Information Management: Information management policy

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Policy statement and principles

What

This policy provides direction and guidance on the management of information at New Zealand Police. It recognises that information has a critical role to play in achieving our purpose 'To ensure everybody can be safe and feel safe' and our vision 'To be the safest country'. It assigns roles and responsibilities for managing information to staff at all levels and defines our obligations as stewards of Police's information.

This policy is informed by the requirements set out in the Information and records management standard (July 2016), a mandatory standard issued by Archives New Zealand. It aims to ensure that Police efficiently creates full and accurate records of its business activities, maintains information and records for as long as they are needed, and disposes of records legally, i.e. only in accordance with authorised Retention and Disposal Authorities.

Why

Managing information well is a critical component of effective policing. It enables the public and the government to hold Police and its employees accountable for their actions.

Police risks eroding public and government support and confidence if it fails to manage information well and to maintain a full and accurate account of the activities it undertakes and the decisions it makes. That support and confidence presupposes principled, effective and efficient policing services provided by Police employees who act professionally and with integrity.

Effective information management also provides Police with information about past decisions, actions and events, helping to build organisational knowledge and manage risk.

The benefit of managing information well supports everyone at Police because good management provides:

- Increased efficiency - enabling easier discovery and retrieval of our information.
- Better decision-making - we know we are using the most up-to-date and current information.
- Greater sharing and reuse.
- Greater security awareness - minimising the risk of unmanaged access and privacy or security breaches.
- Helps identify our business critical/high risk information.
- Strengthens legal compliance - ensuring we are meeting our legislative and business responsibilities and agreements.
- Minimises the risk of accidental or inappropriate disposal of active or business critical information and records.

How

The Police information principles underpin the Policy. They are designed to provide us with indicators of what 'good' Information Management looks like and support our people when making decisions about how best to use, share and store information. The Police Information Principles, which reflect the New Zealand Data and Information Management Principles (Approved by Cabinet on 8 August 2011(CAB Min [11] 29/12 refers)), form the basis for high quality management of the information and records Police holds on behalf of the public.

All Police employees, by the very nature of their work, manage information and record Police business activities. Police is committed to supporting employees in their information management responsibilities. The practices giving effect to this chapter will be clearly articulated, easily understood and consistently applied. Direction and guidance for employees is provided through policies in the Police Manual, associated guidelines and procedures, and by promoting awareness of the importance of good practice.

Police recognises the importance of continuous improvement in all that it does. In a rapidly changing digital environment, Police is committed to improving the management of information throughout its lifecycle, and to establishing and maintaining an effective information management programme as a key component in delivering policing services.

Police Information Principles

- **Information is open:** Information at Police is open to those with a legitimate need to access it, enabling effectiveness and efficiency in our work.
- **Information is protected:** Personal, confidential, and classified information is protected to mitigate risk and prevent harm,

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supporting the safety of our people and our communities.

- **Information is readily available:** Information at Police is managed in a way that makes it findable, accessible, and available for legitimate use and reuse.

- **Information is trusted and authoritative:** Police has confidence in the information we collect, create, and use because we trust that it is accurate, relevant, timely, consistent, and verifiable.

- **Information is well managed:** At Police we have a responsibility to manage information well throughout its lifecycle. We follow good information management practices and provide an environment where the right ways of working are supported and demonstrated.

- **Information is reusable:** Information is collected created and held in a way that enables ease of use and reuse by our people, our partners, and our communities.

Definitions

Information	Information is a blanket term that refers to any information created or used by Police in the conduct of our business. Information has content and structure, such as a document, an image, a text message, an email or a video.
Information Lifecycle	Information moves through a lifecycle of creation, use, maintenance and disposal. During this time the information is not static - it evolves and as it changes, its purpose and value also change.

Records	Records are information, whether in its original form or otherwise, including (without limitation) a document, signature, a seal, text, images, sound, speech, or data compiled, recorded or stored as the case may be, -
	
	   a. In written form or any material; or
	   b. On film, negative, tape, or other medium so as to be capable of being reproduced; or
	   c. By means of any recording device or process.
	
	 They have been created or collected into a meaningful form containing context and content regardless of format.
	
	 Under the Public Records Act Police is required to keep records for a period of time as evidence of our transactions and outputs.

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Overview

Scope

This policy applies to:

- all Police employees (whether permanent or temporary) and contractors and volunteers
- all business activities performed by or on behalf of New Zealand Police
- all information and records relating to those business activities regardless of format
- all systems that hold records and information.

Regulatory framework

The key legislation shaping Police information and records management provides a framework for the creation, maintenance and disposal of Police records, the majority of which centre on criminal law and case management:

- Bail Act 2000
- Crimes Act 1961
- Criminal Procedure Act 2011
- Evidence Act 2006
- Independent Police Conduct Authority Act 1988
- Policing Act 2008
- Privacy Act 2020
- Public Records Act 2005
- Serious Fraud Office Act 1990.

Legislative environment

In common with other government agencies, New Zealand Police is subject to the requirements of other legislation including the:

- Contract and Commercial Law Act 2017
- Official Information Act 1982
- Privacy Act 2020
- Public Finance Act 1989.

Information and records management practices must comply with legislative requirements and mandatory standards, having due regard for best practice reflected in non-mandatory standards and arising out of other sources.

Related documents

- Business Unit information and records management procedures: PNHQ and RNZPC
- Collection of personal information
- Information Security
- Photographing and Videoing Members of the public
- Policy permitting destruction of certain paper-based offence records
- Policy and guidelines for the storage of physical files
- Privacy breach management
- Retention and disposal of Police records

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Responsibilities

At Police, **everyone is an information steward.** This means that we act with Police's Information Principles in mind, using our information management knowledge, skills and practices to ensure Police meets its responsibilities and legal obligations and maintains the trust and confidence of the New Zealand public.

For Police staff to be good information stewards means:

- recognising your responsibility to manage information appropriately through its lifecycle
- creating full and accurate records
- ensuring information is available to those who may need it but safeguarding it when appropriate
- storing information in core business systems so it can be found, managed, shared and reused easily and efficiently.

At Police there are different levels of accountability and responsibility when it comes to managing information through its lifecycle. This means there are different requirements of staff, depending on the nature of their role and the level they sit at within our organisational structure.

Our responsibilities as information stewards are aligned to Police's High Performance Framework and explained in detail below - *see* Information Stewardship.

There are also some specific roles within Police that hold specific **Information Management** responsibilities in this Policy:

Role	Responsibility
Commissioner	Accountable for ensuring compliance with the requirements of the Public Records Act 2005, including the requirements of any mandatory standard issued under that Act.
Executive Sponsor for Information and Records Management **(Deputy Chief Executive: Corporate Operations)** The role of **Executive Sponsor for the oversight of information and records management across Police** is mandated by Archives New Zealand and designated by the Commissioner.	Has strategic responsibility for overseeing information and records management at Police: - Champions importance of information and records management at Executive and senior leadership levels. - Ensures information and records management is aligned with Police strategic objectives, and is integrated into work processes, systems and services. - Ensures the resources needed to support information and records management are known and sought in funding decisions. - Ensures staff with appropriate skills are available to implement information and records management strategies.
Chief Information Officer	Supports the Executive Sponsor by: - Monitoring and reviewing information and records management to ensure it is implemented and is meeting business needs. - Overseeing development and implementation of information and records management strategy and policy. - Overseeing resourcing, capability and monitoring in relation to information and records management.
Chief Information Security Officer (CISO)	- Establish security and personal information policies, processes and standards that reflect responsibilities in the lifecycle of information and records management. - Involve all districts, service centres and PNHQ in reporting, evaluating and understanding performance in managing security and privacy risks relating to information and records.

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Chief Privacy Officer (CPO)	- Establish personal information policies, processes and standards that reflect responsibilities in the lifecycle of information and records management. - Provide guidance that demonstrates the connections between the privacy of information and records. - Involve all districts, service centres and PNHQ in the reporting, evaluating and understanding performance in managing privacy risks relating to information and records.
Manager Information Capability	Supports the Chief Information Officer by: - Developing information and records management policies. - Ensuring all employees are aware of this chapter and know their information and records management responsibilities. - Ensuring appropriate training on information and records management is available for all staff. - Promoting improvements in the lifecycle management of information and records. - Implementing audit and monitoring processes for regular assessment of performance against this chapter.
Regional Manager Southern, Service Group	- Collaborates with the Manager Information Capability to ensure information and records management is implemented in the context of case management and the operation of Police's case management model.
PNHQ Physical File Management Staff and District File Management Staff	- Provide records management advice to staff in PNHQ and Districts, and process requests for Police physical records and archives. - Manage PNHQ physical records / district records within the Station, for off-site storage and disposal in accordance with the Police Retention and Disposal Schedule.
Information Asset Custodian	- Responsible for managing the day-to-day operations of an information asset or set of assets. This role decides who gets access and how it is used. - This role relates to the use and maintenance of Police's Information Asset Register.
Information Asset Owner	- Accountable and responsible for an information asset or set of assets. - This role relates to the use and maintenance of Police's Information Asset Register.

Information Stewardship

The four levels of Information Stewardship are aligned to the five levels of the Police High Performance Framework (PHPF).

At an Individual level **we are all Information Stewards,** and as staff progress up our organisational structure, they also become Practitioners and Champions of Information Stewardship. Our Executive and Executive Sponsor for Information and Records Management oversee Information Stewardship.

Police High Performance Framework Levels

	INDIVIDUAL CONTRIBUTOR	TEAM LEADER / MANAGER LEADER / MANAGER	STRATEGIC LEADER	POLICE EXECUTIVE

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Information Stewardship Roles

	Individual	Practitioner	Champion	Executive
Information management	Able to manage information through its lifecycle in accordance with Police's Information Management Policy and procedures.	Supports staff to manage information through its lifecycle in accordance with Police's Information Management Policy and procedures.	Enables staff to manage information through its lifecycle in accordance with Police's Information Management Policy and procedures. Promote ways to improve information management in supporting organisation-wide strategies.	Promotes Police's Enterprise Information Management (EIM) Strategic Plan and Information Management Policy.
Information value	Aware of the importance of reliable & quality information for good decision-making & business outcomes.	Understands the importance of reliable & quality information for good decision-making & business outcomes.	Able to explain the importance of reliable & quality information for good decision-making & business outcomes.	Promotes the strategic importance of reliable & quality information for good decision-making & business outcomes.
Legislation and regulation	Understands the legislative & regulatory frameworks that govern information, how to apply them & follows relevant procedures.	Able to interpret the legislative & regulatory frameworks that govern information in own business area and implement relevant procedures.	Ensures the legislative & regulatory frameworks that govern information are implemented consistently across business area/s.	Understands the legislative & regulatory frameworks that govern information and visibly champions adherence to these.
Information management best practice	Aware of standards that aim to improve information management practices. Assist others to follow appropriate information management best practice.	Understands the standards that aim to improve information management practices. Able to develop business processes that support information management best practice in own business area.	Understands information management responsibilities, principles and processes. Advocates for a culture of information management best practice.	Understands the strategic importance of information management best practice in supporting continuous improvement. Champions & promotes an organisational culture that values information management best practice.
Information risk management	Is aware of risks to information throughout its lifecycle & follows procedures to manage these.	Understands the role of information management to mitigate risk and ensure business continuity.	Ensures information risk management is embedded in business processes and procedures.	Understands the implications of new tools & technologies, as well as industry changes, & demonstrates clear leadership to ensure information has continuing availability throughout its lifecycle.

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Information asset management	Is aware that information is an organisational asset & that good business outcomes rely on maintaining authenticity, reliability, discoverability, accessibility & usability as long as needed.	Understands that information is an organisational asset & that good business outcomes rely on maintaining authenticity, reliability, discoverability, accessibility & usability as long as needed.	Understands the value of information as an organisational asset that needs to be managed throughout its lifecycle. Understands that information may have value beyond the life of the system in which it is created or beyond its original purpose.	Understands the value of information as an organisational asset that needs to be managed according to its value, supported with appropriate investment & resources. Understands the need to communicate & promote the value of information assets.
Metadata management	Is aware of the role & benefits of metadata to ensure information is discoverable. Understands that metadata in business systems, such as audit trails, demonstrates authenticity & integrity	Understands the fundamental role of metadata in information management & what metadata requirements apply to the organisation. Is able to apply Police's Metadata Scheme in own business area.	Able to explain the role of metadata to ensure the integrity & availability of information. Understands how metadata enables interoperability.	Understands the benefits of having adequate metadata and maintaining Police's Metadata Scheme. Is able to strategically support a managed metadata environment that enables interoperability.
Value identification, Retention and disposal	Is aware that all information in all locations & formats is subject to Police's Retention & Disposal Schedule (DA648).	Understands that all information in all locations & formats is subject to Police's Retention & Disposal Schedule (DA648).	Able to explain the role of Police's Retention & Disposal Schedule (DA648) in managing information through its lifecycle.	Understands the risk & cost of holding information longer than required, is aware of the benefits of disposal.
Tools and technologies	Can confidently use Police's tools & technologies to manage information through its lifecycle. Can support others in the organisation to do the same.	Can look at ways for Police's tools and technologies to improve information management and better support business processes.	Actively includes information management as part of requirements when developing new or improving existing systems, solutions & applications.	Understands enterprise information requirements for tools & technologies and is able to drive the development of improved information capability across the organisation.
Information specialist roles	Knows about the Information Management Team & seeks advice from this specialist group as needed.	Can look at ways for Police's tools and technologies to improve information management and better support business processes.	Knows about the Information Management Team & seeks input when developing new or improving existing business processes and systems.	Ensures appropriate information specialist advice and/or representation is sought and provided to decision-making bodies.

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Information and records management systems

Police stores information in a variety of systems and applications.

Any systems used to transact Police business, which contain repositories that store information, records and data, are considered Police information management systems. These include both operational and corporate systems.

Operational systems are used for front-line Policing activities and other tasks that support them. An example is our operational system for case management, the National Intelligence Application. It is used to manage records of offences, incidents, locations, people and vehicles. It provides workflow support for cases from collection of the initial case details through to case closure. Other key operational systems also incorporate information and records management aspects such as those for response and deployment, major investigations, criminal intelligence, infringement processing, non-urgent crime reporting, emergency management, forensic photography, and mobility applications.

Corporate information systems support Police non-operational activities at PNHQ, the Royal New Zealand Police College and Police Districts/Areas/Stations. They include a range of applications and systems, which are continually evolving. They include the network drives, M365 applications, workflow tools, knowledge bases and any other system used to store information. They include various information repositories for on-line training, Police Instructions, general information. and our information systems that centre on human resources and financial management.

Systems that store Police information should:

- Routinely capture information and records
- Meet the minimum requirements for the creation and management of metadata in accordance with the Archives New Zealand information and records management standard and the Police metadata scheme
- Be enabled for search and discovery
- Have controls in place to prevent unauthorised access, use and disposal of information.
- Create audit logs showing information history including versioning, access, use, and destruction
- Manage and store information and records for as long as required
- Classify information and records in accordance with the Police Disposal Authority or Archives New Zealand's General Disposal Authorities, from the point of creation
- Be enabled for manual or automated routine disposal of information and records

This policy recognises that some systems that hold information at Police are connected in complex ways. The above requirements apply to all systems that hold information, but some individual systems may meet these requirements by demonstrating that information they hold is managed and controlled in other systems.

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