



# Information and Records Management Framework for the Operations Group

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## University Operations

### Risk, Assurance and Compliance

Campus and Collegiate Life Services | Campus Development | Chief Operating Officer  
Health and Safety Compliance | Information Technology Services | Project Management  
Property Services | Student Services | Sustainability



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## Information and Records Management Framework for the Operations Group

Creating and maintaining records relating to the conduct of the University's business is a requirement under the Public Records Act 2005 (PRA). The management of information is vital for the Operations Group to be able to manage its business activities in an efficient manner and to meet its legislative obligations.

This framework will allow all policies, procedures, information and advice that Corporate Records provide for the University, to be better communicated to the Operations Group. It will also help to ensure that all staff in the operations group are better supported in the process of becoming compliant with current legislation and improve their information and recordkeeping management practices.

Managing information and records appropriately provides the following benefits:

- enables accountability
- provides the foundation for sustainable and effective products and services
- supports decision making
- outlines responsibilities
- documents rights and entitlements
- drives collaboration and communication
- facilitates and enables creativity and growth
- preserves public knowledge for discovery and reuse
- makes up the corporate memory of an organisation.

Information and records should therefore be:

- trustworthy and managed accountably
- readily accessible, understandable and usable
- valued as critical to business operations
- part of an organisation's approach to risk management
- maintained to meet business, government and community purposes.

## Themes

The following themes are arranged in line with the principles of the Information and Records Management Standard 16/S1.

Theme 1: Organisations are responsible for managing information and records

Theme 2: Information and Records management supports business

Theme 3: Information and Records are well managed



*Figure 1 Principles of the Information and records management Standard 16/S1 Archives New Zealand*

## **Theme 1: Organisations are responsible for managing information and records**

For records and Information to be efficient in supporting business functions, they must be correctly managed. Through the Corporate Records Services Department, the University has developed strategies, policies, procedures and systems to allow for the correct information management of University records.

### **Key Strategies**

1. Raise awareness of legislation that relates to Information and Records Management and resulting compliance requirements.
2. Raise awareness of strategies, policies, procedures and systems in the operations group.
3. Nurture a culture of recordkeeping best practice in the operations group.
4. Monitor/Audit/QA the management of Information and Records in the Operations Group.

### **Activities**

1. Create a suite of training resources for all staff in the Operations Group, covering policy, procedures, appraisal and tools.
2. Communicate and train staff in the aspects above.
3. Create communication forums to celebrate achievements and best practice.
4. Create a responsive quality control program in conjunction with Corporate Records.
5. Identify super users in teams that can share expertise and improve general adoption of best practice.
6. Build relationships with staff in the operations group to ensure the message is being heard by all.

## **Theme 2: Information and Records Management supports business**

Information and Records Management ensures the creation, usability, maintenance, and sustainability of the information and records needed for business operations. Corporate Records Services, as the University department in charge of Information and Records Management, ensures that the University adopts policies, procedures and systems that comply with legislation. The role of the Information and Records Management function in the Operations Group is to ensure that adoption and acceptance is possible for the group by using the strategies below.

### **Key Strategies**

1. Raise the profile of recordkeeping as a core element in business in the Operations Group.
2. A systematic approach is adopted for the creation, adoption and use of applications, systems and tools that have been considered to fit in with good Information and Records Management practise as per guidance from Corporate Records Services.
3. Business requirements are supported to ensure key processes are possible, such as searching, collaboration, and retention.
4. Facilitate work practices and respond to changes in the needs of users and the Operations Group.
5. Systems, processes and training are assessed on a regular basis to ensure their continuing efficacy.

### **Activities**

1. Maintain open lines of communication with Corporate Records Services, to enable collaboration and ensure best use of resources available.
2. Ensure new systems, tools and processes fit in with best Information and Records Management (IRM) practice.
3. Offer Information and Records Management training to increase understanding of requirements and the benefits of following best practice.
4. Coach and desk train staff in the use of OURDrive, the University's electronic document and records management system (EDRMS) to maximise awareness of the business benefits of the system.
5. Build relationships with key staff in the Operations Group to raise the profile of Information and Records Management in order to achieve best practice.

## **Theme 3: Information and records are well managed**

Effective management underpins trustworthy and reliable information and records that are accessible, usable, shareable, maintained and compliant with legislation.

### **Key Strategies**

1. Raise awareness of the importance of correct creation and management of information and records.
2. Ensure staff are trained to manage their information and records in a way that makes them identifiable, retrievable, accessible, usable and compliant with legislation.
3. Ensure access is appropriate based on business requirements and legal compliance.
4. Ensure staff have been correctly supported to allow them to follow Information and Records Management best practice.
5. Create a QA programme to celebrate best practice and identify areas for further improvement.

### **Activities**

1. Training is provided on the management of information and records, covering creation, metadata, and cyclical management as required. Provide Advice, guidance and training on information management and recordkeeping practices, policies, procedures and systems as per Corporate Records Service guidance.
2. Evaluate the training provided to ensure it meets the needs of users and is delivered in a variety of formats to fit with different learning styles.
3. Carry out quantitative as well as qualitative assessment of Information and Records Management practices in conjunction with the Corporate Records Services.
4. Respond to findings and adapt training and communication strategies to meet user needs.
5. Create a monitoring, QA, audit program of all the divisions and offices in the Operations Group, initially to benchmark where the group is at and moving forward to track improvement and identify areas for further training and communication.

## **Leadership**

Whilst recordkeeping is the responsibility of all staff, effective leadership in the adoption and implementation of information management systems within the Operations Group is required to improve on current practices.

Leadership will support best practice in Information and Records Management by leading through example, assisting with communication, explicitly supporting and endorsing of Information and Records Management decisions made by the University.

## **Staff Responsibilities in the Operations Group**

- a) The Chief Operating Officer, as the person responsible for the performance of the Operations Group, has ultimate responsibility for ensuring that it complies with the legislative requirements for recordkeeping and information management.
- b) The Operations Group Senior Leadership and Senior Management team are responsible for supporting and monitoring their staff in terms of compliance and ensuring where appropriate that:
  - (i) Resources (time and people) are provided.
  - (ii) Appropriate storage provisions are made.
  - (iii) Records Management expectations are included in job descriptions and performance reviews.
  - (iv) Direct Reports are creating and maintaining records in a manner consistent with relevant standards, policies and procedures.
- c) The Head of Corporate Records Services is responsible for:
  - (i) Providing advice, guidance and training on recordkeeping practices, policies, procedures and systems.
  - (ii) Maintaining communication and awareness with University staff on all matters relating to Information and Records Management, and promoting compliance.
  - (iii) Developing, publishing and making available to staff, policy and procedural documents on recordkeeping practices.
  - (iv) Assisting with the development of University recordkeeping and information systems as appropriate.
  - (v) Monitoring recordkeeping processes, procedures and systems as required.
- d) Information technology (IT/ICT) staff are responsible for maintaining the technology used to support systems that capture and retain records and information electronically. This includes ensuring the records are accessible and appropriately secured.
- e) The Office of Risk Assurance and Compliance is responsible for supporting good Information and Records Management in the Operations Group in line with Corporate Records Services as above.
- f) All staff in the Operations Group have a responsibility to create, maintain and store full and accurate records of the activities, transactions, and decisions carried out during the course of daily business, and to comply with the University's Records Management Policy.

## **Communication**

A communication plan will be formulated that aligns with the goals of this framework and will be created, implemented, and reviewed on a regular annual basis.

It will focus on raising the profile of Information and Records Management to enable staff to access the resources to better work and better manage their information and records.

It will be tailored around the information and records management initiatives and training as well as significant changes in compliance and legislative requirements.

The avenues for communication will be the Office of Risk, Assurance and Compliance website, e-mail, in person contact, Yammer groups and could incorporate future platforms as they become available.

The Office of Risk Assurance and Compliance website will include a platform to provide access to all staff in the Operations Group to information, resources and staff details available for advice and support.

## **Sustainability**

Information and Records Management solutions that embrace sustainability as described in the University of Otago's Sustainability Strategic Framework: 2017-2021 are encouraged. Better, more sustainable outcomes fit in well with the current environment where digitisation is encouraged and complete start to end digital processes are the goal.

## **Legislation and University Policy, procedures and guidelines**

Acts (and related national legislation)

- [Public Records Act 2005 No 40 \(as at 01 March 2017\), Public Act Contents – New Zealand Legislation](#)
  - [The Information and Records Management Standard](#)

University Policies (and related documents)

- [Records Management Policy](#)
- [Records Destruction Guidelines](#)
- [Access Framework for University of Otago Records](#)