Christchurch City Council

Records Management Policy

Policy owner:	General Manager Corporate Services
Approved by:	Executive Leadership Team
Date approved:	11 December 2017
Date last reviewed:	6 June 2019
Date or parameters for review:	Change in legislation or 12 months from last review
Applies to:	All employees, contractors, volunteers, agency staff, consultants.
Contact details for further information:	Team Leader Information & Records Management
Location and availability:	TRIM://17/991692[v2] The Hub - Internal Policies

Contents

1. SECTION 1 – INTRODUCTION

1.1 Introduction	As a local government organisation Christchurch City Council is subject to the requirements of the Public Records Act 2005, so adherence to this policy by all Council staff and functions is mandatory. Any new service or business process involving the creation, receipt and processing of records must comply with this policy and associated procedures. However, across the organisation the Council is experiencing varying maturity levels in regards to recordkeeping capability. Reviews of recordkeeping practices have identified the following main issues: • Council records are not consistently saved in the Council's records management system (TRIM). • Poor naming of TRIM documents makes searching for information difficult. • Information is often stored on individual PCs, flash drives, email inboxes, etc., which makes it inaccessible to others and in turn poses a risk to the Council. • Hard-copy records are not returned to their original storage location when no longer required. These issues lead to less than ideal decision-making based on incomplete information and difficulties discovering the correct information when responding to information requests (e.g. LGOIMA requests). Therefore, building understanding across all parts of the organisation that keeping of records is both a vital asset to the Council and a government mandate is crucial. This policy provides a framework for a consistent approach to managing records, both current and archival, across all Council functions.
1.2 Context	As a significant part of Christchurch City Council's corporate memory, records enable informed decisions based on precedents and organisational experience. Records management principles support consistency, efficiency and productivity in service delivery, management and administration.

2. SECTION 2 – POLICY STATEMENT

Policy
Christchurch City Council is committed to the creation and maintenance of full and accurate records supporting its business activities, and to the provision of timely and comprehensive information to meet operational business needs, statutory and accountability requirements, and community expectations. The policy's objectives are to improve the quality of decision-making, and organisational efficiency and productivity through: • Better access to information through a consistent approach to organising records

- Transparency and accountability in actions and decision-making
- Improved recordkeeping that meets statutory requirements
- Management of the security and access control around sensitive records
- Ensuring the recovery of vital records as part of disaster planning
- Managing the retention, destruction and archiving of records

3. SECTION 3 – APPLICATION

Application

Records Ownership

All records created or received by Christchurch City Council staff (including permanent, temporary, contract, and volunteer) in the course of their duties on behalf of the Council are owned by the Council and subject to its control – unless otherwise superseded by another Christchurch City Council policy or agreement or as may be provided for in the Public Records Act 2005, or other future legislation.

External consultants and service providers creating and processing information on behalf of the Council must adhere to the Council's records management policy and associated procedures. Records management requirements must be written into all contracts where applicable.

Recordkeeping Principles

All practices concerning recordkeeping within Christchurch City Council are to be in accordance with the following principles.

All records must be:

- **Compliant** with the recordkeeping requirements arising from the regulatory and accountability environment in which the Christchurch City Council operates.

- **Adequate** for the purpose for which they are kept.

- **Full and Accurate** – to correctly reflect the transactions that they document.

  Records must be full and accurate to the extent necessary to:

  – facilitate action by Christchurch City Council employees, at any level, and by their successors;

  – make possible a proper investigation of the conduct of business by anyone authorised to undertake such scrutiny, and

  – protect the financial, legal and other rights of the Christchurch City Council and any others affected by its action and decisions.

  Records must be accurately and securely captured in the Christchurch City Council's records management system when generated or received.

- **Meaningful** – containing metadata, information and/or linkages that ensure the business context in which the record was created and used is apparent.

  Records must be classified according to the approved Business Classification Scheme.

  Metadata will be assigned and remain linked to records and aggregations of records.

Metadata for disposal of records will be generated or captured, by the EDRMS and/or the Information & Records Management Team and managed systematically for as long as required to account for the disposal.

- **Authentic** – enabling proof that they are what they purport to be and that their purported authors did indeed create them through the use of appropriate metadata.

- **Inviolate** – securely maintained to prevent unauthorised access, alteration or removal.

    Access to records must be controlled to ensure compliance with legislation and the Christchurch City Council's Records Management procedures.

    A security classification must be applied to Council records to provide a level of protection based on their content and context.

    Records must be stored in a manner that ensures that they are accessible to authorised staff but protected from theft, misuse, modification, damage and loss; and accessible over time.

- **Accessible** within the provisions of the Public Records Act 2005, the Local Government Official Information and Meetings Act 1987 and the Privacy Act 1993.

- **Retained** for the time allocated in the Retention and Disposal Schedule (and any relevant legislation) and only disposed of with approval from an authorised person.

    Inactive records will be moved to appropriate offsite storage and managed in accordance with the Offsite Storage procedures. If necessary, inactive electronic records may be stored in second or third-tier storage in order to avoid affecting the speed and availability of the recordkeeping system.

    Vital records will be identified and managed in a secure and protected way.

    The retention and disposal of records must be undertaken in accordance with Christchurch City Council's approved Retention and Disposal Schedule and any variations of this that have been approved by Archives New Zealand for use by Christchurch City Council.

    In accordance with the provision of the Retention and Disposal Schedule certain classes of records will automatically be appraised for historical or legacy value by the Christchurch City Council Archivist / Senior Information & Records Management Officer at time of sentencing. The custody of these records will pass to Christchurch City Council's Archives at this time. Electronic records in the Electronic Document and Records Management System (EDRMS) will be appraised automatically in accordance with the Retention and Disposal Schedule based on rules and reports run within the EDRMS.

Responsibilities

Chief Executive	- ensuring that records management practices at Christchurch City Council meet legislative requirements and add value to the business operations of the Council; - authorising the Records Management policy.
General Manager Corporate Services **(under the delegation of the Chief Executive)**	- establishing the Records Management framework of policies, procedures and standards; - supporting the implementation of the records management framework throughout the Council;

	• measuring the performance of the organisation against these procedures.
Information & Records Management Team	• developing and maintaining recordkeeping strategies, policies, plans and procedures on behalf of the General Manager Corporate Services; • managing records and recordkeeping within CCC consistent with the standards described in this policy; • authorising the disposal of records; • providing recordkeeping best practice and standards; • defining classification regimes and taxonomies; • identifying training needs; • providing support to business units; • managing the common and sharable points of access to records; • monitoring staff compliance with the policy and associated procedures; • reporting results of compliance reviews to the Executive Leadership team.
Managers / Team Leaders	• ensuring that their staff comply with the records management procedures; • assigning responsibilities for records management within their teams/departments; • ensuring all new staff receive recordkeeping training; • communicating changes to policies and practices and ensuring awareness amongst their teams.
All Staff	• creating records to support their business activities including documenting meetings, telephone calls and other oral decisions and commitments and ensuring content is appropriate; • registering these records, regardless of their format (this includes email), into the organisation-wide electronic recordkeeping system; • preventing unauthorised access to records; • ensuring no record is destroyed or removed unless in accordance with the retention and disposal schedule; • ensuring records are stored in a manner that is accessible to others and supports the knowledge sharing culture of Christchurch City Council; • ensuring that all records are appropriately reassigned to other staff during periods of absence from work and upon leaving Council employment.

4. SECTION 4 – DEFINITIONS

Term	Definition
Archives	The documents created or received and retained by a person or organisation in the course of the conduct of affairs and preserved because of their continuing (or permanent) value or significance. The building or part of a building where archival materials are located.

	The agency or programme responsible for selecting, acquiring, preserving and making available archival materials.
Business Classification Scheme	The conceptual, hierarchical representation of the functions and activities performed by an organisation. A Business Classification Scheme is usually a taxonomy derived from the analysis of business activity. It is a tool used for linking records to the context of their creation.
IRM Team	Information & Records Management Team (IRM@ccc.govt.nz)
EDRMS	Electronic Document and Records Management System. Christchurch City Council's EDRMS is referred to as TRIM.
Metadata (for records)	Recordkeeping metadata enables the creation, management and use of records through time. It can be used to identify, authenticate and contextualise records and the people, processes and systems that create, manage and use them.
Record	Information, whether in its original form or otherwise, including (without limitation) a document, a signature, a seal, text, images, sound, speech, or data compiled, recorded, or stored, as the case may be,— (a) in written form on 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, computer, or other electronic device or process (Public Records Act 2005 (s4)).
Recordkeeping	The creation and maintenance of complete, accurate and reliable evidence of business transactions in the form of recorded information. Recordkeeping includes: • the creation of records in the course of business activity and the means to ensure the creation of adequate records; • the design, establishment and operation of recordkeeping systems, including the definition of metadata; and • the management of records used in business (traditionally regarded as the domain of records management) and as archives (traditionally regarded as the domain of archives administration).
Records Management	Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
Retention and Disposal Schedule	A systematic listing of records created by an organisation which plans the life of these records from the time of their creation to their disposal. A schedule is a continuing authority for implementing decisions on the value of records specified in the schedule.
Sentencing	Sentencing is the process of matching Council records to a specific class of the Retention and Disposal schedule. This helps determine their value and how they should be managed throughout their lifecycle.
Transaction	The smallest unit of a work process consisting of an exchange between two or more participants or systems.

Vital Records	Records that are essential for the ongoing business of the Council and without which the Council could not continue to function effectively.

5. SECTION 5 – REFERENCES AND RELATED DOCUMENTS

Document	Link
CCC Records Management Procedures	http://intranet.ccc.govt.nz/Teams/CorporateServices/IT/InformationRecordsManagement/SitePages/Home.aspx
Privacy of Employee Personal Information Policy	TRIM://17/1426157
Contract and Commercial Law (Electronic Transactions) Regulations 2017	http://www.legislation.govt.nz/regulation/public/2017/0216/latest/DLM7393940.html?src=qs
Local Government Official Information and Meetings Act 1987	http://intranet.ccc.govt.nz/kb/Pages/lgoima.aspx
Privacy Act 2020	http://www.legislation.govt.nz/act/public/2020/0031/latest/LMS23223.html
Public Records Act 2005	http://www.legislation.govt.nz/act/public/2005/0040/latest/DLM345529.html?search=ts_act%40bill%40regulation%40deemedreg_public+records+act_resel_25_a&p=1

6. SECTION 6 – DEVIATION FROM POLICY

Once this policy has been implemented, any deviations from this policy can only be made with the approval of the Policy Owner. Failure to comply with the requirements of this policy may be considered a breach of your contract or employment agreement.

The Policy Owner, your Manager or your HR Business Partner can provide advice regarding this policy.