

Purpose

The purpose of this policy is to establish NZQA-wide acceptable practices and responsibilities for the management of information and records.

NZQA is committed to effective and efficient information and records management practices that meet business needs, accountability requirements, and the expectations of stakeholders.

An overarching information and records management policy supports internal processes to be consistent, appropriate, and effective, and NZQA to be compliant with relevant statutory requirements and standards.

Good information and records management practices are critical to NZQA achieving its outcomes. Accessible and usable information and records support the efficient operation of NZQA by making information readily available for:

- Customers
- Decision-making
- Internal and external accountability
- Risk management
- Legislative compliance

This policy establishes the high-level framework to achieve:

- Complete and authoritative information and records
- Accessible and usable information and records
- Appropriately managed access to information and records
- Compliant retention and disposal of information and records

Implementation of this policy contributes to NZQA's ability to comply with the legislative requirements of the Public Records Act 2005 (the Act) and the mandatory Archives New Zealand Information and Records Management Standard July 2016 (the Standard), as well as the expectations of our customers and sector partners.

Scope

This policy applies to all NZQA staff operating either onsite or offsite on behalf of NZQA, whether permanent or temporary staff, and including contractors and consultants.

This policy applies to all business activities performed by or on behalf of NZQA, in whatever manner they are conducted (internally or by third party providers).

This policy applies to all aspects of information and records management at NZQA, including but not limited to, all information and records collected and created during business transactions, and all business systems, applications, and devices used to create and store information and records.

Compliance with this policy is required under the [NZQA Code of Conduct](#).

Policy Principles

NZQA must comply with all legislative, regulatory, and administrative requirements for information and records management in the public sector.

1 Management

Information and records management at NZQA is governed by this policy.

NZQA's Chief Executive and Strategic Leadership Team (SLT) have ultimate responsibility for ensuring that NZQA's information management practices meet both legislative and business requirements.

The Deputy Chief Executive Strategic & Corporate Services is the Executive Sponsor for information and records management. The Executive Sponsor has responsibility for the oversight of information and records management at NZQA, including ensuring the implementation of, and compliance with, this policy.

Each Deputy Chief Executive must allocate resources to deliver on their respective obligations for information and records management compliance within their Division or Office. This includes ensuring that appropriate resources are available to complete activities that support NZQA's decentralised information and records management operating framework.

2 Information Ownership

Information and records are a vital corporate asset, and all information and records created by, or on behalf of, NZQA whilst carrying out the organisation's functions and activities are the property of NZQA.

No employee, whether permanent, temporary, contractor or third party, may remove or dispose of NZQA records on leaving NZQA or at the completion of a contract.

All staff and contractors must understand and acknowledge NZQA's right of ownership, and ownership must also be identified and addressed in all outsourced and service contracts, instruments, and arrangements.

3 Information Asset Owners

NZQA will allocate and document the business owners of its information assets.

To ensure appropriate levels of decision-making authority business ownership responsibilities will be assigned to named roles at Tier 2 or Tier 3 of the organisation.

Business owners will be responsible for ensuring that compliant information and records management is integrated into their business processes, systems, and services, including during the provision of new systems and/or services.

4 Contracts and Outsourced Systems and Services Arrangements

NZQA must address information and records management requirements in all contracts and outsourced system and service arrangements, including:

- Compliance with the requirements of the Act and the Standard
- ownership (including intellectual property) of information and records
- rights of access and arrangements for access to information and records
- portability of information and records (i.e. NZQA must be able to migrate its information from third-party systems into NZQA systems as required)
- information and records security (including systems security and records storage security)

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- the return of information and records at the end of the contract and/or timely and compliant information and records disposal

Any tender and procurement processes must also address information and records management requirements, and ability to meet those requirements must be taken into consideration when selecting a preferred supplier.

5 Creation and Capture

NZQA must create and maintain information and records of its business activities that are authentic, reliable, complete, comprehensive, and usable.

All NZQA information and records must be maintained in an accessible form so they may be used for subsequent and future reference.

All NZQA information and records must have associated minimum metadata including:

- Title
- Author/Creator
- Date Created
- Version
- Format
- Business Context

All information and records must be captured in an approved NZQA information management system in accordance with NZQA's internal information and records management processes and guides.

6 Systems and Tools

For the purposes of this policy the official NZQA information management system is defined as the S: Drive shared network drive. Other approved line of business systems, for example eQA applications, are also considered official information management systems.

All NZQA employees must only use IS approved systems and tools when storing NZQA information and records to ensure all information is maintained securely in an accessible and usable format for the life of the information.

See Appendix A for a list of approved NZQA line of business systems.

NZQA's use of emerging systems and tools must be balanced with the need to comply with all information and records management requirements under the Act and Standard.

Where NZQA employees use Putāhi Confluence, One Drive, or Teams, for working and collaborating on NZQA business, the final version (at a minimum) of any information and records created in those systems must be saved into the appropriate location in the S: Drive or other approved line of business system.

7 Information Management by Design

Information and records management functionality must be a designed component of all new systems and substantial upgrades of current NZQA business systems. This must include the ability to assign minimum metadata, implement retention and disposal rules, and migrate information and records into new systems and environments as required.

To meet this policy requirement information management must be considered and documented as "in scope" at the beginning of any project to replace information technology systems or to design new services.

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8 Emails as Records

All emails sent and received using NZQA's systems and email addresses (ending with the domain @nzqa.govt.nz) are public records.

All emails categorised as NZQA business emails, e.g. emails that provide evidence of NZQA business such as reflecting decisions, approvals, providing advice or setting precedence, must be saved to the S: Drive or other appropriate line of business system.

Refer to the [email guide](#) for further information and guidance on email categories and handling.

9 Text and Instant Messaging

Text messaging and instant messaging, including Skype for Business, must only be used for communicating facilitative and transitory information of short-term value to NZQA.

Where text or instant messaging needs to be used for communicating a business decision (e.g. in a crisis or disaster) the entire message, and any responses, must be transcribed in a file note and saved in the S: Drive.

Where Teams and Zoom are used to facilitate meetings and other NZQA business activities, rather than for instant messaging functionality or facilitative information, records of those activities must be documented and captured in either the S: Drive or other approved line of business systems.

10 Accessibility, Privacy, and Security

NZQA supports the principles of open data and information sharing. This both enables NZQA employees to work together to improve outcomes for our customers, and it helps to support transparency across the government sector.

Information and records must be available to be shared across NZQA unless there are explicit legal, privacy, or security concerns that prevent sharing.

NZQA information and records must be categorised using the Government Communications Security Bureau "Information Security Classifications" and must be managed according to the requirements in the NZQA [Clear desk for classified information policy](#), [Computer and information security policy](#), and associated [Acceptable Use](#) guidelines.

All information and records created or received by NZQA and containing personal information must be managed in accordance with the requirements of the Privacy Act 2020 and the NZQA [Privacy policy](#) as well as the Act and NZQA's authorised Disposal Authority.

Records created and received by NZQA and covered by the Act will be made available under the Official Information Act 1982, unless release is restricted for explicit reasons.

11 Retention and Disposal

As a public office NZQA must retain all information and records for as long as needed for business, legal, and accountability requirements.

NZQA staff, contractors, and third parties must not dispose of NZQA public records unless authorised to do so in accordance with legislative requirements and NZQA internal retention and disposal procedures.

NZQA must maintain an up-to-date and authorised Disposal Authority. Ongoing management processes must ensure the Disposal Authority remains valid and must allow for adequate time to develop a replacement prior to the expiry date.

All NZQA retention and disposal activities must be completed in line with the requirements of either the organisational Disposal Authority, or an Archives New Zealand approved General Disposal Authority.

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NZQA must maintain records of all information disposal activities carried out by the organization.

12 Business Continuity

To ensure NZQA can continue operating after a disruptive event, all vital information and records (those without which NZQA could not continue to function), must be identified and protected.

Business units must identify their vital information and records on the NZQA vital records register maintained by Organisational Performance and Customer Insight.

In the event of a crisis, information and records management activities shall be directed towards recovering and establishing access to vital information and records, and to ensuring continuity of services to NZQA customers.

During periods when a business continuity plan is in force all staff, including contractors, continue to have an obligation to carry out their information and records management responsibilities in accordance with this policy.

13 Information and Data Management Strategy

NZQA shall develop and implement an Information and Data Management Strategy, which aligns with and supports this policy, and NZQA's requirements under the Act and the Standard.

The Information and Data Management Strategy will inform the direction of an information and records management work programme.

14 Information Assets

NZQA shall develop and maintain an information asset register (Information and Data Catalogue), identifying and describing all corporate information and data assets.

The register must identify the authoritative source and internal NZQA business owner for each information and data asset.

15 Te Tiriti o Waitangi/Treaty of Waitangi

The perspectives of tangata whenua shall be sought and acknowledged, not only when managing information and records directly relating to Māori interests and aspirations, but in relation to all information and records managed by NZQA.

To support NZQA's equity focus, where information is identified as being of value to Māori, NZQA will make every effort to tag it as such using appropriate metadata to allow for improved access to, and use of, that information by Māori.

16 Information Management Work Programme

NZQA shall plan and implement an information management work programme, which supports the requirements of this policy, and is guided by an information and data management strategy and/or the outcomes of monitoring and audit activities.

The information management work programme shall also be targeted to deliver the following benefits to NZQA:

- Cost saving efficiencies by significantly reducing the effort and time spent looking for information
- Improved availability of NZQA information and records, allowing more accurate and prompt services to NZQA customers
- Preservation of NZQA's corporate memory

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- Increased compliance with the Act and the Standard.

Continuous training and guidance for staff shall be incorporated into the delivery of the work programme.

17 Risk Management

To ensure the capture and maintenance of information and records of greatest business value to NZQA resources will be allocated towards implementing this policy on a priority basis.

NZQA will monitor its compliance with the Act and the Standard using a risk management framework, including planned monitoring activities based on an information management assurance framework, and risk register.

Responsibilities

Position	Responsible for		
All NZQA Staff	<ul style="list-style-type: none"> • Understanding and complying with NZQA's information and records management policy and processes, and the requirements of the Public Records Act 2005. • Creating full, accurate, and accessible information and records as evidence of NZQA business activities and maintaining those records in approved information management systems. • Ensuring that NZQA information or records are protected from unauthorised disposal. • Understanding that NZQA information and records are intellectual property and cannot be removed from the organisation on completion of employment or contract. 		
Chief Executive	<ul style="list-style-type: none"> • Authorising the information and records management policy. • Actively encouraging and influencing a culture that values effective information and records management and recognises information as a key asset. • Ultimately ensuring that information and records management is implemented and that NZQA complies with the requirements of the Public Records Act 2005 and mandatory Information and Records Management Standard. 		
Executive Sponsor (DCE Strategic and Corporate Services)	<ul style="list-style-type: none"> • Strategic and executive oversight of information and records management. • Championing the importance of information and records management among the organisation's leadership and encouraging the whole organisation to value information and records management. • Overseeing a budget for information and records management. • Monitoring and reviewing information and records management to ensure that it is implemented, transparent, and meets business needs. • Liaising with Archives New Zealand about monitoring and reporting on compliance. 		
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Information Asset Owners	<ul style="list-style-type: none"> • Oversight of, and accountability for, the ongoing use, re-use, maintenance, access to, and retention and disposal of, information and records they are assigned ownership responsibility for. • Ensuring information and records management requirements are actively considered in the provision of any new systems and/or services.
Chief Customer Officer (CCO)	<ul style="list-style-type: none"> • Owner of the information and records management policy. • Monitoring the implementation of the information and records management policy within NZQA. • Business ownership of the S: Drive file classification structure and access rights, and the file classification structure and access rights underpinning any future NZQA ECMS solution. • Business ownership of NZQA's overarching information taxonomy, and metadata schema.
Chief Information Officer (CIO)	<ul style="list-style-type: none"> • Ensuring alignment of Information Services' strategies and roadmaps with the requirements of the information and records management policy, the Act and the Standard.
Information Management Advisor	<ul style="list-style-type: none"> • Maintaining NZQA's information and records management framework of up-to-date policy, process, and guidance. • Monitoring information management practices and reporting on identified risks and mitigations. • Delivery of the NZQA information management work programme. • Providing support, training, and advice to all staff on information and records management best practice and legislative compliance requirements. • Overseeing information and records management retention and disposal activities. • Managing off-site storage of NZQA information and records. • Maintenance of NZQA's Disposal Authority.

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Information Services	<ul style="list-style-type: none"> • Maintaining the information technology required to support NZQA's information and records management systems and repositories in accordance with the Standard and the Act, • Ensuring all new information technology systems include "information management by design" principles and functionality. • Documenting the requirements and processes for maintaining information and records across all systems and operating environments. • Providing support in the form of technology and training that aligns with the requirements of the information and records management policy and enables all staff to practice good information and records management at NZQA.
Procurement	<ul style="list-style-type: none"> • Completing due diligence that ensures information and records management requirements are addressed in all contracts, outsourced system and service arrangements, and tender processes.
Legal	<ul style="list-style-type: none"> • Assisting Procurement and Information Asset Owners in carrying out due diligence activities that ensure information and records management responsibilities are addressed in contracts and outsourced system and service arrangements.
Project Managers	<ul style="list-style-type: none"> • Ensuring that information and records management requirements are in-scope for all projects including those where 'minimum viable product' outcomes are planned.
Strategic Leadership Team (SLT)	<ul style="list-style-type: none"> • Monitoring and reviewing the information and records management policy, and all supporting strategies and processes. • Supporting the implementation of the information and records management policy through resource allocation and championing information and records management at NZQA. • Ensuring their divisions have assigned responsibility for completing activities to support NZQA's de-centralised information and records management operating framework.

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<p>Managers and Team Leaders</p>	<ul style="list-style-type: none"> • Ensuring that the information and records management practices in their teams meet the requirements of this policy, and any supporting processes and guidance. • Ensuring that all new staff receive appropriate information and records management training on commencement of their employment with NZQA. • Ensuring that staff who are allocated specific responsibilities for information and records management (e.g. Information Champions) receive recognition for that responsibility and are supported in developing their skills and knowledge. • Ensuring that all staff, and any third parties for whom they are responsible, complete all their information and records management obligations before leaving NZQA. Refer to the staff exit process.
<p>Information Champions</p>	<ul style="list-style-type: none"> • Maintaining up-to-date knowledge of information and records management best practice and requirements. • Providing support and training for information and records management within their areas of responsibility.

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References

Key external legislation, standards and government frameworks with information and records implications for NZQA include:

[Public Records Act 2005](#)

[Education and Training Act 2020](#)

[Contract and Commercial Law Act 2017](#)

[Official Information Act 1982](#)

[Privacy Act 2020](#)

[Evidence Act 2006](#)

[Copyright Act 1994](#)

[National Library of New Zealand \(Te Puna Mātauranga o Aotearoa\) Act 2003](#)

[Statistics Act 1975](#)

[Ombudsmen Act 1975](#)

[Information and records management standard \(July 2016\)](#)

[Information and records management standard implementation guide](#)

[ICT.govt.nz New Zealand Data and Information Management Principles](#)

[ICT.govt.nz Information Security](#)

[ISO 15489-1:2016 Information and Documentation – Records Management – Part 1: Concepts and Principles](#)

Key internal NZQA references include:

[7.4.3.1 Comply with Information and Records Management Requirements](#)

[Computer and Information Security policy](#)

[Acceptable Use guide](#)

[Clear Desk for Classified Information policy](#)

[Official Correspondence policy](#)

[Compliance policy](#)

[Contractors and Consultants policy](#)

[Privacy policy](#)

[Managing Electronic Signatures policy](#)

[Official Information Act policy](#)

[Crisis Management and Business Continuity plans](#)

[NZQA Code of Conduct](#)

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Definitions

For the purposes of this policy, unless otherwise stated, the following definitions apply.

Business activity	An umbrella term covering all functions, processes, activities and transactions of NZQA and its employees.
Business information systems	Systems that create or manage data and information about an organisations' activities.
Chief Archivist	The Chief Archivist for New Zealand, a position which is held by the Chief Executive of Archives New Zealand, and whose functions are governed by the Public Records Act 2005.
Capture	The action that results in the capturing of information and records into NZQA's official recordkeeping systems. For certain NZQA activities (e.g. learner results) this action has been designed and built into a business information system.
Classified information	Information and records that have been given a specific security designation using the Government Communications Security Bureau information security classifications .
Compliance	The use of the term 'must' or 'shall' is used to ensure compliance with the Act and the mandatory Standard, but does not prevent the use of alternative methods, provided they meet the specified criteria.
Disposal	The decision and actions concerning information and records, i.e. permanent destruction, or transfer to Archives New Zealand. Disposal also includes a programme of supporting activities, such as appraisal, boxing and description of files or other media, and evidence of destruction. All disposal must be in accordance with an approved Disposal Authority.
Disposal authority	The instrument that defines the disposal actions that are authorised by Archives New Zealand for specified information and records.
Electronic record	Any record that is created or stored by digital means and including but not limited to documents, databases, email, web, and intranet content.
Information	Knowledge communicated or received. The result of processing, manipulating and organising data in a way that adds to the knowledge of the person receiving it. Information can be in any format.
Information asset	A body of information and/or data that can be defined and managed as a single unit, so it can be understood, shared, protected and exploited effectively. Examples of information assets include but are not limited to Learner NCEA Results, Customer Survey Responses, Organisational Policies, etc.
Information Life Cycle	Includes creation, collection, access, security, retention and disposal and long-term preservation in all formats.
Information and records management	A comprehensive framework that enables organisations to create and maintain trustworthy evidence of business activity in the form of authoritative information and records.
NZQA staff	(a)Employees of NZQA, whether permanent or fixed-term; and Board members, and

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	(b)Others, whether individuals or organisations, carrying out work for or on behalf of, or providing services to or on behalf of, NZQA, where the agreement or arrangement for the work or services requires compliance with all or some of NZQA's policies, directives, processes, or procedures.
Public office (as defined in the Public Records Act 2005)	Crown entities as defined under section 7(1) of the Crown Entities Act 2004.
Public record (as defined in the Public Records Act 2005)	A record in any form, in whole or in part, created or received (whether before or after the commencement of the Act) by a public office in the conduct of its affairs.
Record	The Public Records Act 2005 defines a record as: "information, whether in its original form or otherwise, including (without limitation) a document, a signature, a seal, text, images, sound, speech, or data compiled, recorded, or stored, as the case may be:" in written form on any material; or on film, negative, tape, or other medium so as to be capable of being reproduced; or by means of any recording device or process, computer, or other electronic device or process."
Transitory information and records	Records created through routine administrative and business processes common to most public offices while performing business functions, duties and responsibilities. Transitory information and records have short term value and are not required for evidential or legal purposes. Examples include meeting arrangements, comments on minor drafts of correspondence or reports prior to production of the final record.
Vital information and records	Information and records that are essential for the ongoing business of NZQA, and without which NZQA could not continue to function effectively.

Measurement Criteria

NZQA's records and information management policies and processes comply with the mandatory Information and Records Management standard issued by Archives New Zealand, supporting guidance, and with any other standards or requirements applicable across the New Zealand government sector.

All NZQA staff, contractors, and third parties, are familiar with NZQA's information and records management policies, processes, and guides, and comply with the responsibilities under those documents.

The disposal of all NZQA records is managed in accordance with the requirements of the appropriate Disposal Authority and Archives New Zealand standards.

Audits of NZQA's information management practices and systems (which align with the above measures) return positive reports.

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Appendix A – List of Approved NZQA Line of Business Systems

These systems are considered to be official information management systems under policy principle 6 “Systems and Tools”:

- Awatere
- Business Objects
- Eye-Q
- School-Q
- Promapp
- Navision
- Yourself
- QAccess
- Jira (for complaints management)
- Contacts (eQA)
- EdOrg (eQA)
- Exams
- Leap
- New Zealand Qualifications Framework Register
- Qual
- SPER
- Spring
- Conexa
- Digital Moderation (ContentWorx)
- Mins (for official correspondence)

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