

## Hātepe Kaimahi

Poipoi – Kauawhi – Tāuteute – Pūnaha Auaha – Ārahi  
Nurture – Include – Engage – Innovate – Lead

### What guides us

Living Te Tiriti o Waitangi  
Ensuring ākongā are at the centre of everything we do  
Delivering high-quality, future-focused teaching and learning

## INFORMATION AND RECORDS MANAGEMENT

Date of approval	: 31/1/2025
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Sponsor	: Deputy Chief Executive Systems and Support
Owner	: Chief Information Officer
Who are these procedures for	: All kaimahi

This hātepe supports the **[Information Management & Security Governance Policy]** approved by the Board of Trustees.

### Scope and purpose

1. This hātepe outlines the principles and practices for the management of information and records at Te Aho o Te Kura Pounamu (Te Kura).
2. Information is a valuable strategic asset that must be managed in a manner that both protects and maximises its value, ensuring transparency, accountability, and compliance with legal obligations.
3. This hātepe applies to all Te Kura Kaimahi and Board of Trustees involved in the creation, use, maintenance, and disposal of school-related records.
4. Everyone covered by this hātepe, regardless of their role, must consistently adhere to all Te Kura policies and comply with New Zealand laws.

### Te Tiriti o Waitangi

5. This hātepe supports the rights of Māori, under Te Tiriti o Waitangi to access, use and reuse information and records that are taonga. Te Kura should ensure that information and records about Māori are accessible.

### Delegated authorities

6. Decisions about the storage, classification, destruction, or transfer of information or records must comply with the [Financial and Human Resources Delegations Governance Policy](#).

### Definitions

7. In this hātepe, unless the context requires otherwise:

Term	Definition
<b>Chief Archivist</b>	The Chief Archivist (also is the General Manager of Te Rua Mahara o te Kāwanatanga Archives New Zealand) holds a statutory role under the Public Records Act 2005, to ensure the integrity of the record of government.

Term	Definition
<b>Disposal</b>	The process of destroying or transferring records after they have fulfilled their administrative, legal, fiscal, or historical purposes.
<b>Disposal Authority</b>	Formal authorisation from the Chief Archivist for the disposal of certain information and Records. These may be general, sector specific or for Te Kura.
<b>Kaimahi</b>	Staff member, including permanent, fixed-term, temporary, and seconded employees, as well as volunteers and contractors engaged by Te Kura, regardless of whether they work full-time, part-time, or casually.
<b>Open Access Record</b>	A Public Record that is not a Restricted Access Record <sup>1</sup> .
<b>Public Record</b>	Any record or information that Te Kura creates, receives, and keeps as evidence of its activities or for carrying out its responsibilities. This can include formats such as paper, electronic documents, or audiovisual materials.
<b>Restricted Access Record</b>	Where there are good reasons for restricting public access to a record, or if another Act requires a record to be withheld from public access <sup>2</sup> .
Frequently used terms, including Te Reo Māori, can be found <a href="#">here</a> .	

## Procedure

### Objectives

8. Te Kura is committed to ensuring that Public Records are accessible, secure, and preserved appropriately by:
  - a. Promoting awareness among all Kaimahi of their obligations when creating records.
  - b. Establishing processes and procedures to create and maintain full and accurate records of the activities of Te Kura.
  - c. Providing for the preservation of, and public access to, records of long-term value.
  - d. Managed Public Records in compliance with the Public Records Act 2005, other relevant legislation, and standards.

### Classifying information when created

9. All Public Records should be classified when created to allow for effective management, appropriate security, and compliance with legal obligations. This should include consideration of whether the record is an Open Access or Restricted Access Record.

## Expectations and limitations

### Responsibility of Te Kura

10. The Hātepe Owner will develop and maintain a system to classify records and information. Including procedures about how long to keep school records, why they must be kept for this period, and what needs to happen to them when they are no longer of use to the school.
11. Procedures developed for the management of school records, must be consistent with the Ministry of Education's [School Records – Retention and Disposal Schedule](#) and the requirements of any standards issued by Te Rua Mahara o te Kāwanatanga Archives New Zealand.

<sup>1</sup> Section 44(2) of the Public Records Act

<sup>2</sup> Section 44(3) of the Public Records Act

## Information management maturity

12. Te Kura should regularly assess its maturity by undertaking an [Information Management Maturity Assessment](#). This will allow Te Kura to identify areas for improvement, track trends over time, and collect valuable data for incorporating into information management strategies, and plans.
13. Te Kura should assess its maturity as:
  - a. Beginning or progressing, these levels require greater focus and priority on the management of information;
  - b. Managing, is broadly meeting the minimum requirements expected for all organisations;
  - c. Maturing or optimising are working towards increased organisation-wide consistency, alignment and effectiveness; or
  - d. Optimising, is understanding the strategic importance of information to Te Kura.

## Responsibility of Kaimahi

14. Kaimahi play an important role in the integrity, security, and management of Te Kura information and records. Kaimahi must:
  - a. Create and capture complete, accurate records of all transactions, decisions, and activities – refer to [\[Records Guidance\]](#).
  - b. Create, save, store, and transmit electronic records solely through Te Kura approved systems refer to [Te Kura Communications and Information Management Environment](#).
  - c. Access or use information only when it is necessary for a legitimate purpose.
  - d. Dispose of records in accordance with the [\[Disposal Guidelines\]](#), any Disposal Authority, and with the appropriate approvals as per the [Financial and Human Resources Delegations Governance Policy](#).
15. Kaimahi must keep all information and records secure by:
  - a. Following all security standards and guidelines established by Te Kura, including the [Responsible Use of ICT Hātepe Kaimahi](#).
  - b. Protecting Te Kura information and records, especially those that contain sensitive or private information, by:
    - i. Practicing a "Clear Desk" and/or "Clear Screen" policy for any unattended information.
    - ii. Locking computers when away to prevent unauthorised access.
    - iii. Securing paper records when not in use.
  - c. Promptly reporting any loss of information or Records to Information Resources Group (IRG).

## Considerations when working remotely

16. Kaimahi may take work home, or work from remote locations. Remote working can increase the risk to information security and may result in loss or disclosure of Te Kura information.
17. To mitigate any security risks Kaimahi should:
  - a. Comply with the requirements of the [Flexible Working Hātepe Kaimahi](#).
  - b. Before removing or transporting sensitive, or private information from the workplace, obtain approval from your manager.
  - c. Prevent overlooking and overhearing by unauthorised individuals while in transit and at remote locations.

- d. Lock computers when away to prevent unauthorised access, and store ICT devices securely when not in use.
- e. Securing paper records when not in use.

## Disposal, including transfer, of Public Records

18. No Public Record may be disposed of without the authority of the Chief Archivist unless disposal is required under another Act.
19. All Public Records designated for disposal must be assessed, documented, and authorised in accordance with Te Rua Mahara o te Kāwanatanga Archives New Zealand guidelines and [\[Disposal Guidelines\]](#).
20. Public Records must be transferred to the custody of the Chief Archivist after 25 years unless destruction, earlier transfer, or deferral is authorised.

## Conflict of interest

21. A conflict of interest occurs when a Kaimahi has a private or personal interest that could benefit, or seem to benefit, from their professional decisions or actions within Te Kura.
22. If you become aware of a potential conflict of interest, you must report it following the procedures outlined in the [\[Conflict of Interest Hātepe Kaimahi\]](#).

## Fraud

23. If you suspect that a fraudulent act may be occurring or may have occurred, you must report this immediately in accordance with the [Fraud Reporting & Investigation Hātepe Kaimahi](#).

## Compliance

24. Breaches of this hātepe may be treated as a performance issue, misconduct, or serious misconduct and will be managed in accordance with the Te Kura [Kaimahi Code of Conduct](#) and the relevant employment agreement.

## Key accountabilities and responsibilities

Role	Description of responsibility
<b>Chief Executive</b>	Responsible for: <ul style="list-style-type: none"> <li>• approval of this hātepe.</li> <li>• Te Kura meeting its obligations under this hātepe.</li> <li>• ensuring any breaches of this hātepe have been addressed.</li> </ul>
<b>Chief Advisor, Strategy</b>	Responsible for: <ul style="list-style-type: none"> <li>• ensuring the owners of this hātepe regularly review and meet Te Kura's current standards.</li> </ul>
<b>Deputy Chief Executives (DCEs)</b>	Responsible for: <ul style="list-style-type: none"> <li>• embedding this hātepe in their wāhanga.</li> <li>• ensuring their wāhanga are compliant with this hātepe.</li> </ul>
<b>Hātepe Kaimahi Owner</b>	Responsible for: <ul style="list-style-type: none"> <li>• ensuring the hātepe is working effectively through regular monitoring and reporting of compliance with the hātepe.</li> <li>• ensuring Kaimahi have had the opportunity to receive training on this hātepe, where required.</li> </ul>

Role	Description of responsibility
	<ul style="list-style-type: none"> <li>ensuring any breaches of this hātepe have been addressed.</li> </ul>
<b>Kāinga Managers</b>	Responsible for supporting Kaimahi and ensuring that any proposed expenditure, decision, or activity within their area of responsibility: <ul style="list-style-type: none"> <li>includes a rigorous approach to the management of operational, financial and human resources.</li> <li>is reasonable, appropriate, justified, and can withstand public scrutiny.</li> <li>complies with the Code of Conduct, all relevant Te Kura policies, and the <a href="#">Financial and Human Resources Delegations Governance Policy</a>.</li> <li>stays within the available budget, whenever financial approval is necessary.</li> <li>is documented correctly, with relevant supporting materials provided.</li> </ul>
<b>All Kaimahi</b>	Responsible for: <ul style="list-style-type: none"> <li>complying with the Code of Conduct and all relevant Te Kura policies.</li> <li>reporting any non-compliance with this hātepe to their manager.</li> </ul>

## Monitoring and assurance

25. The Hātepe Kaimahi Owner has the overall responsibility for monitoring the hātepe for effectiveness and compliance.

### Measures of success

26. The hātepe will be considered effective if:

- a. Hātepe users' feedback on appropriateness and ease of application is positive.
- b. Reporting is complete and accurate.
- c. There are no breaches of the hātepe, or if there are breaches, they are dealt with in a timely and appropriate manner.

### Compliance management

27. Compliance management tools and processes will be used to ensure compliance with this hātepe. The tools and processes may include:

- a. Monitoring of compliance with required processes, procedures or guidelines as set out in this hātepe and related procedures.
- b. Spot checks conducted by the Hātepe Kaimahi Owner on a regular basis to ensure compliance.
- c. Key messages will be provided to the business where spot checks have identified non-compliance.
- d. Tools such as checklists or online modules to help inform Kaimahi of their relevant obligations.

### Reporting and information

28. The Hātepe Kaimahi Owner will report to the Risk Assurance Committee in accordance with the annual assurance plan.

## Further support and guidance

29. Additional information that supports this hātepe can be found in:

- a. [Kaimahi Code of Conduct](#)
- b. [Conflict of Interest Governance Policy](#)
- c. [Financial and Human Resources Delegations Governance Policy](#)
- d. [Flexible Working Hātepe Kaimahi](#)
- e. [Fraud Prevention and Detection Governance Policy](#)
- f. [Fraud Reporting and Investigation Hātepe Kaimahi](#)
- g. [\[Information Management & Security Governance Policy\]](#)
- h. [Intellectual Property, Copyright, and Other Related Rights Governance Policy](#)
- i. [Policy Framework Governance Policy](#)
- j. [Privacy Governance Policy](#)
- k. [\[Privacy Hātepe Kaimahi\]](#)
- l. [Protected Disclosure Hātepe Kaimahi](#)
- m. [Classification Handbook: Guidelines for protecting New Zealand Government information](#) New Zealand Government
- n. [Key obligations – Public Records Act 2005 \(May 2023\)](#) (Te Rua Mahara o te Kāwanatanga Archives New Zealand)
- o. [Implementation guide: Information and records management standard \(September 2023\)](#) (Te Rua Mahara o te Kāwanatanga Archives New Zealand)
- p. [Information management maturity assessment \(September 2021\)](#) (Te Rua Mahara o te Kāwanatanga Archives New Zealand)
- q. [New Zealand Government Information Security Classification System Overview](#) (New Zealand Government)
- r. [School Records – Retention and Disposal Schedule](#) (Te Rua Mahara o te Kāwanatanga Archives New Zealand and Ministry of Education)
- s. [Education and Training Act 2020](#)
- t. [Official Information Act 1982](#)
- u. [Privacy Act 2020](#)
- v. [Protected Disclosures \(Protection of Whistleblowers\) Act 2022](#)
- w. [Public Records Act 2005.](#)

**Approved by Te Rina Leonard, Chief Executive, Te Aho o Te Kura Pounamu**