Information and Records Management Policy

OWNER:	Chief Operating Officer
APPROVED BY:	Governing Board
DATE APPROVED:	29 May 2018
REVIEW DATE:	May 2021

Purpose
1. The purpose of this policy is to outline the high-level data and information policy statements for the Education Council (Council) to ensure that data and information are well-managed and used to support the Council as the professional body for the teaching profession.

Scope (what)
2. This policy applies to:
   - all data or information created or handled by the Council, its employees, managers, consultants, independent contractors and contracted providers
   - information in all formats, including intranet, website and social media content
   - the information management aspects of privacy management and intranet content management, and
   - employee information and personal files.

Background (why)
3. The Council collects data and information for a range of purposes and employees need to be aware that there is a responsibility to ensure that data and information are well-managed.
4. The Council is not bound by Government information legislation and standards, except for the Privacy Act and Official Information Act. However, our approach is to align with information legislation and standards where this significantly aids with the protecting, respecting, sharing and making full value of Council information.

Definitions
5. **Data** are facts that have not been processed and are in their rawest form.
6. **Information** is used and processed data in a consumable way.
7. Information is **processed** as knowledge for decisions and actions.

Policy Statements (how)
Protect and Respect
8. The Council will protect and respect the data and information which we are create or are entrusted with.
9. The Council recognises that the teachers' data and information which we collect and care for is a national taonga. To retain the trust and confidence of the teaching profession, we will treat that data and information with the utmost respect.
10. How we collect, manage and use Iwi/Māori data and information will demonstrate cultural competence and will apply Māori/Iwi data guidelines.
11. All employees will attend privacy and information management training.
12. The Council will ensure personal, in-confidence and sensitive data and information are protected. This includes data and information about teachers, employees, commercially sensitive and security classified data and information.

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14. The *Information Asset Catalogue* identifies which data and information needs to be protected and processes will be put in place to ensure appropriate protection.

15. Exchanges of personal data and information, within and between public agencies, must be via formal data or information sharing agreements.

16. For any exchanges or matching of personal data or information within the education sector, the Council requires that a Privacy Impact Assessment is undertaken.

Well-managed

17. The Council's data and information will be well-managed throughout its life and be valued as organisational assets.

18. All employees and contractors will create reliable and trustworthy records as evidence of transactions, decisions and actions.

19. The Council will store data and information in approved recordkeeping systems and storage locations, and make it secure from unauthorised access, alteration, deletion, loss or destruction.

20. Access to, use of and sharing of data and information must be in line with our legal requirements including the Official Information Act 1982, Privacy Act 1993, and the Education Act 1989 (also see the Information Release Policy).

21. Data and Information will be kept for as long as needed for business, legal and accountability requirements. We will then systematically dispose of data and information when authorised and legally appropriate to do so, using a managed process.

22. *Our Consolidated Retention and Disposal schedule* prescribes how long we retain and how we dispose of our data, information and records.

23. Data and information will be managed through its life-cycle including long-term preservation and access, and catering for technological obsolescence.

24. To enable sharing and interoperability with the education sector, the Council will align with public sector data and information legislation and standards, as listed in our *Information Framework* (Appendix A).

Available

25. Data and information will be made available to benefit the profession, iwi, the sector and New Zealand unless there are reasons to restrict access.

26. We will make data and information open by default unless there is an obligation to protect it.

27. The Council prefers digital over paper which means we digitise business processes, in line with legal requirements; and will store born-digital information digitally, rather than printing it out and storing it in paper.

28. The Council will enable the fullest appropriate use of our data and information through:
    - better data access and transformation into reports and dashboards to support evidence-based decision making and internal and external reporting
    - adoption of the CC-BY Creative commons license ( ) over our published information, which permits others to distribute, remix and build upon the Council work, even commercially, as long as they credit the Council for the original creation
    - proactively releasing and opening up our data and information through publishing high-value information to our website and to data.govt.nz
    - use of common data and information metadata schemas, such as JSON, the data.govt.nz metadata schema, and
    - publishing high-value corporate information such as policies, guides, forms and people information to our intranet.

Subject to Effective Governance

29. The Council will maintain effective data, information and records management governance frameworks.
30. The Education Council has executive and operational roles which are accountable for data, records and information management.
31. Information asset stewards, as listed in our Information Asset Catalogue, will care for our significant information and data assets. The role of those stewards is applied to the Council's activities whether or not those activities are undertaken by the Council or by a service on behalf of the Council. The location of data and information is not what matters, it is the access to and control of that information.
32. The Education Council will identify what data and information is needed by the Council in its statutory roles, and the activities which create data and information. For each activity the Council will ensure that:
    - data and information are only collected for specific policy, operational business or legislative purposes, and
    - data and information support the purposes for which they were collected.
33. Key documents such as system documentation and functional specifications will be managed to meet business and statutory requirements and minimise risks.

Roles and Responsibilities

34. The roles and responsibilities are detailed in Appendix B.

Reporting and Monitoring

35. This policy reflects the content of the New Zealand Archives Information and Records Management standard 2016, and the Education Council's business strategy. The Council will monitor its compliance against this policy annually to assess its information management capability improvement.

Related documents

Consolidated Retention and Disposal Schedule v1.0, Education Council, 2017
ICT Acceptable Usage Policy
Information and Records Management Standard, Archives New Zealand, 2016
Information Framework, v1.0 Education Council, 2017
Information Asset Catalogue, v1.0 Education Council, 2017
Information Release Policy

Review of Policy

This Policy will be reviewed by the Chief Operating Officer every three years, or sooner if warranted by internal or external events or changes. Changes to the Policy will be recommended by Chief Operating Officer to the Governing Board via the Risk, Audit and Finance Committee.
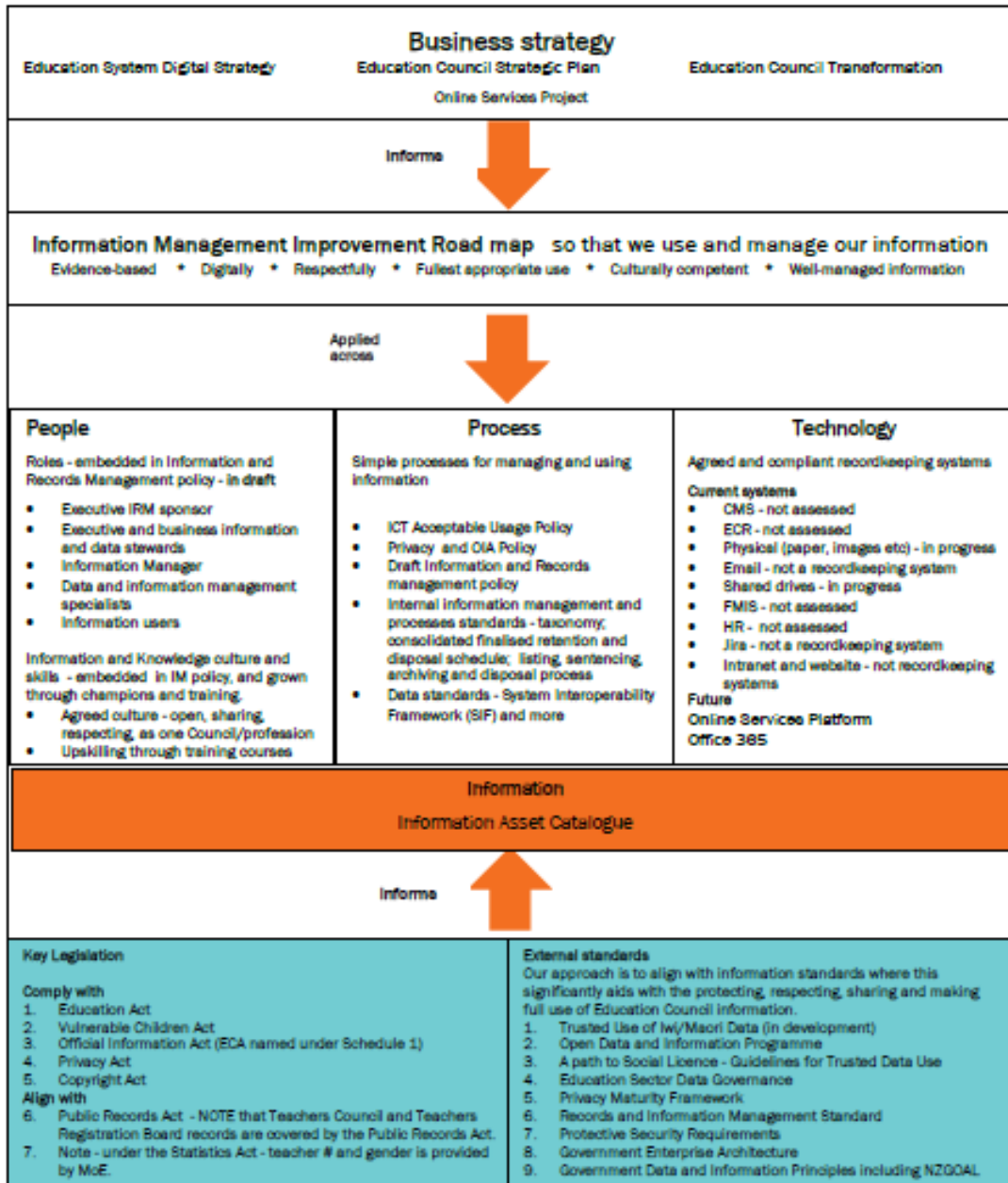
Breach of Policy

If the statements set out in this policy are not met, it may be considered a breach of the policy and disciplinary action may be taken.
If you are aware of a breach or possible breach of this policy you must raise it with a manager and/or with the Chief Operating Officer.

Education Council Information Framework

How we will improve our management and use of information - the Why, What, How and Who

Business strategy

Education System Digital Strategy   Education Council Strategic Plan   Education Council Transformation

Online Services Project

Informs

Information Management Improvement Road map so that we use and manage our information

Evidence-based   *   Digitally   *   Respectfully   *   Fullest appropriate use   *   Culturally competent   *   Well-managed information

Applied across

People

Roles - embedded in Information and Records Management policy - in draft

- Executive IRM sponsor
- Executive and business information and data stewards
- Information Manager
- Data and information management specialists
- Information users

Information and Knowledge culture and skills - embedded in IM policy, and grown through champions and training.

- Agreed culture - open, sharing, respecting, as one Council/profession
- Upskilling through training courses

Process

Simple processes for managing and using information

- ICT Acceptable Usage Policy
- Privacy and OIA Policy
- Draft Information and Records management policy
- Internal information management and processes standards - taxonomy; consolidated finalised retention and disposal schedule; listing, sentencing, archiving and disposal process
- Data standards - System Interoperability Framework (SIF) and more

Technology

Agreed and compliant recordkeeping systems

Current systems
- CMS - not assessed
- ECR - not assessed
- Physical (paper, images etc) - in progress
- Email - not a recordkeeping system
- Shared drives - in progress
- FMIS - not assessed
- HR - not assessed
- Jira - not a recordkeeping system
- Intranet and website - not recordkeeping systems

Future
Online Services Platform
Office 365

Information
Information Asset Catalogue

Informs

Key Legislation

Comply with
1. Education Act
2. Vulnerable Children Act
3. Official Information Act (ECA named under Schedule 1)
4. Privacy Act
5. Copyright Act

Align with
6. Public Records Act - NOTE that Teachers Council and Teachers Registration Board records are covered by the Public Records Act.
7. Note - under the Statistics Act - teacher # and gender is provided by MoE.

External standards

Our approach is to align with information standards where this significantly aids with the protecting, respecting, sharing and making full use of Education Council information.

1. Trusted Use of Iwi/Maori Data (in development)
2. Open Data and Information Programme
3. A path to Social Licence - Guidelines for Trusted Data Use
4. Education Sector Data Governance
5. Privacy Maturity Framework
6. Records and Information Management Standard
7. Protective Security Requirements
8. Government Enterprise Architecture
9. Government Data and Information Principles including NZGOAL

Education Council Information Framework, v1.0, 6 November 2017

INFORMATION AND RECORDS MANAGEMENT POLICY   DATE APPROVED: 29 MAY 2018

Appendix B: Roles and responsibilities

Information and records management executive sponsor	Ensuring that the strategy and policy adopted by the Council supports information and records management
Role holder is the Chief Operating Officer	• Being involved in strategic and operational planning to align information and records management with the corporate objectives and business activities of the Council n
The executive sponsor is a Tier 3 Manager responsible for information management, (including privacy management and information security) and is the central role to co-ordinate, promote and direct information management across the organisation.	• Overseeing the budget for information and records management, and ensuring the resources needed to support information and records management are known and sought in funding decisions • Ensuring that staff with appropriate skills are available to implement information and records management strategies • Monitoring and reviewing information and records management to ensure that it is implemented, transparent, and meets business needs.
Records and information manager The records and information manager has operational oversight and leadership of the management of the Council's data and information assets, systems, and information management capability.	• Ensuring compliance with organisational policies, legislation and public sector requirements • Overseeing the design, implementation and maintenance of systems, tools and processes that are compliant with this policy and that meet business requirements • Establishing any required procedures, guidelines or practices needed to ensure the integrity, security and protection of the Education Council data & information assets • Monitoring the effectiveness of controls in place to retain the integrity, quality and compliance of all data and information assets as described throughout this policy.
Executive information asset steward Stewards are Tier 3 managers who are accountable for the definition, management and use of assets in their area of accountability	• Understanding strategic enterprise information needs • Identifying and appointing Business Stewards • Reviewing and approving policies and practices, including security access controls, for their data and information assets • Managing and resolving escalated data and information asset related issues. • Approving intranet content in their functional area
Business information asset steward Business Stewards have an operational role and are hands-on with their information asset(s) in their area of expertise.	• Communicating and promoting the value of their information asset • Monitoring and reporting on conformance with information policies and practices • Understanding operational requirements for their information asset • Resolving or escalating unresolved information asset issues • Improving data quality and maintaining intranet content in their functional area
Data and information management specialists Data and Information Management Specialists are individuals who support the effective management of data and information assets They include roles such as business improvement advisors, data and reporting analyst, solution architects and business analysts.	• Implementing the Information policy in support of business information requirements, applying any legislation or government directive, and adopting and promoting procedures, guidelines and practices, to support organisational information management initiatives • Collaboration with business stakeholders to establish data and information management requirements in the development of processes, systems and tools to support business information requirements • Assessing changes to external and internal requirements, including legislation and government directives and any business changes, to understand the implications to the management of data and information assets • Identifying information assets • Supporting stewards to improve the quality of the assets and resolve complex information and data issues.
Council staff and agents All employees and agents of the Education Council that collect, create and use information in support of the programmes and services that they deliver	• Create good quality information • File your work documents, including important emails, in approved Education Council information management Systems • Use information appropriately • Look after information – it's an Education Council asset which belongs to us all • Protect and respect sensitive information such as teachers' information • No sightseeing! Only access information that you need to do your job • Don't release information outside the Agency unless you have the authority to do so • Report information security and privacy breaches