

 <p>BAY OF PLENTY DISTRICT HEALTH BOARD HAUORA A TOI</p>	<b>RECORDS MANAGEMENT - STANDARDS</b>	<b>Policy 2.4.5 Protocol 1</b>
<b>RECORDS MANAGEMENT PROTOCOL</b>		

## OBJECTIVE

Bay of Plenty District Health Board (BOPDHB) will ensure that all records are created, captured and maintained within legislative requirements, business requirements, and best practice standards.

## STANDARD

### 1. Creation and Maintenance of Records

- 1.1 Internal requirements and external obligations to create and maintain records of business activity must be identified and documented
- 1.2 Records must be created and maintained to meet internal requirements and external obligations
- 1.3 The content and structure of the records must fit their purpose and audience
- 1.4 Records must be created in a timely manner
- 1.5 The content of the records must be fixed
- 1.6 Records must be named according to the DocMan Library and Metadata requirements within the BOPDHB document management System (DocMan)
- 1.7 One official source document is to be created, stored and classified (per 2. below), however this document may be linked in other locations / documents

### 2. Classify and Organise Records

- 2.1 Business activities must be documented in a business classification scheme
- 2.2 Records must be classified and organised according to a business classification scheme

### 3. Assign Records Management Metadata to Records and Aggregation

- 3.1 Metadata management tools must be developed and maintained, and changes made to them must be tracked and documented
- 3.2 Records management metadata must be persistently linked to records and aggregations of records
- 3.3 The disposal of records management metadata must be managed systematically

### 4. Provide Access to Records

- 4.1 Access to records must be managed appropriately
- 4.2 Records must be accessible when required
- 4.3 The use of records must be promoted.
- 4.4 Risks to the accessibility of records must be identified and mitigated.

### 5. Appraise Records and Dispose of them Appropriately

- 5.1 All records must be appraised and disposed of according to the Archives New Zealand - General Disposal Authority for DHBs (GDA 262) and the Digitalisation Standards
- 5.2 The value of records must be appraised
- 5.3 Retention periods and disposal actions for records must be defined and documented
- 5.4 The correct statutory process for disposing of records must be followed
- 5.5 A systematic internal process for disposing of records must be set up and followed.
- 5.6 Records must be disposed of regularly.
- 5.7 The minimum metadata must be generated or captured during the disposal process as required by the Archives New Zealand Standard

### 6. Maintain the Integrity of Records

- 6.1 Records must be secure

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- 6.2 Records must be protected from natural and man-made hazards
- 6.3 Records must be stored on appropriate media or hardware, and in suitable containers and locations
- 6.4 At-risk records must be identified and managed appropriately
- 6.5 Business continuity and disaster management planning must address the protection and salvage of records
- 6.6 Physical records and digital records held on removable media must be stored in conditions that ensure their safe care and custody. These records must be:
  - a) stored in buildings with fire protection systems and equipment compliant with the New Zealand Building Code
  - b) stored above floor-level using shelving or equipment appropriate to the format of the records or the size of the storage media
  - c) stored away from sunlight and artificial light
  - d) stored away from magnetic interference, if they are digital records held on removable media
  - e) arranged in an orderly manner, and
  - f) retrieved, handled and re-shelved in accordance with set procedures.
- 6.7 Inactive physical records and inactive digital records held on removable media must be identified and stored in a dedicated storage area
- 6.8 Dedicated storage areas for inactive physical records or for inactive digital records held on removable media must ensure the preservation of those records in a usable form. These storage areas must:
  - a) be located in buildings which comply with the provisions of the New Zealand Building Code in force at time of construction and with any associated codes and standards
  - b) have adequate floor loading capacity
  - c) have drainage systems adequate to prevent flooding or must be located in buildings with drainage systems adequate to prevent flooding
  - d) be insulated from the outside climate
  - e) be protected from internal hazards
  - f) be maintained over time in accordance with a documented maintenance programme
  - g) be intruder resistant and have an alarm system or be located within buildings that are intruder resistant and have an alarm system, and
  - h) be kept clean and free of pests such as rodents and insects.

## **7. Manage Records Systematically**

- 7.1 Records management responsibilities must be assigned
- 7.2 Staff must be trained to create and maintain records
- 7.3 Trained staff must be assigned to carry out records management functions and activities
- 7.4 Records management objectives must be defined and documented
- 7.5 Records management activities must be documented
- 7.6 Records management must be resourced

## **ASSOCIATED DOCUMENTS**

- Bay of Plenty District Board policy 2.4.5 Records Management
- Bay of Plenty District Board policy 2.5.2 Health Records Management
- Bay of Plenty District Board policy 2.6.1 Management and Use of Information

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