



Information and Records Management Policy

1. Policy Statement

At Auckland Transport (AT), we value information and records as a corporate and public asset. Creating and maintaining full and accurate records of our business activities is a routine part of our work practice. Access to appropriately protected trustworthy records supports AT's business operations and evidence-based decision-making. It assures the public that we are an accountable and transparent local authority organisation.

2. Purpose

The purpose of this policy is to provide a framework for high-level requirements and responsibilities for the creation and lifecycle management of AT's information and local authority records. Adherence to the policy will enable AT to comply with the Public Records Act 2005 and standards issued by Archives NZ.

3. Scope

This policy applies to all AT employees, contractors, and consultants working for or on behalf of AT.

This policy applies to all information and records created, received, captured, and maintained as part of AT's business activities, regardless of form, format, or media.

This policy applies to all business systems, applications, and processes involved in creation and management of AT's information and records.

4. Policy Principles

- 4.1. AT will manage its information and records as a valued asset throughout its lifecycle
- 4.2. AT will ensure information and records management is governed through appropriate roles, responsibilities, and accountabilities
- 4.3. AT will adapt and adhere to all standards issued by Archives NZ and all requirements outlined in AT's records-related policies, standards, and guidelines
- 4.4. AT will monitor and report on compliance with the Public Records Act 2005 and its own policies, standards, and guidelines
- 4.5. AT will audit information risks to its records on a regular basis



5. Definitions

Information	Knowledge communicated or received. The result of processing, gathering, manipulating, and organising data in a way that adds to the knowledge of the receiver.
Record	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, — <ul style="list-style-type: none">• 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
Lifecycle of records	Records management addresses the three phases of the life cycle of records: the creation or the receipt of a record; the maintenance, safe storage, retrieval, or general use of a record; the disposal of a record
Local authority	Includes the following organisations defined in section 5(1) of the Local Government Act 2002: <ul style="list-style-type: none">• a council-controlled organisation:• a council-controlled trading organisation:• a local government organisation
Local authority records	A record or class of records in any form, in whole or in part, created or received (whether before or after the commencement of the Public Records Act 2005) by a local authority in the conduct of its affairs
Disposal	In relation to a local authority record, means— <ul style="list-style-type: none">• the transfer of control of a record; or• the sale, alteration, destruction, or discharge of a record

6. Roles and Responsibilities

Role	Responsibility
AT employees, contractors, consultants, service providers and construction companies working for or on behalf of AT	<ul style="list-style-type: none">• Create and maintain complete and accurate information and records within their domain in Business Technology-approved business systems and applications in a timely manner as a routine part of their work practice.• Comply with information and records management policies, standards, guidelines, and procedures
Supervisors and managers (Information Asset Owner)	<ul style="list-style-type: none">• Ensure staff are certified and trained in procedures related to information and records• Ensure staff, including contractors, create and maintain complete and accurate information and records in a timely manner as a routine part of their work practice• Ensure staff, including contractors, complete their information and records management obligations before leaving AT



	<ul style="list-style-type: none"> • Ensure staff comply with information and records management policies, standards, guidelines, and procedures. • Implement information and records management policies, standards, and processes as design components of information systems, especially where high risk or high value records are created. • Ensure maintenance and management of information systems is consistent with information and records management policies, standards, and processes. • Ensure systems and service transition and migration strategies are designed to support information and records business continuity and accountability
Corporate Information Manager	<ul style="list-style-type: none"> • Own, govern, direct, and oversee delivery of records and information management related strategies, roadmaps, programmes, and action plans in alignment with Auckland Transport's strategic and planning framework • Develop and maintain effective information and records management policies, standards, and guidelines. • Ensure monitoring controls are in place to benchmark and track information and records management trends and compliance
Information Governance Team	<ul style="list-style-type: none"> • Provide service and coordinate activities that enable implementation of information and records management strategy, programmes, policies, and standards. • Liaise with staff and Information Asset Owners for the promotion and incorporation of information management policies, standards, and guidelines into information management related processes and information systems • Liaise with staff and Information Asset Owners to ensure information is managed through its lifecycle in accordance with information management policies and standards • Regularly monitor information systems and processes to ensure they are meeting information management policies and standards;
Executive General Manager Business Technology	<ul style="list-style-type: none"> • Executive Sponsor of the Public Records Act 2005 as a delegated responsibility from the CE. • Responsible for oversight of all strategy, policy, and programme of work on records and information management • Ensure there is budget and resources to enable implementation of AT's Information Management Strategy • Ensure information and records management responsibilities are assigned and cascaded down
Executive General Manager Risk and Assurance	<ul style="list-style-type: none"> • Ensure audits controls and processes are in place to identify information and records management risks in the business
Executive Leadership Team	<ul style="list-style-type: none"> • Support embedding of information management policies and standards • Manage information risks within their departments • Ensure staff, contractors and service providers are held accountable for their compliance responsibilities towards this policy and associated standards



Chief Executive (CE)	<ul style="list-style-type: none"> • Ultimate legislative responsibility for ensuring that Auckland Transport meets its statutory and accountability obligations in records and information management
AT Board of Directors	<ul style="list-style-type: none"> • Responsible for ensuring that Board and Board Sub-Committee minutes are properly recorded

7. Supporting Information

This policy should be read in conjunction with:

Legislative compliance	<p>This Policy supports Auckland Transport’s compliance with the following legislation:</p> <ul style="list-style-type: none"> • Local Government Official Information and Meetings Act 1987 • Privacy Act 2020 • Public Records Act 2005
Supporting documents	<ul style="list-style-type: none"> • Information and Records Repositories Standard
Related documents	<ul style="list-style-type: none"> • Disciplinary Policy • IT Security Policy • IT Access Policy • Email & Internet Use Policy • Mobile Device Policy • Personal Information Privacy Policy • Social Media Acceptable Usage Policy • IT Acceptable Use Guidelines

8. Compliance

Full compliance with this Information and Records Management Policy is required.

9. Approval & Review

Policy Owner: Executive General Manager
Business Technology

Policy Contact: Corporate Information
Manager

Endorsed by:


Chief Executive

Approved by:


Auckland Transport Board

Approval date: 24 February 2022

Next review date: 24 February 2024

AT reserves the right to review, amend or add to this policy at any time upon reasonable notice to employees and representatives.

This policy will be effective from the date it is published on the Engine Room.



Version	Owner	Reason for Change	Approver	Date approved
2.0	EGM Business Technology	Updated as part of regular Tier 1 policy review	Auckland Transport Board	24 February 2022
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