



## 2.1 RECORDS MANAGEMENT POLICY

| Date Adopted | Next Review | Officer Responsible           |
|--------------|-------------|-------------------------------|
| 1 June 2018  | 1 June 2019 | Information Solutions Manager |

### Policy Purpose:

This policy establishes the framework within which the Archives of Rotorua Lakes Council will function.

Rotorua Lakes Council Archives is an in-house Archive, to preserve records of permanent value created by Rotorua Lakes Council, its predecessor organisations, associated bodies and individuals associated with the Council in accordance with the Public Records Act 2005

The Public Records Act 2005(PRA) replaced the Archives Act 1957 and the document and archives provisions in the Local Government Act 1974. PRA sets the framework for creating and managing information in government. Its purpose is to promote local government accountability through reliable recordkeeping, enhance public confidence in the integrity of local government records and protect New Zealand's documentary heritage.

### Policy:

#### Have a Records Section with the purpose:

To collect, store, arrange and preserve non-current records of permanent value created by the Rotorua Lakes Council, its predecessors and associated bodies in order to meet long term information needs and ensure that it meets its statutory obligations.

To provide the public and staff with access to, or information from, archival holdings.

To provide Rotorua Lakes Council with advice on information management, especially relating to retention and disposal of records.

To store non-current records created by the Rotorua Lakes Council in an orderly manner for temporary periods to meet the administrative needs and other statutory obligations of the Rotorua Lakes Council.

To develop a local resource of historical information based on the records of the Rotorua Lakes Council and associated bodies.

#### Scope and Nature of Archival Requirements

This section of the policy document is to define the scope, and state the policy considerations for each of the following archival activities.

i) Acquisition

- a) The Records section will acquire records created and used by Rotorua Lakes Council or related organisations at the end of the records current life for long term retention.
- b) The records will be stored as per the storage standards and guidelines mentioned in the Public Records Act 2005.
- c) The Rotorua Lakes Council archives will not actively acquire community archives except in extraordinary circumstances and only on an interim basis, this area of responsibility being the province of the Rotorua Museum of Art & History and Rotorua Public Library in accordance with their collecting policies.
- d) Records should be transferred to the Records section in accordance with instructions issued by the Archivist.
- e) Accessioned material, by agreement with the appropriate Council Officer, becomes the property of the Records section to be administered within the terms of this policy.
- f) In the circumstances where records deemed of archival value are scarce, jeopardised by inadequate storage conditions, and/or access is hindered by their location, the Records section may, with management approval, initiate their transfer into its custody.

ii) Appraisal

- a) The Records Section will appraise records according to accepted archival principles of province, evidential and informational value and in accordance with the Council's retention schedules, the Public Records Act and the Local Government Schedule.

iii) Disposal

- a) Records will be disposed of where they are deemed to have no administrative value (decided in conjunction with Council staff) and no archival value as defined in Public Records Act and the Local Government Schedule.
- b) The disposal of records must comply with the Purposes of the Records section.
- c) No officer or staff member shall alienate, relinquish control over, destroy or dispose of records of the organisation without proper authorisation from the Archivist.
- d) Permission must be obtained by the Records section in the form of a formal disposal agreement signed by the appropriate department head before any record may be destroyed.
- e) Retention and disposal schedules will be compiled by the Records section in consultation with the appropriate department heads to facilitate the orderly disposition of non-current Rotorua Lakes Council records.
- f) Retention and disposal schedules will be aligned with the ALGIM toolkit .
- g) The Records section will be responsible for the physical destruction of all records approved for destruction.

iv) Arrangement and Description

- a) All records brought into the Records section shall be arranged and described according to accepted archival principles to the extent necessary to make them available for administrative use and as a local historical resource.
- b) All digital records shall be digitised in accordance with the Electronic Transactions Act 2002.

v) Preservation

The Rotorua Lakes Council will endeavour to provide and maintain the proper facilities, environment and resources necessary to protect records deemed to be archives.

vi) Access

- a) Access to the Rotorua Lakes Council archives by the general public and Rotorua Lakes Council staff will be provided as required by the Public Records Act 2005 and the Local Government Official Information and Meetings Act 1987.
- b) Where a record is considered confidential, written notice must be served to the Records section stating the reasons to access the information.
- c) Restricted access is subject to clause (v)(a) of the Local Government Official Information and Meetings Act 1987 and may be waived if non-compliant with requirements of that clause.
- d) Requests made under the Local Government Official Information and Meetings Act 1987 must comply with approved Council procedures.
- e) A research fee may be charged subject to clause (v)(a) of the Local Government Official Information and Meetings Act 1987
- f) The opening hours of the Council Archives is from 8am to 5pm and the request to access information can be made by email (info@rotorualc.nz) or phone 073484199 and ask for Records section.

vii) Promotion and Education

- a) The Rotorua Lakes Council Archives will continue to promote its aims and objectives among Council staff and the general public.
- b) Public use of the Rotorua Lakes Council archives as a local historical resource will be actively encouraged.

Disputes Procedure

Any dispute arising from issues relating to access, acquisition and disposal of records should be referred first to the Records department, then if the dispute is still unresolved to the Chief Financial Officer and finally the Chief Executive.

Definitions of terms used

Access – The granting of permission to:

1. Use the reference facilities of the Rotorua Lakes Council Archives such as finding aids and staff.
2. Examine and study individual records or collections held by the Records section.
3. Extract information from archives and records for use in publications.

Appraisal - the process determining which records are to be retained as archives and which will be destroyed.

Records section - that part of the Rotorua Lakes Council responsible for collecting and storing non-current and archival records of the Council, its predecessors and associated bodies.

Archives - All records no longer required for current administrative use which have been adjudged worthy or permanent preservation because of their potential reference and research value to the general public and the Rotorua Lakes Council.

Archivist - A person professionally responsible for the administration or management of archives.

De-accession - the process of removing material from the care and custody of an archives collection either because the material has been re-appraised and found unsuitable for the archives collection, or because it has been agreed to transfer it to another repository.

Disposal - the final decision concerning the fate of the records, ie destruction or transfer to archives.

Intermediate Storage - Storage of non-current records pending their final disposal or transfer to the Records section.

Non-Current records - Those records required so infrequently in the conduct of current business that they can be transferred from offices to an off-site storage area.

Records - All papers, documents or records of any kind whatsoever officially made or received by the Rotorua Lakes Council in the conduct of its affairs or by an officer of the Rotorua Lakes Council in the course of his/her official duties and without limiting the generality of the forgoing provision of this definition, includes files, registers, minute books, maps, drawings, plans, photographs, electronic data, and sound or video recordings.

Retention and Disposal Schedules - a systematic list of records created by an organisation which plans the life of those records from the time of their creation to their disposal.