

## RECORDS MANAGEMENT POLICY

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### PURPOSE

Tautoko Tāne Aotearoa ('TTA') Records Management Policy ('Policy') provides guidelines for staff (employees, contractors and volunteers), trustees and advisors working for TTA or TTA Member Organisations ('MMO's).

The purpose of the Policy is to provide a framework and assign responsibilities for ensuring that full and accurate records of the governance, management and operational activities and decisions of TTA or an MMO are created, maintained, accessed and disposed of in an appropriate and controlled manner.

The Policy aims to ensure that these records are maintained for as long as they are required to support operational, legal, audit or cultural needs, until their disposal in accordance with legislative requirements and good management practice

This policy and the resultant records management programme represents an essential component of TTA's, or an MMO's broader approach to the management of its information.

### SCOPE

This Policy applies to:

- all staff (employees, contractors and volunteers), trustees and advisors engaged by TTA or an MMO and also to any other personnel engaged by TTA or an MMO to enable the delivery of services to male survivors and/or their family/whanau or other related parties;
- all records, regardless of format or media, created, received, and managed by TTA or an MMO in the conduct of its governance, management, and operational activities.

### OBJECTIVES

Applying this Policy will ensure that:

- Staff, trustees and advisors understand their obligations and responsibilities relating to the proper management of records relating to client service activities, governance, management and operational activities and contractual and legislative compliance activities
- There is alignment with other TTA and/or MMO policies and guidelines (e.g. Privacy Policy, Confidentiality Policy, Employment Policy, Recruitment Policy etc.) and relevant legislation (e.g. Public Records Act, Official Information Act, Privacy Act etc.)

## DEFINITIONS

<b>Electronic Records</b>	Records created, received, or stored by electronic means. This could include databases, emails, videos, audio files, podcasts, websites, images and records migrated to digital formats.
<b>Male survivor</b>	Means a male who has experienced physical, sexual, emotional, psychological, or family violence, abuse or harm.
<b>MMO</b>	Is an organisation that is affiliated with TTA through a formal membership agreement that accredits the organisation as an official Member Organisation of TTA.
<b>TTA</b>	Is the national organisation Tautoko Tāne Aotearoa, which provides national advocacy for male survivors and governance, coordination and representation for MMO's.
<b>Other personnel</b>	Includes counsellors, social workers and other therapists and support people engaged by TTA or an MMO to provide support services to male survivors.
<b>Record</b>	Information created, received and maintained as evidence and information by an organisation or person, in the transaction of business.
<b>Record-keeping system</b>	A system designed for facilitating the creation, capture, classification, maintenance and disposal of records. A system can be electronic or paper based, or a combination of both, for example, capturing and managing digitally born records in a paper format.
<b>Records Management Programme</b>	An integrated body of work to achieve organisation wide compliance with this policy. This programme of work is comprised of a number of interconnected elements, which endeavour to provide greater access to and use of information so as to ensure both efficiency and legislative compliance for the organisation.
<b>Staff</b>	Means an individual engaged as an employee, contractor or volunteer by TTA or an MMO to provide support services to male survivors.
<b>Survivor</b>	Means a person who has physical, sexual, emotional, psychological, or family violence, abuse or harm and in the context of this Policy will usually refer to a male survivor
<b>Trustee</b>	Means a trustee of TTA or an MMO

## POLICY

### Records Management

TTA and an MMO creates, maintains, accesses and disposes of full and accurate records, by doing the following:

- Creating and capturing records that provide evidence of the organisation's activities and transactions;
- Identifying and capturing records into an appropriate record keeping system that facilitates ease of location and retrieval;
- Storing records in an appropriate environment that allows access by authorised staff and prevents records from unauthorised access, alteration, loss or damage;
- Documenting and tracking the location and movement of records;
- Using records with care and respect so as not to damage them or compromise their integrity;
- Identifying and protecting records of a confidential or sensitive nature;
- Identifying and protecting records deemed vital for business continuity ;
- Retaining records for as long as necessary for operational, legal, audit or cultural reasons;
- Ensuring records are disposed in accordance TTA or MMO policy and relevant legislative requirements.
- Disposing of records in a secure manner; and
- Training and supporting staff, trustees, advisors and other personnel to fulfil their records management obligations and aspirations.

### Records

All TTA and MMO records must be:

- **Complete:** They must contain the structural and contextual information necessary to adequately document organisational activity.
- **Authentic:** It must be possible to prove that records are what they purport to be. For example, it must be possible to maintain reliable evidence of the author, creator, sender and recipient of a communication. For electronic records, this information should be captured and/or attributed in the recordkeeping metadata.
- **Reliable:** They must be trusted as an accurate representation of the organisational activities and transactions carried out.
- **Secure:** They must be maintained in a manner that prevents unauthorised access, alteration, loss or damage.
- **Accessible:** They must be easily located, retrieved and presented without the loss of content, context or structure. Records must be available to appropriate audiences in accordance with the provisions set out for access under the [Privacy Act 2020](#).

### Record-keeping responsibilities

All TTA and MMO staff, whether permanent or temporary staff, and including contractors and volunteers in the course of their work for and on behalf of TTA or an MMO, are responsible for:

- Understanding and adhering to this Records Management Policy; and
- Ensuring records management procedures and guidelines are adhered to.

TTA and MMO management are responsible for:

- Maintaining and reviewing this Records Management Policy;
- Implementing a records management programme that supports compliance with this Records Management Policy;
- Producing, implementing, maintaining and reviewing standards, procedures and guidelines contingent upon this Records Management Policy;
- Ensuring that all staff including volunteers and contractors are aware of this Records Management Policy, procedures, standards and guidelines.
- Ensuring staff working for TTA or an MMO have adequate support in their efforts to comply with this Records Management Policy.
- Ensuring appropriate resources (time, systems and people) are allocated to the implementation of this Records Management Policy.

### Records Retention and Disposal

The following table provides a general guideline for the retention and disposal of information commonly held by TTA and MMO's within their recordkeeping systems. The list is not intended to be exhaustive and expects reference to relevant legislation and/or policies and guidelines for information not included in the table.

Information Set	Information Elements	Retention	Disposal
<b>Governance</b>	Board & Management Committee agenda's and meeting records including all reports and proposals referenced	10 years	Archive
	Annual reports including Charity Services reports and strategic business plans	10 years	Archive
	Funding agreements and contracts including outcomes and compliance reporting	10 years	Destroy
	Compliance reports and audit reviews – financial, operational and contractual and significant complaints management records	10 years	Destroy
	Retired or updated policies and procedures	7 years	Destroy
<b>Employment</b>	Employee engagement and management records including vetting and issue or dispute resolution documentation	7 years	Destroy

Information Set	Information Elements	Retention	Disposal
	Health & Safety monitoring and issue/event resolution reports	7 years	Destroy
<b>Financial</b>	Financial reports & supporting transaction data – bank account and accounting system data, invoices etc.	7 years	Destroy
	Contractor, consultancy and & payroll records	7 years	Destroy
	Taxation records – tax, payroll, GST returns and supporting data and information	7 years	Destroy
<b>Clients</b>	Client records (paper and electronic) – full record of the contact with the client	10 years after last contact	Destroy
<b>Marketing</b>	Replaced, updated or obsolete printed and/or digital collateral	2 years	Archive
<b>Administrative</b>	General administrative files other than those necessary to support the retention of governance, employment, financial and client records listed above	2 years	Destroy

The process used for the destruction of records should ensure that information security and confidentiality requirements are adequately and effectively addressed.

Archiving assumes that the organisation has decided to build and sustain a long-term record of its organisational history.

## POLICY & LEGISLATIVE COMPLIANCE

This Policy assumes compliance with other relevant TTA and MMO policies and guidelines including, but not limited to:

- TTA Confidentiality Policy
- TTA Privacy Policy
- TTA Employment Policy
- TTA Recruitment Policy
- TTA Peer Support Guidelines

TTA and MMO's are required to manage records within a legislative framework. The Trustees in collaboration with management have ultimate responsibility for ensuring compliance with the legislative requirements underpinning record-keeping, including, but not limited to:

- Copyright Act 1994
- Electronic Transactions Act 2002
- Film, Videos and Publications Act 1993
- Health Information Privacy Code 1994
- Official Information Act 1982
- Privacy Act 2020

- Public Records Act 2005
- Unsolicited Electronic Messages Act 2007
- Goods and Services Tax Act 1985
- Tax Administration Act 1994