



5 December 2019

Chris Johnston

By email: fyi-request-11558-f977706d@requests.fyi.org.nz

Dear Chris

Official information request for information on the University's compliance with the OIA & Public Records Act

I refer to your requests for information under the Official Information Act 1982 (the Act) dated 30 October 2019.

Each of your requests, and the University's response, is set out below.

*"...please provide records for:
OIA*

- *The business processes and training materials for servicing OIA Requests*
- *Any Audits (internal or external) that relate to OIA compliance*
- *The latest reporting (e.g. KPIs or Dashboard) that quantifies OIA compliance*
- *Ombudsman's decisions about OIA requests declined by VUW"*

Staff members responsible for managing the University's OIA request processes sit within the University's Legal Services team. The University's usual process for OIA requests is attached along with screenshots of information from the University intranet. Staff servicing OIA requests also use the guidelines and other resources available on the Ombudsman's website <https://www.ombudsman.parliament.nz/>.

The University has not been subject to any internal or external audits related to OIA compliance. However, the University conducts an annual legislative compliance survey, and the most recent result relating to the OIA is as follows.

Legislation	Instance of non-compliance	Corrective Action	Status
Official Information Act 1982	One complaint to the Office of the Ombudsman regarding Official Information Act compliance was upheld by the Ombudsman. One request was not answered within the 20-day timeframe.	The Ombudsman's investigation was discontinued following a response to the Ombudsman (with apology and acknowledgement of failure to meet the timeframe).	●

"Status" Key: ● = Resolved

A weekly report on OIA requests received is provided to the Senior Leadership Team. Attached is the most recent report. The names of those who have made OIA requests have been withheld under section 9(2)(a) of the Act.

Details of all Ombudsman complaints against the University since July 2016 can be found on the Ombudsman's website here: <http://www.ombudsman.parliament.nz/resources-and-publications/oia-complaints-data>.

“...please provide records for...

Public Records Act

- *The business processes and training materials for complying with the Public Records Act*
- *Any Audits (internal or external) that relate to Public Records Act compliance*
- *Any reporting or KPIs that detail what Retention and Disposal activities have occurred in the last period reported on.”*

The University's Information and Records Management (IRM) team works with key stakeholders to ensure that information and records are managed in accordance with our legislative and business requirements. Please find the IRM Booklet, Guidance Documents and screenshots from the University's intranet attached. The University's Records Management Policy is on our website here:

<https://www.wgtn.ac.nz/documents/policy/governance/records-management-policy.pdf>. The disposal of records is authorised by The New Zealand Universities General Disposal Authority DA337 on the Archives NZ website here: <https://www.archway.archives.govt.nz/ViewEntity.do?code=DA337>.

The University was audited in relation to its record keeping practices by Archives New Zealand in 2011. Attached is a copy of the Audit Findings Report and accompanying letter.

This University does not report on or have any key performance indicators related to the disposal of records.

Please also note the definition of “public record” in section 4(c)(ii) of the Public Records Act 2005 – “*public record...does not include...records created by the academic staff or students of a tertiary education institution, unless the records have become part of the records of that institution.*”

“...please provide records for...

Information Architecture

- *High level information architecture document for VUW that describes the main technologies, products and partners that are used - with the main focus on:*
 - *Record Search capability*
 - *Retention and Disposal capability”*

The University does not have a high level information architecture document that describes the main technologies, products, and partners used. Therefore, the information is refused under section 18(e) of the Act on the basis “*that the document alleged to contain the information requested does not exist*”.

The University uses over four hundred systems that store information. These range from student management systems and research management systems through to data storage platforms. All University emails are stored in Office365. Unstructured 'business' data¹ is mainly stored in EMC Isilon. However, more use is being made of Office365 SharePoint and Microsoft Teams. Unstructured research data² is also mainly stored in EMC Isilon, with some SharePoint sites used for collaboration.

The University uses Microsoft Office365 products for searches across Office365, this includes the likes of Outlook, SharePoint, Microsoft Teams etc. There is nothing in place to allow for searching across the unstructured data platforms apart from the standard inbuilt capability these systems have. All of our larger systems like those used by our Finance and Human Resources teams have inbuilt search capability.

The University uses the tools within Office365 in conjunction with Information Architecture principles laid down by the Information and Records Management team.

You have the right to seek an investigation and review by the Ombudsman of the University's decision to withhold certain information. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

If you wish to discuss this decision with us, please feel free to contact me at oiarequests@vuw.ac.nz.

Yours sincerely



Georgia Tawharu

Adviser, Information Access and Copyright

¹ Data stored in the University's networks. This includes word processing documents and presentations.

² Research data similar to unstructured business data.