

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

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:
- stored in buildings with fire protection systems and equipment compliant with the New Zealand Building Code
 - stored above floor-level using shelving or equipment appropriate to the format of the records or the size of the storage media
 - stored away from sunlight and artificial light
 - stored away from magnetic interference, if they are digital records held on removable media
 - arranged in an orderly manner, and
 - 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:
- 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
 - have adequate floor loading capacity
 - have drainage systems adequate to prevent flooding or must be located in buildings with drainage systems adequate to prevent flooding
 - be insulated from the outside climate
 - be protected from internal hazards
 - be maintained over time in accordance with a documented maintenance programme
 - be intruder resistant and have an alarm system or be located within buildings that are intruder resistant and have an alarm system, and
 - 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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