Information & Records Management Process Manual

UC
UNIVERSITY OF CANTERBURY
Te Whare Wānanga o Waitaha
CHRISTCHURCH NEW ZEALAND

Information and Records Management

2015

Contents

1. Introduction

It is very important that UC staff manage information carefully. There are many aspects to information management covering the basics from paper management, to digital records and content management, privacy, copyright, and corporate information that might form part of University history, Official Information Act requests, or vital records for business continuity.

In recent years there have been a number of significant failures to manage information in the public sector in New Zealand, which harmed the reputations of the agencies concerned and which resulted in large and long term bills. Several regulatory agencies have initiated investigations into these breaches, including the Privacy Commission, the Office of the Ombudsmen and the Government Chief Information Officer.

Since the earthquakes of 2010-2012, new technologies, structures, and funding have made managing UC information more critical than ever before. As an organisation that relies for its existence on producing academic awards which are based on careful use of and access to information, it is crucial that UC manages its information responsibly appropriately and carefully.

A record could be an email, research data, or even a web-page, depending on its content and usage. See Section 1.6 The General Disposal Authority about classing records.

This brochure is designed to assist departments with all aspects of managing information and records at UC. The following sections provide detail on most facets of info management, but if you would like further advice, please contact Information and Records Management (IRM) on *records@canterbury.ac.nz*.

The IRM team oversees the management of the corporate record for the University as outlined in the Public Records Act (PRA). This is comprised of correspondence, minutes, agendas, departmental records, strategy, reporting, policy and any other high level decision-making documents created as part of the everyday business of the University. It is also responsible for managing UC's obligations under the Official Information, Privacy and Copyright Acts.

How you manage UC information is an important part of your role at the University, as it provides context and continuity for future staff and stakeholders as well as ensuring your rights and those of the UC community are protected.

There is a huge amount of physical and electronic content currently held by the University. If the University's paper records were laid out in boxes side by side, they would be over 2km long.

This brochure is an overview of IRM concepts and procedures and includes:
- Records Management – hardcopy, electronic and vital records
- Official Information and Privacy
- Copyright and File sharing

1.1 Managing your records

There are a lot of scenarios when finding a record quickly will assist you in your job – for example if you are negotiating a new contract, you may want to refer to a previous version. If records are created and maintained in a proactive manner, then the location and context of a record will be easily discoverable.

The context of records is important because future staff may not know what you know. When describing records (file naming and metadata) there are certain conventions you should follow, which are discussed later.

1.2 Create and Maintain

As a public office under the PRA, UC is obligated to create and maintain full and accurate records of business activities.

This can be achieved by establishing or following processes within your department to capture those records as they are created, and then maintaining them within either an electronic or paper or hybrid system.

Departments should manage their records logically and consistently so that others can easily access the content as and when required, for example by creating well managed SharePoint sites or a well structured file share. The logic, structure and naming conventions should themselves be documented.

See Section 4 for information on teaching or academic records.

1.3 Disposal

The University is required to dispose of its corporate records in a planned and systematic manner. "Records disposal" is often thought to be the same as destroying records when they are no longer needed, but this is not the case. The final fate of a record is likely to be destruction, however it may also be "disposed of" as an archive, sold, discharged as a private record to an individual, or transferred to another agency.

To ensure that UC's information assets are disposed of in a planned way, IRM has adopted a "Disposal Framework" to guide the fate of University records. A key tool in the framework is the General Disposal Authority. Records sentenced against the authority may be disposed of at the end of their retention period, following the approved disposal process. See Section 2.2 on Disposal Authorisation.

1.4 What is records sentencing?

At UC, sentencing is the process of classifying records against the University General Disposal Authority (GDA) to determine their disposal fate.

Day-to-day transactional records typically are low value and generally can be destroyed when no longer administratively required (see Section 1 of the GDA 'Administration'). Other records have higher values, and need to be retained longer. Finally, some records have significant values and need to be retained as Archives. The GDA documents these values and assigns classes to them.

1.6 The General Disposal Authority (GDA)

The GDA provides legal permission for the disposal of UC (and all universities) records based on an analysis of value. It was signed off by the Chief Archivist in 2008.

The GDA consists of 17 classes and was developed following an analysis of the functions of universities, and the value of the records they create. The retention periods described in the GDA are minimums only, and it may be that some records classes are retained longer than outlined in the document. Please check with IRM if you consider it necessary to retain some records longer than required.

Although the GDA provides permission to destroy records once their retention period has been reached, this authority is over-ruled if the records are under an Official Information Act investigation or University staff have due cause to suspect that an Official Information Act request is pending (see OIA section of this brochure).

Disposal needs to be approved before archiving or destroying records.

Finally, using the GDA helps to ensure prompt disposal of records that are no longer needed and the cost effective storage and preservation of records of long term value.

1.7 Non coporate records

The Public Records Act covers corporate or business records, not teaching and academic research records or student work. It also does not cover special collections such as library, Macmillan Brown collections. However it is still important that these records are stored and managed appropriately.

2. Transfer or disposal of hard-copy records

When records are no longer in daily use (usually at least two years old) and you want to remove them, you may transfer these to the Records team, especially if you have no room.

There are several steps in the process to transfer the management of hard-copy records to the Information and Records department (IRM).

2.1 The storage process

Records at UC were previously stored in either offsite storage or the UC Warehouse. the IRM team now have purpose built facilities in both Matariki and Law basements. Space is limited, but a yearly review and destruction process enables turnover and appropriate transfer to Archives NZ. All acquisitions to the basements must be undertaken and approved by IRM.

2.2 Process summary for records transfer

Step 1 — Contact IRM for information on how to begin
Organise accession number and boxes with IRM

Step 2 — Sentence records against GDA

Step 3 — Box and list records to IRM standards using the Transfer List

Step 4 — Send records listing to IRM for approval

Step 5 — Coordinate transfer with IRM to move boxes into storage

Step 1

Contact IRM

Organise accession number, boxes and barcodes

IRM will provide you with boxes, barcodes and an accession number. Accessions are used to group together a series of records being transferred at one point in time. This helps us to identify and track where a group of records have come from in context, in the future.

IRM can be contacted at *records@canterbury.ac.nz* or contact either:

Information & Records Administrator – Bjorn Gruebner
bjorn.gruebner@canterbury.ac.nz ext 45702

Senior Information Advisor – Anita Kerr
anita.kerr@canterbury.ac.nz ext 93889

Information Manager – Tom Norcliffe
tom.norcliffe@canterbury.ac.nz ext 93193

Step 2

Sentence records against GDA

Identifying records classes

You will need to:

- Identify the relevant disposal class for the records being sentenced.

- Use the class description or examples in the GDA. Note that the list of examples is not comprehensive so do not worry if your exact record is not listed; focus on the description rather than the example.

- If more than one class is appropriate, choose the one with the longest retention period. For example, where sentencing suggests a class that says "destroy 7 years after date of last action", or another class that says "destroy 10 years after date of last action", then you would retain the whole file for 10 years.

'Disposal' can mean either archive or destroy or retain permanently.

Descriptive Information (Metadata)

Check that the files contain information on their creation date, role, function and purpose (also known as metadata). For paper records, this information is usually found on the cover or for lever-arch files, written on the spine. Sometimes, it may be necessary to check the actual contents of a record to accurately determine its open and close dates. This information needs to be added to the Transfer List (see below) where appropriate.

Disposal date

Confirm whether records have met their disposal date (disposal year). This is calculated from the closed date of the record, or the date of last action recorded.

If records have met their disposal date, and the disposal action in the GDA is "destroy" then these records may be able to be securely destroyed once approval has been obtained from the Registrar and the records business owner. Please check with IRM first, as we still need to collect a listing from you for these records. Refer to Step 3 – 'Box and List Records'.

Records sentenced with a disposal date at some point in future should be listed and boxed for transfer to IRM only if you have no storage space within your department.

Easy-to-destroy records

Note that records from Class 1 of the GDA (eg duplicates, for reference-only, external brochures) are likely to represent the bulk of records created and received by departments. These can be disposed of once 'no longer administratively required'. Because of their low value, they can be destroyed immediately under the authority of the GDA. Further paperwork or authorisation for the destruction of these records is not required.

Disposal authorisation

For all records (excluding Class 1) which are destroyed on campus, a memo is required to authorise their destruction and track this process legally. Destroying records is irrevocable; once a unique piece of evidence has been destroyed it cannot be recreated. It is important to have adequate checks in order to be accountable. As a public office the University will be regularly audited and needs to prove compliance under the Public Records Act.

If you are planning to destroy records in paper or electronic form you must contact IRM to sign off the process. It is mandatory to provide a memo to us providing a description of the items intended for destruction.

Never cull records from a file

That is, a record by itself may be of very little value, but in context of the other records in the same file, it may hold significant evidence.

Never cull individual papers from a file. Culling records destroys the integrity of the file by breaking the transactional chain of evidence.

Copies

Copies can be destroyed under Class 1 of the GDA i.e. departments often hold copies of a contract for reference purposes, but the original/ authoritative signed contracts may be held by finance or another department, which they must keep as the original. The copy in another department can be destroyed once checked with IRM.

Step 3

Box and list records

Boxing

The ease and speed with which records are retrieved and returned to departments is dependent on how well the records are listed and boxed prior to transfer. A file or block of papers can be lost indefinitely if it is placed in the wrong box or is incorrectly listed.

Correct boxing also ensures that records are in adequate condition for use. Careless or incorrect packaging can damage records, rendering them useless to future users. Appropriate packaging will depend on the format of the records involved. For example, design documents may be larger than our box sizes. Also some types are poorly constructed and can collapse under the weight of their contents.

IRM have specific boxes we use. Do not use any other type of packaging without consulting with IRM first.

- Ensure wax side faces out with 'Box NZ' label on bottom of box

- Boxes should be labelled (as below) and numbered in a single run. For instance, if a transfer consists of a total of 60 boxes, label boxes as box '1' through to '60'.

- **Do not** cover the Archives NZ label already on the box. This will be used by IRM later.

- Try and make groupings of records sensible, so that Archive documents are together and "to destroy" documents are together. This makes future destruction easier.
- Do not over-fill or under-fill the boxes. Leave a palm width between the files and the side of the box. Leave 2–3cm of free space at the top of the box.
- Put coda files in boxes with their tabs visible at the top for readability and retrieval.

- Put loose leaf papers into a file or wallet and list accordingly. Do not remove staples or clips.
- In some instances, it may be necessary to itemise each item in a box.

Leave documents in their original files/lever arch folders/document wallets etc. 3–4 folders or file boxes will fit in each storage box.

Listing

It is essential that the transfer list is accurate; this ensures records are discoverable and retrievable. Where a list does not accurately reflect a box's contents, or is otherwise incomplete or vague, the ability for UC staff to access those records is greatly reduced, while resources are wasted in searching. Please be sure to include the GDA references and the Open and Close Dates for each record in **yyyy** format. Incomplete listing templates will be sent back to the department for completion.

Acronyms and abbreviations should be expanded. For example 'Geospatial Research Centre (GRC)'. Overtime, acronyms lose their meaning and/ or are used to refer to separate topics or ideas (for example, MED may refer to the Municipal Electricity Department or the Ministry of Economic Development or an abbreviation for Medicine.

As well as providing clarity into the future, avoiding abbreviations and acronyms will assist users with database search queries for records in long term or archival storage. However, there are exceptions to this rule:

- If the acronym is so familiar that it is more recognisable than the full version, e.g. UC, GST or EFTPOS

- Titles and rank, awards and academic qualifications: it is not necessary to expand abbreviations of title, rank, award, or qualification where they are attached to a proper name.

Please refer to the examples on the additional tabs of the Listing Template for further information

The template is available via the *IRM website*, or by contacting the IRM Unit at records@canterbury.ac.nz.

List column definitions

Acc	This represents the Accession number associated with the transfer. It will be supplied to transferring departments by IRM.
Box/Item	The box number each record is stored in, or in the case of over-size records, the individual number assigned to that item. Please assign a number to each item.
Barcode	IRM only. This is a barcode field IRM may use for tracking purposes.
Record title	The name of the record, as physically noted on its cover. Where a record's title is absent or meaningless, a descriptive title should be added to assist in location and retrieval. Please expand acronyms.
Description	For additional item information such as alphabet or volume number, a fuller description, or full date in square brackets e.g. [15 Sept 1997 – 4 April 1999].
Record Number	The code or reference given to the record by the department if it was created and managed within a registration system or similar. For example, 5079/1.
Department Name	The name of the department organising and listing the records for transfer.
Dept Code	For IRM use only. It represents the code associated with the transferring department.
Open year	The date the record was opened. The earliest date visible in the file. This must be in yyyy format. No months or days.
Close year	The date the record was closed. The latest date visible in the file. This must be in yyyy format. No months or days.
GDA Ref	The class from within the GDA that the records were sentenced under e.g. 5.2.1.
Disposal	The fate of the record, based on the GDA class it was sentenced under. This will be either Archive, Destroy, or Retain Permanently.
Disposal year	The date that the record can be disposed, as determined by retention period in the GDA – which could either be archive, destroy or retain permanently. This must be in yyyy format. No months or days. All records will be destroyed in December of that year unless a special exemption is made.

Step 4

Send listing to IRM for approval

Once you have completed the boxing and listing steps (Step 3) email through your completed listing spreadsheet to the IRM team via records@canterbury.ac.nz. They will communicate with you to ensure the listing is completed appropriately.

Step 5

Coordinate transfer with IRM to storage

Once the previous steps are all complete, liaise with the IRM team to have the boxes collected and taken to storage.

2.3 Requesting records from IRM

Staff can request records which are held by the IRM department by emailing records@canterbury.ac.nz, or by calling any of our team (see Step 1 in this document).

Please provide title, file name of the record, year and any further details relating to the subject matter. If you have transferred these items to us previously, please provide the accession number and box number.

Requests will be retrieved as promptly as possible, but no longer than 2–3 working days unless you are otherwise notified. Urgent requests can also be met in some cases; please contact the team directly.

3. Management of electronic records

Electronic records should be managed with the same care as hardcopy records. It is each department's responsibility to maintain the format and integrity of these records. Eventually UC will have some form of an Enterprise Content Management System (ECMS) which will appropriately and thoroughly manage electronic content. In the meantime, there are several practices you can follow to ensure the context and integrity of business records is maintained.

3.1 Folders and metadata

The management of folders and files is easier when you use limited folder levels. Naming folders and files clearly enables the easy retrieval of information now and in the future.

When you organise the contents of a folder, aim to limit the number of sub-folders to no more than 3 levels. These sub-folders should link logically with the 'parent' folder.

Metadata (which is like a label on a can) is particularly useful when compiling or searching for information.

To insert metadata into the document properties, find the Document's "Properties" section within the application you are using and enter the metadata you wish to store.

For any working files that you are creating (documents, spreadsheets etc) include data such as:
• Storage location (path/file name – see below)
• Date created
• The owner (usually you)
• A descriptive title (e.g. Student Survey Report December 2011)
• Version information if there is more than one.

Dates and filepaths

Insert the filename and path to the footer of the document for others to easily find the document. Also at this stage it is wise to add both page numbers and dates to the document for context purposes.

Dates are extremely important to provide context to documents.

3.2 File naming tips

• Use meaningful and descriptive document names e.g. 2012-08-01_Research_Committee_Minutes.docx)

• In order for search to work effectively across systems make sure there are gaps or spaces between words.

• Be consistent with your date formatting e.g. "YYYY-MM-DD_Annual_Report_final.docx"

• Use Title Case (i.e., a capital letter at the start of each main word) e.g. Visa Applications for International Students.doc

• Append a version and status term to file titles to denote what version it is, and perhaps

Folder levels shown in filepath name:

E.g. filepath: *Information Services\Records Management\Planning\Project plan*

Business Activity

Document

Department Folder

Sub activity

whether it is draft or final. , eg "2012-08-24_Vice_Chancellors_Report_To_Council_Draft_v01.docx"

- Consistently state the document type where helpful
  e.g. Minutes, Report, Agenda, or Letter

- Add leading zeros to numbers in file names, so they file numerically
  e.g. 1 becomes 01, or 001 (Toolkit-Draft-01)

- Use approved abbreviations and acronyms only
  e.g. NZVCC for New Zealand Vice-Chancellor's Committee
  A list of UC acronyms is available:
  https://intranet.canterbury.ac.nz/new_staff/acronyms.shtml

- Do not use the names of individuals
  e.g. Vice-Chancellor's Report to Council.doc not John Smith's Report to Council.doc

- Avoid non-specific words
  e.g. Do not use words like *general, admin or misc* to label a file

- Gaps, dashes and underscores are searchable in both file-shares and sharepoint sites but not camel case

3.3 Versioning

There are several ways of versioning which include:

- Adding a version number in the file name when saving e.g. Title_v01

- Turning on SharePoint versioning (when working in SharePoint)

- Including the version in the metadata or within the document itself (header/footer)

- State 'Final' or 'Draft' to differentiate completed from working versions. The use of a "Draft" watermark is recommended for working versions

E.g. 2013-01-10_Department_Report_ICTS_Draft_v05.docx

3.4 SharePoint

SharePoint is an enterprise system used at UC for document and record storage and management. To protect integrity of content held in SharePoint, it is important that SharePoint functionality is set up according to the UC Information Management Framework and UC Information Architecture Standards and used appropriately. To this end processes have been put in place to assist staff in implementing and managing SharePoint in their areas.

If you are interested in talking about how SharePoint might work for you, or need to make significant changes, please log a request via https://asssist.canterbury.ac.nz and you will be contacted accordingly.

For existing users, some training materials are avavilable here: https://wiki.canterbury.ac.nz/display/SPHelp/SharePoint+Support+Site

3.5 Information Governance

Information governance at UC has matured with the recent establishment of the Information Governance Group. The purpose of the Information Governance Group is to ensure that the University's Information Strategy and related policies are given effect, that the University develops the frameworks and environments from which benefits and efficiencies can be realised, while mitigating risks and issues associated with managing significant information holdings. It is also the Governance Group for SharePoint. In support, a SharePoint User reference Group has been established, which provides operational and tactical input into SharePoint. Finally, the Strategic Architecture Group ensures that technical proposals are aligned with and support the ITS and Information Management strategies and their supporting principles.

3.6 Electronic records – what to do when leaving UC

Records, as defined by the UC Records Management Policy, may be in any format. UC staff will have original records in digital form stored on their c:drive, p:drive or k:drive, etc as well as in their Outlook email account and on SharePoint sites.

At present, UC has no Enterprise Content Management System (ECMS) to manage this content; this does not mean that records in this format should **not** be managed. Take the time to preserve UC records.

3.6.1 Your information

Regularly identify and delete your private information – this is content created as a 'private person'. Examples of private information include personal emails and letters, CVs, photos, music or similar. When leaving UC, be sure to delete from the various drives – as well as Outlook – anything that fits this category.

3.6.2 Reference material

Regularly identify and delete saved personal copies of 'reference only' material which is no longer needed or which is out of date. Copies may be destroyed under the housekeeping classes of the General Disposal Authority (GDA section 1).

This includes initial/minor drafts, copies, reference material or material downloaded for ease of access from corporate systems like the UC Policy Library. It will also include emails that you have been carbon copied (cc'd) into but where you are not the holder of the record.

With your Outlook account regularly delete non-current reference material. This includes duplicate or circulated copies, trivial work related material (reminder notes, room bookings, calendar entries and tasks) and list serv or RSS subscriptions. Empty your 'deleted items' folder regularly.

3.6.3 Saving corporate email

For those items in Outlook that do require longer retention before being archived or destroyed, save them to the shared department drive as "txt", "html", or "PDF" files and label them clearly. Do not save items to your PC's p: drive or desktop. For large bulk saves, contact the IT help desk for assistance. For business units that use SharePoint, email should be saved into relevant SharePoint libraries. For more detailed information, see the Managing Email brochure produced by our office.

3.6.4 Access to specialist data/software

To assist with business continuity planning and long term access, a register of any unique or business specific software should be created. This might include software only accessible on

an Apple computer running MacOS 10.4, for example, or a dedicated graphic design package such as InDesign or similar. This will facilitate digital preservation efforts by allowing access to otherwise unknown and inaccessible content. This register should be forwarded to Information and Records Management via *records@canterbury.ac.nz.*

3.7 Digitisation – scanning and shredding

With the shift to electronic recordkeeping systems and the introduction of multi-function devices (MFDs) with scanning capability, many organisations are scanning (digitising) original paper or other non-digital records. There are a wide range of benefits to doing so, but also substantial risks.

To manage these activities, Archives New Zealand has developed a Digitisation Standard. The purpose of the Standard is to ensure that the scanned copies retain all the evidential qualities of the paper originals, so they can be relied on as records of business activities. Without controls and proper process, scanned documents may not be admissible as evidence if challenged in court, or could be open to manipulation or alteration, placing UC at risk of financial or reputational harm. It is important therefore that before considering a scanning project, IRM is consulted.

3.7.1 When does the Digitisation Standard apply?

The Standard applies to ongoing, routine scanning of original documents where the business activity takes place on the scanned record rather than on the original source record, and where the scanned record has therefore become the official record. Examples include (1) scanning of invoices by Financial Services (2) scanning of the applications for programme entry for the College of Education programmes and (3) scanning of applications from international students.

The Standard also applies when organisations wish to scan source records and destroy the originals.

3.7.2 What should you do now?

At this stage consult IRM if you are:

(1) currently undertaking significant scanning of original records or;

(2) planning to modify current business processes to incorporate scanning of records;

(3) planning to scan records and destroy the originals.

You may not dispose of scanned records until the University has developed a programme to manage this activity and to ensure organisational compliance.

4. Business continuity and vital records

4.1 Business continuity planning

Business Continuity Planning is a way the University can ensure it is a resilient organisation that is not only prepared to respond to a critical incident but can return to business as usual as quickly as possible with minimal disruption. Business Continuity Plans (BCPs), developed at department level are dynamic documents that should address, at the very least, the following questions:

- What if anything exists currently?
- Who are your key contacts?
- Who are your key stake holders?
- What are your critical functions/processes?
- What are your critical items of equipment?
  - What controls are in place to manage disruption
  - How vulnerable are the controls?

The Registrar's team is working with colleges and service units to develop these plans and to identify the IT and facility dependencies that impact the plans. It is important that the BCPs are owned though, at the department level and that there is an owner of the plan who commits to keeping it up-to-date as required.

4.2 Vital records

Vital records are defined as 'those records that are essential for the ongoing business of an agency, and without which the agency could not continue to function effectively.' As such, vital records are only a small subset of all records created on campus. They are the records that would be required to recover from disaster and generally are those that protect rights and entitlements. In the University context, they also are those that its alumni rely on to prove their right to claim a qualification.

Further examples of vital records include signed originals of major contracts or agreements, insurance information, disaster management plans, institutional policies, title deeds and other records documenting the University's property rights. In short, vital records are considered 'vital' because they provide the legal basis for the University's existence and enable it to recover quickly and effectively from a disaster.

If you have identified Vital Records that may need special consideration in a disaster please email records@canterbury.ac.nz to discuss.

4.3 Contracts

Management of contracts, MOUs, Leases, Deeds, and other agreements is vital to the reputation, integrity and continuity of business at UC. For example, during the earthquake period, University staff were able to access vital contracts because access copies had been centralised on SharePoint.

IRM have a central register of some of the University's high level contracts. Some staff can have access to this SharePoint site if it is part of their day-to-day business needs.

If you would like to know more about how you could manage your contracts on SharePoint either with us, or on your own site, please contact the IRM team.

5. The Official Information Act (OIA) and the Privacy Act

The University is covered by the OIA and Privacy Acts as it is a Public Office under the Government. The guiding principle of the OIA and the Privacy Acts is that information must be made available unless a good reason exists under the Acts for withholding it. These Acts create a balance between increasing the availability of official information and enhancing respect and transparency, while at the same time protecting sensitive information where necessary for the public interest and/or to preserve personal privacy.

Examples of information which can be asked for:

- Access to any official information
- Reasons for decisions made about you
- Internal policies, principles, rules or guidelines
- Meeting agendas and minutes, including those not open to the public except where they are confidential "closed" meetings.
- Internal correspondence (including email) on a particular topic

An organisation has 20 working days to respond to a request. However, this can be extended if the request is large or un-wieldy to compile.
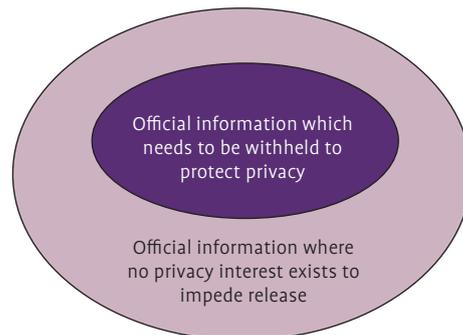
The Privacy Act controls how people and organisations collect, use, disclose, store and give access to personal information. People can ask for personal information about themselves. For example, under the Privacy Act people can apply to UC if they want a copy of, or access to, personal information held about them. A person may also ask for information to be corrected.

Did you know that many news items are informed by OIA requested information? You will often hear this referenced on the TV news, or see it in the newspaper, or online.

Any person may make a complaint to the Privacy Commissioner if they think that there has been a breach of their privacy by a person or organisation holding their personal information. Organisations are required to report Privacy Breaches to the commissioner. Likewise, an individual can complain to the Ombudsman where they believe an Official Information Act request has not been appropriately dealt with. These organisations will inform the University of these queries and ask for justification of decisions.

Personal information might be requested by a third party under the Official Information Act (e.g. the private information is not about the requestor themselves). See image below:

Official information which needs to be withheld to protect privacy

Official information where no privacy interest exists to impede release

5.1 Emails and communications in general

Remember that as part of your work, you are creating records through the email system that are public records. These records can be requested under Official Information and Privacy Act requests and must be retained under the PRA. Always be mindful of this and consider content and personal commentary. The person you are talking about may end up having access to these records.

For example, Bob asks for correspondence (under the Official Information Act) around a decision made on his PhD. Some staff had previously sent a couple of emails back and forth with some light banter and personal commentary about the annoying nature of Bob and his PhD. This correspondence must be provided as part of the request, even if it includes seemingly irrelevant information and personal remarks.

Any working documents that are confidential in nature, or otherwise, should never be taken off campus. Be aware of files you hold on disks, USB drives and in hardcopy; don't leave these lying around. See the UC Privacy Policy for more

information. When working from home, it is best to ensure that you have remote access to the network and relevant systems to reduce the risks associated with using loose media. You can encrypt information on portable devices, see *www.canterbury.ac.nz/irm/security.shtml* for further information.

5.2 Case studies

5.2.1 Breach of personal privacy

Photo by Timothy Krause

Oscar received marketing correspondence from an organisation which he did not believe he was signed up to. Looking into it further he realised the organisation was affiliated with the University. He complained to the University that his details had been given to the third party without his consent.

Oscar received another non-solicited brochure. He complained to the Privacy Commissioner this time, who commissioned an investigation into the case. In addition, Bob blogged about

the incident, which was picked up by others and became a topic of discussion across the blogosphere. As well as damaging the reputation of the University it represented a significant cost on UC as it managed an internal investigation, liaised and coordinated with the Privacy Commissioner and removed Communication Staff from their regular roles to manage the fall out.

5.2.2 Confidentiality and privacy

Photo by Jesse Millan

Cathy was asked for information under an Official Information Act request. The information requested was 'all correspondence between staff members in her department about an undergraduate student and their aegrotat applications'.

In gathering this information, Cathy found that some of the email streams contained highly unflattering comments about the student and their need (or lack thereof) for the aegrotat. Once requested, there was no way to withhold this information, even though it was embarrassing for the University and staff members and defamatory

of the student. This widespread discussion of the student's needs breached their privacy and caused complications for the University in reputation and under law.

5.2.3 Breaching both the Public Records Act and the Official Information Act

Gareth received a request under the OIA for the quarterly reports that his department prepares for the organisation. Unfortunately, Gareth destroyed these records before their authorised disposal date.

He could not supply this material as requested which breached the OIA. He also breached the PRA by not maintaining the required business documentation for their minimum retention period. This exposed the University and Gareth to fines, resulted in a critical report on UC's recordkeeping being tabled in parliament, and censure from the Chief Ombudsman.

5.3 The Information Network at UC

All University employees are responsible for compliance with the Privacy Policy and the Privacy Act. To assist with compliance, each portfolio and College delegated first line responsibility for privacy issues to a Privacy Advocate. Collectively, this group of Privacy Advocates was known as the Privacy Network but has been renamed The Information Network for better coverage. It is supported by the University's Privacy Officer (The Registrar).

The Information Network will:

• provide first line support for staff and students from each College or portfolio on privacy or other information issues or concerns. In particular by providing advice and guidance and in answering basic queries;

• where necessary, escalate matters of concern to the Registrar (University Privacy Officer) or the University Information and Records Manager as appropriate;

• provide support to respective Senior Management Team members on information and privacy issues affecting their portfolios/ Colleges, and act as a resource for use in projects that will touch on information and privacy matters;

• meet on a regular basis to share experience, gain knowledge and take advice from the Information Manager and University Privacy Officer.

In 2012 an ACC staff member caused the biggest privacy breach in NZ's history. They inadvertently sent out an email with an attachment containing 6500 other clients' personal details to a ACC client. This caused a huge furore nationally and exposed ACC to ridicule within the media and the current government to criticism by the opposing political parties.

"A recent TV One Colmar Brunton poll showed that 60% of New Zealanders don't trust government departments to protect their personal details. The public sector runs on trust – it's the fuel in the government engine. Recent events threaten that in a very real way," – Privacy Commissioner 2012

5.4 Resources

- For more information on the Official Information Act and Privacy Act at the University, please see the related policies on our UC Policy Library page: *www.canterbury.ac.nz/ucpolicy*

- To find out who your Information Network Advocate is, please see www.canterbury.ac.nz/irm/privacy.

- *www.legislation.govt.nz/act* – for Public Records, Official Information, and Privacy Acts

- The NZ Privacy Commission *www.privacy.org.nz*

- Ministry of Justice 'Official Information: Your Right To Know' *www.justice.govt.nz/publications under 'o'*

- Office of the Ombudsmen *www.ombudsmen.govt.nz*

- Archives NZ OIA and Recordkeeping presentation (by the Deputy Ombudsman) *http://archives.govt.nz/official-information-act-and-recordkeeping*

6. Copyright

University staff and students are both creators and users of copyright. The Registrar is the Copyright Officer for the University of Canterbury. Copyright was designed to encourage creativity by protecting the rights of the creators to benefit from their ideas while balancing this with the need for society to have access to the work.

Copyright protects the rights of creators to earn money and recognition for their work. The reputation of the university and individuals and the quality of the academic research are both under threat from copyright breaches.

Materials covered by copyright include books, internet materials, films, diagrams, electronic databases, maps etc. Copying these materials can be made only as permitted by the Copyright Act or under licence.

Copyright includes: single copying; multiple copying; electronic copying; copying of films; sound recordings; broadcasts; or cable programmes; off-air recordings; anthologies; examinations; library copying.

UC staff and students are required to comply with current legislation and licences entered into by the University. Copyright licences extend the uses allowed under the legislation by persons other than the Rights Owners. UC has a comprehensive Copyright Policy, available in the UC Policy Library. Currently the University holds three licences with:

- Copyright Licensing Limited (CLL) – for printed or scanned copies of printed material;
- Screenrights – for audiovisual material;
- APRA/AMCOS and PPNZ – provide the ability to perform, communicate or copy musical material.

Under section 15 of the Copyright Act 1994, copyright comes into existence automatically when "the work is recorded, in writing or otherwise". Copyright does not exist in an idea that is not recorded. "Recorded" here refers to items that may or may not be "published".

The library also provides access to services such as online journal databases that are provided to us under licence and still subject to copyright restrictions. Please speak to a librarian for further information.

6.1 Published and unpublished works

Copyright continues for 50 years from the death of the author/creator. For works with no known author, the copyright period is 50 years from the end of the calendar year in which the work was first made, published, performed, exhibited, or broadcast.

Copyright exists in the *typographical arrangement* (exact printed layout and format) of a published edition for 25 years from the year of publication.

Copyright in **sound recordings and films** lasts for after 50 years from when the work was made or 50 years from the end of the calendar year in which it is made available to the public, i.e. published, broadcast, included in a cable programme service, shown in public, or played in public.

Copyright in **broadcasts and cable programmes** lasts for 50 years from the end of the calendar year in which they are made.

Out of print works are still protected by copyright.

6.2 Crown copyright

Copyright in Crown publications lasts for 100 years. However, there is no copyright in certain Crown publications, eg. Bills, Acts, Regulations, Parliamentary Debates, Court and Tribunal judgments, reports of Select Committees, Commissions of Inquiry, or Government Inquiries.

6.3 Your responsibilities when using copyright material

6.3.1 Copyright attribution

Acknowledging copyright material is required. You are obliged to fully and correctly identify any author, creator, publisher, and source of any material copied.

There are also specific obligations to attribute when using the licences which UC holds. Specific warning notices are required by these licences for use with music, radio and television broadcast material and course readers. The wording for these is available on the *Copyright Warning Notices* webpage on the UC website.

These obligations arise whenever copyright material is legally used by staff or students, for example, when used in class handouts, in student essays or theses, in course readers, in academic publications (papers or books), or in material on web pages. In all these cases, you must attribute as stated below.

While the CLL licence enables academic staff to make copies from copyright works for use in teaching, it is still necessary to acknowledge that the work copied has been created by someone else. If the material is being included in course notes or workbooks, then the copyright material used should be acknowledged in a bibliography or reference list in accordance with normal referencing standards**.** A copyright notice identifying the copyright owner should be included on the material copied. In all cases attribution should at a minimum contain:

- Title
- Author
- Publisher/Publication
- ISSN/ISBN
- Publication Date

The Library has more detailed information on referencing available by subject, see *Citations and referencing* (Library website).

6.3.2 Copyright and recordkeeping

If you get permission from a copyright owner to copy his/her material, then keep a record of that permission. For more information on copyright in regard to theses, see the *Research and Study* section of the IRM/copyright website.

6.3.3 Reproduction and publication

In addition to copyright clearance, students/staff who want to reproduce any original published material held in the University of Canterbury Library will need the Library's permission (as proprietor and occasionally as copyright owner), and reproduction fees may apply. 'Original published material' are works which have been published through the University Press, the library or other campus works such as theses.

6.4 Copyright website

For more information on Copyright at UC, please see the *Copyright section* of the IRM website, which has information such as:

General overview of copyright

• Purpose of, materials covered and duration of copyright
• Licences held by the University
• File Sharing information
• Your responsibilities when using copyright material
• Copyright warning notices

Teaching and copyright

• Hardcopy text and images
• Internet, databases, broadcasts and podcasts
• Film, video and music
• Staff original work

Research and study

• Information about copying for study
• Information on theses and copyright
• Publishing in a journal

Creative tools

• Educational resources for research and study
• How to use, attribute and license your work under Creative Commons

Librarians and Copyright

• Libraries and librarians have special rights

6.5 File sharing

On 1 Sept 2011, the changes to the Copyright Act came into force under the Copyright (Infringing File Sharing) Amendment Act 2011. This provides owners of copyrighted works such as movies, TV shows and music a quicker and easier way to penalise people infringing their copyright via online file sharing. The intention of the law changes is to stop illegal peer-to-peer file sharing.

> "File sharing" is defined by the new law as:
> • Material uploaded or downloaded from the Internet (and);
> • Using an application or network that enables the simultaneous sharing of material between multiple users.
>
> Anything that doesn't meet both parts of this definition is not covered by this law.

File sharing networks are not illegal in themselves. However, much of the content on file-sharing networks is music, film, TV, books or software that is protected by the Copyright Act 1994.

Account holders who are identified breaching the Act will receive two notices (warnings) and then, following the third notice, the copyright owner can take them to the Copyright Tribunal. Depending upon circumstances, the minimum penalty is $275 and maximum $15,000, payable to the copyright owner.

The person who owns the Internet account (Account Holder) is liable, even if he or she wasn't the person who broke the law. Allegations of copyright infringement made against you (the Account Holder) by the Copyright Owner are presumed to be correct unless you give evidence or reasons why you are not guilty.

Illegally downloading even a single copyright protected work could incur a copyright warning. Many Copyright Owners take detection and prosecution of copyright infringement very seriously, so don't underestimate the seriousness of this law.

Please think about these issues in relation to your home, work and study environments. For more information visit:

- Copyright (Infringing File Sharing) Amendment Act 2011 (www.legislation.govt.nz)
- 3strikes organisation website
- Ministry of Business, Information and Employment information govt website

6.5.1 File sharing and UC

The University of Canterbury is defined as an Internet Protocol Address Provider or 'IPAP'. If a Rights Owner sends an infringement notice, this will come to the University through our Internet Service Provider (ISP). The University will then issue the infringement notice to the offending Account Holder (student or staff member). If an Account Holder receives three notices within nine months that relate to the same Rights Owner, the Rights Owner may choose to take a claim for up to $15,000 to the Copyright Tribunal.

6.5.2 Infringement process:

Infringement Notice

Our Internet Service Provider (ISP) gets an infringement notice from a Rights Owner (the owner of the copyrighted content).

Sent to University

The ISP sends the Infringement notice on to the University in its role as an IPAP (Internet Protocol Address Provider).

Issued to Account Holder

The University matches the infringement notice to the IP address and issues the infringement notice to the individual Account Holder (staff or student account).

The Account Holder is fully liable under the Copyright (Infringing File Sharing)Act and the process will follow the steps laid out in the Regulations for this policy.

7. Contacts

6.5.3 No indemnity of staff/students

The University takes infringement of copyright very seriously. It will not indemnify staff or students if they are found to have breached copyright. Infringement by an employee or by a student could result in a civil or criminal action against that employee or student. Infringement by an employee may also be considered to be misconduct or serious misconduct and therefore may result in a warning being given or in dismissal. Infringement by a student may also be considered as a disciplinary matter.

For further information please see the *Copyright Policy* and the *Copyright section* of the IRM website.

IRM can be contacted at *records@canterbury.ac.nz* or either:

Information Manager

Tom Norcliffe
tom.norcliffe@canterbury.ac.nz ext 93193

Senior Information Advisor

Anita Kerr
anita.kerr@canterbury.ac.nz ext 93889

Information & Records Administrator

Bjorn Gruebner
bjorn.gruebner@canterbury.ac.nz ext 45702

8. Relevant policies and legislation

UC Policy Library (www.canterburyac.nz/policy)

Records Management Policy

Official Information Policy

Privacy Policy

Copyright Policy

www.legislation.govt.nz

Public Records Act, 2005

Official Information Act, 1982

Privacy Act, 1993

Copyright Act, 1994

Copyright (Infringing File Sharing) Amendment Act, 2011

9. Acronym glossary

Acronym	Full Wording
ECMS	Enterprise Content Management System
GDA	General Disposal Authority
MFDs	Multi-functional Devices
MOU	Memorandum of Understanding
IPAP	Internet Protocol Address Provider
IRM	Information and Records Management (Department within the Office of the Vice Chancellor, reporting to the University Registrar and responsible for the oversight of corporate information management at UC)
ISP	Internet Service Provider
OIA	Official Information Act 1982
PRA	Public Records Act 2005

10. Terminology glossary

Term	Definition
Active Records	Those records required for the day-to-day functioning of an agency or person. Also referred to as current records. See also Inactive Records.
Sentencing	Examination of the records against the GDA to determine the disposition.
Archive	The record is of permanent value and, once the retention period is complete, will be transferred to Archives New Zealand or, if the University has an agreement for deferred transfer, to a central University records repository.
Capture	A deliberate action which results in the registration of a record into a recordkeeping system. For certain business activities this action may be designed into electronic systems so that the capture of the records is concurrent with the creation of records.
Classification	The systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in a classification system.
Context	The knowledge necessary to sustain a record's meaning or evidential value. Context describes the who, what, where and why of record creation and management.
Destroy	The record may be destroyed by an approved method: for example, secure shredding, deleting the record from a shared drive once the retention period is complete, and signed off for destruction.
Disposal	Disposal recommendations suggest what should happen to the record once it is non-current and its retention period is complete. Disposal does not mean destruction - it means disposition - "what happens to it".
Document	Recorded information regardless of medium or form (an email is regarded as a document).
Electronic Records	Records capable of being processed in a computer system and/or stored at any instant in a medium which requires electronic or computer equipment to retrieve them. Includes the digitised form of paper records.

Term	Definition
GDA	General Disposal Authority for New Zealand Universities. This General Disposal Authority (GDA) applies to all records created and received by New Zealand Universities and the New Zealand Vice-Chancellors' Committee that are covered by the Public Records Act 2005.
Inactive Records	Those records no longer required for the conduct of business and which may therefore be transferred to intermediate storage, archival custody, or be destroyed. See also Active records, Disposal.
Metadata	This can be described as "data about data". A fuller description is "structured information that describes and/or allows for finding, managing, controlling, understanding or preserving other information over time".
Provenance	The chain of custody which reflects the office(s) or person(s) that created, received or accumulated and used the records in the conduct of business. Identifying and documenting the provenance of records is an essential part of establishing their authenticity and integrity as evidence
Public Record	A record created or received by a public office in the conduct of its affairs. This includes records declared to be public records by the Governor-General and miscellaneous records. This does not include special collections (records collected for purposes such as research) or records created by the academic staff or students of a tertiary education institution, unless the records have become part of the records of that institution (PRA, s4).
Retain Permanently	This material is identified as being of permanent value to the university but does not meet the criteria for transfer to Archives New Zealand. This material will be transferred to a central University records repository.
Record	Information created, received, and maintained as evidence and as an asset by an organization or person, in pursuance of legal obligations or in the transaction of business, including emails.