structure includes a recordkeeping compliance role e.g. Records Manager</li> <li>Records are identified and captured within appropriate systems</li> <li>Records are created and maintained in accordance with Ara policies and procedures</li> <li>Recordkeeping responsibilities are clearly outlined in position descriptions and contractor agreements</li> <li>Recordkeeping policies and procedures are supported through induction and on-going role-specific training</li> </ul>

<sup>2</sup> For exceptions see: [http://cmsstatic1.cpit.ac.nz/assets/pdf\\_file/0018/131346/CPPI06-Intellectual-Property.pdf](http://cmsstatic1.cpit.ac.nz/assets/pdf_file/0018/131346/CPPI06-Intellectual-Property.pdf); [http://cmsstatic1.cpit.ac.nz/assets/pdf\\_file/0019/131347/CPPI06a-Intellectual-Property-Flowchart.pdf](http://cmsstatic1.cpit.ac.nz/assets/pdf_file/0019/131347/CPPI06a-Intellectual-Property-Flowchart.pdf)

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	<ul style="list-style-type: none"> <li>Fulfil recordkeeping expectations in line with their position descriptions</li> </ul>	
ii. Ara records are managed systematically	<p><b>Records Manager must:</b></p> <ul style="list-style-type: none"> <li>Develop, implement and maintain systems and processes to facilitate creation and maintenance of records</li> <li>Document functions and activities of Ara in a business classification scheme (BCS) and through recordkeeping metadata</li> </ul> <p><b>ICT must:</b></p> <ul style="list-style-type: none"> <li>Facilitate the integration of recordkeeping metadata in new or upgraded systems developments</li> </ul> <p><b>All staff must:</b></p> <ul style="list-style-type: none"> <li>Follow Ara and departmental procedures for the creation and maintenance of records</li> <li>Retain records in shared repositories where possible and appropriate</li> </ul>	<ul style="list-style-type: none"> <li>Ara has a strong recordkeeping framework that reflects the business</li> <li>Ara records are managed efficiently and effectively to support business and compliance requirements</li> <li>Records are accessible – they are created once and then used many times</li> <li>Records are managed over time according to Archives New Zealand approved retention and disposal authorities and Ara business rules</li> <li>Recordkeeping metadata is integrated into all line-of-business systems</li> </ul>

*2. Full and accurate records of Ara business decisions and transactions must be made*

Requirement	Responsibility	Result
i. Records of business decisions and transactions are created	<p><b>All staff must:</b></p> <ul style="list-style-type: none"> <li>Create records that provide evidence of business decisions and transactions</li> <li>Where possible create records within corporate information systems</li> </ul>	<ul style="list-style-type: none"> <li>Records are comprehensive and provide authoritative evidence of all business decisions and transactions</li> </ul>
ii. Records of business decisions and transactions are captured routinely into a shared system	<p><b>All staff must:</b></p> <ul style="list-style-type: none"> <li>Where possible maintain records within corporate information systems where they are created</li> <li>Save electronic records documenting business transactions and decisions into the appropriate shared repository</li> <li>Retain emails documenting business transactions and decisions within Outlook</li> <li>File hardcopy records documenting business transactions and decisions within departmental/divisional filing systems</li> </ul>	<ul style="list-style-type: none"> <li>Records are accessible – they are created once and then used many times</li> <li>Ara can provide accurate and timely account of its business</li> <li>Records of business value are retained in backed up systems</li> <li>Records are retained in accordance with Archives New Zealand approved disposal authorities and Ara business rules</li> </ul>

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	<ul style="list-style-type: none"> <li>Retrieve, handle and re-shelve hardcopy records in accordance with departmental/divisional procedures</li> <li>Where possible insert document links in emails, rather than attachments</li> </ul>	
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*3. Records must provide authoritative and reliable evidence of Ara business*

Requirement	Responsibility	Result
i. Records are authentic, reliable, complete and accessible.	<p><b>Records Manager and ICT must:</b></p> <ul style="list-style-type: none"> <li>Develop, implement and maintain systems and processes to ensure attribution of recordkeeping metadata is inviolable.</li> <li>Have data migration plans to ensure long-term accessibility.</li> </ul> <p><b>All staff must:</b></p> <ul style="list-style-type: none"> <li>Create records that accurately reflect Ara business and maintain these in shared repositories</li> <li>Identify and protect sensitive or confidential records by restricting access e.g. locking electronic files; locking hardcopy storage areas</li> <li>Adhere to any policy on portable storage device use</li> <li>Retain records in accordance with approved disposal authorities and Ara business rules</li> <li>Use version control where appropriate</li> <li>Ensure that final drafts of work are identified and saved in a format that precludes unapproved editing</li> <li>Liaise with Records Manager before embarking on scanning/digitisation projects</li> </ul>	<ul style="list-style-type: none"> <li>Records are what they purport be</li> <li>Records are accessible in shared systems and used i.e. records are created once and then used many times</li> <li>Unapproved disclosure of electronic and hardcopy records identified as sensitive or classified is minimised</li> <li>Unmanaged data stored on portable devices and its inherent risk of loss and unapproved disclosure is minimised</li> <li>Records are retained in accordance with Archives New Zealand approved disposal authorities and Ara business rules</li> <li>Digitisation as back-capture or business process development complies with AS/NZS ISO138028:2012 Information and Documentation – Implementation Guidelines for Digitization of Records</li> </ul>

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## CPP 114b Disposal Standard

### 1. Disposal must be authorised

Requirements	Responsibility	Result
i. Records disposal follows processes in the Ara disposal framework	<p><b>Records Manager must:</b></p> <ul style="list-style-type: none"> <li>• Maintain disposal framework and associated documentation</li> <li>• Monitor disposal practices</li> <li>• Maintain Archives New Zealand approved disposal authorities for Ara</li> <li>• Undertake appraisal as appropriate</li> <li>• Act as CE's delegated authority for disposal</li> <li>• Sign off on disposal memoranda meeting disposal criteria</li> </ul> <p><b>Managers must:</b></p> <ul style="list-style-type: none"> <li>• Ensure records listed for disposal meet disposal criteria in disposal authority</li> <li>• Take responsibility for signing off disposal of records for which they are business owners</li> </ul> <p><b>All Staff must:</b></p> <ul style="list-style-type: none"> <li>• Follow disposal framework guidelines</li> <li>• Not dispose of records without authorisation</li> <li>• Not dispose of records for which there is no legal disposal authority or approved business rule in place</li> </ul>	<ul style="list-style-type: none"> <li>• Ara has a strong disposal framework that supports efficiency and effectiveness</li> <li>• Ara disposes of records in accordance with the PRA and under the authorisation of the Chief Archivist</li> <li>• Records that are not covered by legal disposal authorities or approved business rules are retained for appraisal by the Records Manager</li> <li>• Significant content is identified and retained as a permanent record of the functions of Ara</li> <li>• Records disposal is monitored internally</li> <li>• Onsite and offsite storage costs are reduced and space is managed efficiently</li> </ul>

### 2. Disposal must be actively incorporated into Ara business processes

i. Ara records are disposed systematically	<p><b>Records Manager must:</b></p> <ul style="list-style-type: none"> <li>• Develop and oversee disposal processes</li> <li>• Ensure disposal documentation is complete and accurate</li> <li>• Provide disposal advice to departments/ divisions</li> <li>• Manage the legacy records management plan of Ara</li> <li>• Manage transfer of records to Archives New Zealand as appropriate</li> </ul>	<ul style="list-style-type: none"> <li>• Responsibility for disposal is shared across Ara</li> <li>• All disposal is documented in accordance with PRA requirements</li> <li>• Disposal is undertaken by staff who have the appropriate knowledge and skills</li> <li>• Destruction of records is complete and secure</li> <li>• Destruction of records complies with security and privacy requirements</li> </ul>
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	<p><b>ICT must:</b></p> <ul style="list-style-type: none"> <li>• Ensure that deletion of home (H) drives and Outlook accounts of departing staff does not occur until final approval by Records Manager</li> <li>• Liaise with Records Manager to ensure requests to delete electronic drives comply with disposal authorities</li> <li>• Ensure that electronic records disposal is complete and permanent</li> </ul> <p><b>Managers must:</b></p> <ul style="list-style-type: none"> <li>• Liaise with Records Manager to plan disposal</li> <li>• Liaise with Records Manager when records disposal involves transfer to Archives New Zealand</li> <li>• Institute regular and routine disposal in their departments/ divisions</li> <li>• Ensure staff undertaking disposal understand disposal processes and documentation</li> <li>• Ensure disposal documentation is completed as part of disposal process</li> <li>• Take responsibility for disposal of records of staff no longer employed by Ara</li> </ul> <p><b>All staff must:</b></p> <ul style="list-style-type: none"> <li>• Dispose of records in line with recordkeeping responsibilities</li> <li>• Complete disposal documentation in line with recordkeeping responsibilities</li> <li>• Dispose of hardcopy records designated for destruction by using the secure bins supplied by the offsite storage provider at Ara</li> <li>• Dispose of electronic records designated for destruction by deletion of all known iterations of record where appropriate</li> </ul>	<ul style="list-style-type: none"> <li>• Ara minimises electronic and hardcopy records stored on campus</li> <li>• Ara increases records control through improved usability and retrieval</li> </ul>
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## Supporting Procedures and Documentation

- a. Disposal Framework
- b. Disposal Authority
- c. Records Disposal List Template
- d. Records Disposal Memorandum Template

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## CPP 114c Access Standard

### 1. Ara records must be an accessible resource

Requirements	Responsibility	Result
i. Ara records are accessible where appropriate	<p><b>Records Manager must:</b></p> <ul style="list-style-type: none"> <li>• Manage access agreements with Archives New Zealand</li> <li>• Facilitate access to records deemed to have an open access status</li> <li>• Provide space to view records</li> <li>• Manage requests to view records with a restricted access status</li> <li>• Develop and implement finding aids for Ara records</li> <li>• Oversee government loans process to access Ara records held at Archives New Zealand</li> <li>• Liaise with ICTS regarding access permissions/protocols for electronic content and systems</li> </ul> <p><b>Managers must:</b></p> <ul style="list-style-type: none"> <li>• Ensure that records storage areas are only accessed by authorised staff</li> </ul> <p><b>All staff must:</b></p> <ul style="list-style-type: none"> <li>• Facilitate timely access to requested records where appropriate</li> </ul>	<ul style="list-style-type: none"> <li>• Ara demonstrates a culture of open information</li> <li>• Ara welcomes access to its records from internal and external users</li> <li>• Ara records are a resource for internal and external users</li> <li>• Ara complies with access agreements and privacy principles</li> <li>• Ara is able to answer OIA requests in a timely and definitive manner</li> </ul>

## CPP 114d Storage Standard

### 1. Records storage must be managed

Requirements	Responsibility	Result
i. Records storage areas at Ara provide a safe and hazard-free environment for active and inactive records	<p><b>Records Manager must:</b></p> <ul style="list-style-type: none"> <li>• Provide advice on storage standards</li> <li>• Monitor storage areas for hazards</li> <li>• Provide assistance/advice in response to hazard identification or damage to records e.g. records damaged by flooding</li> </ul>	<ul style="list-style-type: none"> <li>• Records are stored safely while housed at Ara</li> <li>• Ara is able to respond to events which affect records</li> <li>• Ara is proactive in minimising risk to records from hazards, pests, poor</li> </ul>

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	<ul style="list-style-type: none"> <li>• Develop and maintain a disaster response plan to support the CIMS</li> <li>• Respond to the institute’s salvage training needs</li> </ul> <p><b>Facilities Management must:</b></p> <ul style="list-style-type: none"> <li>• Deliver regular and routine pest control to storage areas</li> <li>• Storage areas are included in regular maintenance programmes</li> </ul> <p><b>Manager must:</b></p> <ul style="list-style-type: none"> <li>• Liaise with Records Manager to ensure staff responsible for records salvage are trained</li> <li>• Ensure records storage areas are clean, dry, pest-free and fit for purpose e.g. only records are stored in the area on/in appropriate shelves/cabinets</li> <li>• Ensure staff safety when working in records areas</li> <li>• Ensure that records are stored in an orderly manner</li> </ul> <p><b>All staff must:</b></p> <ul style="list-style-type: none"> <li>• Inform their managers of hazards or pests in or near records storage areas</li> <li>• Store records in an orderly manner</li> </ul>	<p>storage environments and practices</p> <ul style="list-style-type: none"> <li>• Storage conditions are monitored</li> </ul>
<p>ii. Off-site storage is centralised through the Records Management Programme</p>	<p><b>Records Manager must:</b></p> <ul style="list-style-type: none"> <li>• Negotiate and manage contracts with storage providers</li> <li>• Oversee centralised off-site storage processes including lodgement and retrieval</li> </ul> <p><b>Managers must:</b></p> <ul style="list-style-type: none"> <li>• Nominate staff to list records for lodgement</li> </ul> <p><b>Staff with off-site storage responsibility must:</b></p> <ul style="list-style-type: none"> <li>• List records on off-site storage lodgement template</li> <li>• Liaise with Records Management Programme to complete lodgement process</li> <li>• Liaise with Records Management Programme to retrieve records stored off-site</li> </ul> <p><b>All staff must:</b></p> <ul style="list-style-type: none"> <li>• Liaise with staff with off-site storage responsibility to lodge material with off-site storage providers</li> <li>• Follow request process to retrieve records from off-site storage</li> </ul>	<ul style="list-style-type: none"> <li>• Ara has intellectual control of records stored off-site</li> <li>• Ara is able to manage retention and disposal of records effectively and efficiently</li> <li>• Ara minimises use of off-site storage</li> <li>• Ara centralises off-site storage processes</li> <li>• Off-site storage is actively managed and monitored</li> </ul>

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## Supporting Procedures and Documentation

- a. Offsite Storage Lodgement Process
- b. Offsite Storage Lodgement Request
- c. Storage Lodgement List Template
- d. Offsite Storage Retrieval Request Process
- e. Offsite Storage Retrieval Request
- f. Records Centre Transfer Process
- g. Records Centre Transfer List Template
- i. Records Centre Request Process
- j. Records Centre Retrieval Request

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