Te Rua Mahara o te Kāwanatanga
ARCHIVES
NEW ZEALAND

# Archives New Zealand Recordkeeping Policy

Revised September 2007

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# Archives New Zealand Recordkeeping Policy

**Date of Effect** **1 September 2004**
**Date of Last Revision** **1 August 2007**
**Contact** **Records Manager**

## 1. Purpose

The purpose of this policy is to provide a framework and assign responsibilities for ensuring that full and accurate records of the business activities of Archives New Zealand are created, maintained and disposed of in accordance with best practice.

## 2. Scope

This policy applies to all staff of Archives New Zealand, whether permanent or temporary, including contractors and volunteers.

This policy applies to all business activities performed by or on behalf of Archives New Zealand; in whatever manner they are conducted. This includes all written correspondence, whether paper or electronic, and all spoken transactions, including meetings and telephone calls. Equally, it covers all records of these activities regardless of the media in which they are captured. It applies to both internal or external activities and any correspondence both sent and received in the course of normal prudent business practice.

## 3. Principles

The underlying principle is to ensure that records are well maintained and can be easily retrieved by staff as required. Archives New Zealand expects that:

- All staff will understand what the characteristics of a record are: authenticity, integrity, reliability and usability.
- All staff will create and maintain full and accurate records of all business activities they carry out.
- All corporate records (including paper and electronic) will be captured into the organisation's recordkeeping systems (see Appendix 1).
- Where appropriate, records created will follow the corporate naming conventions A196386.
- All corporate records will be readily accessible to all staff, unless there is a good reason to limit access, in which case access will be on a 'need to know' basis, consistent with the requirements of the Privacy Act.
- Physical files will be kept in the designated areas unless required for specific purposes. The location of physical files will be kept up-to-date at all times in the central recordkeeping system (Objective) in accordance with the Archives New Zealand Electronic Recordkeeping Systems Standard.

- No staff member will dispose of corporate records unless authorised to do so by the Records Manager in accordance with the appropriate Legal Authority.
- All records created by staff, and any intellectual property contained in these records, are the property of Archives New Zealand. No copies should be made for the purpose of removing from Archives New Zealand's possession without permission.

## 4. Responsibilities

All Staff are responsible for:

- Understanding and complying with Archives New Zealand's documented records management policies and procedures;
- Creating full and accurate records of activities, transactions, and decisions carried out during the course of daily business activity;
- Ensuring that such records are maintained by being captured into the Archives New Zealand's recordkeeping systems (see Appendix 1), and by handling records with care and respect so as not to damage them or compromise their integrity;
- Preventing unauthorised access to records;
- Ensuring that no records are destroyed or removed unless permitted by a current disposal authority;
- Ensuring appropriate metadata is consistently applied;
- Ensuring that 'in confidence' and 'sensitive' records, and any classified records, are stored appropriately;
- Alerting the Records Manager or appropriate manager to any breaches or errors of the policy or similar.

The Chief Archivist and Chief Executive is responsible for:

- Authorising the organisation's Recordkeeping Policy;
- Assigning responsibilities for recordkeeping;
- Ensuring that policy exists to prevent illegal records disposal taking place.

The Records Manager is responsible for:

- Ensuring that Archives New Zealand's recordkeeping procedures support the aims of this policy;
- Ensuring that information about Archives New Zealand's recordkeeping policies, systems, and procedures is communicated throughout the organisation;
- Ensuring that staff receive training and support in appropriate use of Archives New Zealand's recordkeeping systems;
- Monitoring and auditing compliance with Archives New Zealand's recordkeeping systems;
- Managing the system administration of Objective – the organisation's Electronic Document and Records Management tool;
- Regularly reviewing procedures to ensure that they are relevant, useful, and meet Archives New Zealand's needs;
- Reviewing this policy annually.

Each Manager/Team Leader (with staff responsibilities) is responsible for:

- Ensuring that all new staff receive records management induction and training;

- Monitoring their staff's compliance with Archives New Zealand's recordkeeping policy and procedures;
- Ensuring that staff are aware no illegal records disposal may take place;
- Ensuring that appropriate recordkeeping procedures are implemented within their Group;
- Ensuring that appropriate procedures and facilities are provided for the storage of 'in confidence' and 'sensitive' records, and any classified records that may be created or received.

## 5. Monitoring and Review

This policy will be reviewed annually, or whenever a significant event necessitates, ensuring that it remains relevant to the organisation's business aims and requirements. Staff compliance with the policy and associated procedures will be monitored on an ongoing basis through staff self-assessment, by Managers/Team Leaders with responsibilities for staff and by the Records Manager. The review of this policy will be undertaken by the Records Manager and included in the Policy Review Schedule managed by the Policy and Planning Team.

## 6. Authorisation

Approved

Dianne Macaskill
Chief Executive / Chief Archivist
Archives New Zealand

Date: 6th September 2007

## Appendix 1: Archives New Zealand Recordkeeping Systems

Archives New Zealand maintains a recordkeeping environment that incorporates a number of recordkeeping and business information systems. Below is a breakdown of these systems:

| | |
|---|---|
| **Objective**<br>This is the organisation's Electronic Document and Record Management System (EDRMS) designed to manage both paper and electronic corporate records. It is identified as the organisation's central recordkeeping system.<br>All corporate records should be stored within Objective unless they have been identified as being managed in an alternative organisational recordkeeping system.<br>The business classification scheme's file plan is based on Archives New Zealand's functions and activities reflecting corporate functions i.e. the things we do to support our business and the core functions we do because we are Archives New Zealand. This provides the structure for all corporate records to be classified, filed and maintained. | Examples of Corporate functions and activities:<br>➢ Financial Management<br>    o Budgeting<br>    o Chart of Accounts<br>➢ Information Management<br>    o Advice<br>    o Control<br>➢ Property Management<br>    o Maintenance<br>    o Risk Management<br>➢ Staff Management<br>    o Recruitment<br>    o Training<br>➢ Technology and Telecommunications<br>    o Agreements and Contracts<br>    o Infrastructure Management<br>Examples of Core functions and activities:<br>➢ Access Management<br>    o Reading Room Management<br>    o Reprographics<br>➢ Government Relations<br>    o Formal Enquiries<br>    o Miister Responsible for Archives New Zealand<br>➢ Intellectual Control of Archives<br>    o Documentation of Functions of Government<br>    o Documentation of Holdings<br>➢ Physical Control of Archives<br>    o Deferred Transfer Management<br>    o Location and Space Management<br>➢ Preservation<br>    o Disaster Recovery<br>    o Treatments |
| **Archway**<br>Archway is Archives New Zealand's system for documenting government records in the context of their creation and use. It contains descriptions of over 1.5 million records that have been transferred from government agencies to our four offices in Auckland, Christchurch, Dunedin and Wellington. Detailed histories of government departments, the functions they performed and the types of records they created provide an essential | Examples of records held in Archway:<br>o Agency and series documentation<br>o Management information for all items we hold<br>o Item restriction information<br>o Organisational, jurisdiction and function information<br>o Legal instruments such as access and disposal authorities |

| | |
|---|---|
| background for locating records, and understanding their content and purpose. | |
| **Repoman/PCS**<br>Repoman is Archives New Zealand's Repository Management System – it is primarily used for tracking requests for access to the archival holdings – providing the range of shelving where agencies or record groups are held. It also holds information on the status of records e.g. reproduction | Examples of records held in Repoman:<br>○ Who requested access and when – whether agency or private individual<br>○ Location guides, updates and space allocation<br>○ Request productions<br>○ Production status |
| **Shared Drives**<br>There are a number of shared drives as well as personal K drives available to staff. Use of these shared drives for corporate records must only be undertaken with the permission and knowledge of the Records Manager. Ongoing use of the shared drives is not recommended as it is not a secure area and it is too easy for records to be inadvertently deleted. | Examples of corporate records permitted to be on the shared drive:<br>○ Preservation<br>    ○ Boxcar application<br>○ Library<br>    ○ C2 application<br>    ○ Electronic journal content pages<br>○ Government Recordkeeping<br>    ○ Working copy of recordkeeping advice register |
| **FMIS and HRMIS**<br>The Finance and Human Relations teams both manage information systems. It is expected that the outputs of these systems are captured into Objective. | |

## Appendix 2. Definitions

For the purposes of this policy, the following definitions apply. They are based on the definitions included in Archives New Zealand *Glossary of Archives and Recordkeeping Terms*.

**Accountability**
The "principle that individuals, organisations, and the community are responsible for their actions and may be required to explain them to others". (ISO 15489-2001, Part 1, 3.2)

**Business activity**
An umbrella term covering all functions, processes, activities and transactions of Archives New Zealand and its employees. (Based on AS 4390-1996, Part 1, 4.6)

**Business Classification Scheme**
Is typically made up of three parts: the organisational File Plan, Access and Security permissions and Retention and Disposal criteria. (Recordkeeping Innovation Pty Ltd, (2006) Developing a Records Taxonomy V2, P7)

**Capture**
A deliberate action, which results in the registration of a record into Archives New Zealand's recordkeeping system. For certain business activities, this action has been designed into electronic systems so that the capture of the records is concurrent with the creation of records. (Based on DIRKS, Glossary, p.4 taken from AS 4390-1996, Part 1, 4.7)

**Corporate Record**
Information, regardless of format, that has been created or received by Archives New Zealand in the course of its affairs, which documents or supports its fiscal, legal and business functions, activities and transactions.

**Disposal**
The relinquishing of a record from the custody of Archives New Zealand either by transfer or destruction. All Archives New Zealand's records disposal will be in accordance with the authorised Retention and Disposal Schedule.

**Electronic records**
Any corporate record that is created or stored by digital means. Includes documents, databases, and e-mail.

**Migration**
The "act of moving records from one system to another, while maintaining the records' authenticity, integrity, reliability, and usability". (ISO 15489-2001, Part 1, 3.13)

**Recordkeeping**
"The creation and maintenance of complete, accurate and reliable evidence of business transactions in the form of recorded information." (AS 4390-1996, Part 1, 4.19)

**Recordkeeping systems**
"[I]nformation systems which capture, maintain and provide access to records over time." (AS 4390-1996, Part 1, 4.20) In Archives New Zealand, the central recordkeeping system is Objective.

## Appendix 3. References

The following sources provide further information and were used in the preparation of this policy:

Archives New Zealand, *Access Standard*, November 2001.

Archives New Zealand, *Appraisal Standard*, September 1998.

Archives New Zealand, *Continuum* – Recordkeeping Resource Kit 2003.

Archives New Zealand, *Electronic Recordkeeping System Standard*, June 2005

Archives New Zealand, *Recordkeeping Framework*, September 2000.

Archives New Zealand, *Storage Standard*, June 2007.

Archives New Zealand, *Transfer Standard*, June 1999.

Archives New Zealand, *Objective 2000 Plus Records Management System Training Manual – Introductory Exercises,* March 2003

Australian Standard AS 4390, *Records Management*, Homebush (NSW), 1996. (AS 4390)

Employment Relations Act 2000.

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

National Archives of Australia, *Designing and Implementing Recordkeeping Systems (DIRKS): Manual for Commonwealth Agencies*, 2001. (DIRKS)

Public Records Act 2005.

Public Service Code of Conduct.

Official Information Act 1982.

Privacy Act 1993.

N.B. Acknowledgement is given to the work of the Government Recordkeeping Programme at Archives New Zealand for the resources they have developed, which were used in the creation of this policy document. Acknowledgement is also given to the State Services Commission whose Records Management Policy was also used in the development of this policy.

# Recordkeeping Quick Guide

**Date revised:** January 2010

## CREATE

### DO

- ✓ KNOW what records you should be creating
- ✓ BECOME FAMILIAR with the Classification Scheme in Objective – it is the key structure for organising our records
- ✓ FILE all records on an official file, whether electronic or paper
- ✓ REGISTER all paper records in Objective before filing
- ✓ RECORD phone or spoken conversations that constitute a record e.g. you have verbally been asked to do something – make a formal record by requesting it in an email or make a file Note and save into Objective
- ✓ ADVISE RECORDS TEAM of special access or security requirements

### DON'T

- × GUESS where documents should be filed. If you don't know, ask someone in your team, ask your manager, your PA or the records team
- × DISPOSE OF RECORDS *without* agreement from the Records Manager
- × USE SHARED DRIVES *unless* you have permission from Records Management to do so
- × USE K: DRIVE for saving records, it is for personal records only and content will be destroyed when you leave
- × USE C: OR LOCAL DRIVES for saving records as this is not backed up - you could lose records if your computer breaks

## MAINTAIN

### DO

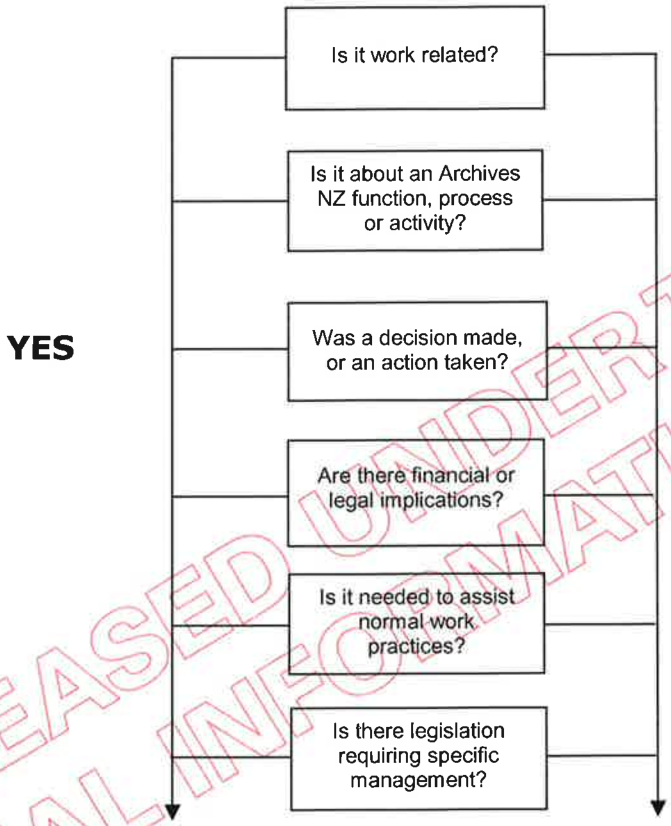
- ✓ CLOSE FILES AND FOLDERS when work is complete (ie projects)
- ✓ RETURN PAPER FILES to the tray in the Central File Room – Records Management will put them back on the shelf for you
- ✓ TRANSFER CUSTODY of files in Objective when you take them from the file room – this enables the files to be tracked

### DON'T

- × TAKE A FILE from the File Room *without* first requesting custody in Objective or filling in the transit sheet for pre-Objective files
- × TAKE FILES OFFSITE *without* approval from Records Manager
- × LEAVE RESTRICTED FILES on your desk, they should be locked away when you are not using them

# Recognising An Archives New Zealand Record

Use the following table to work out if a document is a record that needs to be managed



**DO ANY OF THE FOLLOWING APPLY?**

Is it work related?

Is it about an Archives NZ function, process or activity?

Was a decision made, or an action taken?

Are there financial or legal implications?

Is it needed to assist normal work practices?

Is there legislation requiring specific management?

**YES**

**NO**

## MANAGE AS A RECORD

These records must be saved on or in an official system, whether that means saving them in an electronic file in Objective, placing a printed copy on a paper file or entering the information in an established business system (ie finance, hr, repoman etc).

Examples include:

- Policy briefing and recommendations
- Correspondence, including email
- Reports
- Contracts and Agreements
- Appraisal Reports
- Transfer agreements
- Minutes of Meetings
- Supporting materials, such as substantive drafts and annotated documents
- Remote Reference enquiries

## NOT REQUIRED

These can be destroyed once they are no longer required and should not be registered in an official business system or placed on an official file. If you do want to keep them, they should only be saved in your home folder in Objective and must be deleted / destroyed before you leave.

Examples include:

- Copies of records or information kept for reference purposes
- Publications received (anything with an ISBN should be registered in the library if its an organisational resource)
- Private or personal correspondence received at work but not affecting official duties eg email from friends or family, CV, study paper etc
- Circulated information received for reference only e.g. Staff Bulletin, Ngā Tapuwae (note that the originator should save the official copy)

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