

RECORDS MANAGEMENT MANAGEMENT POLICY

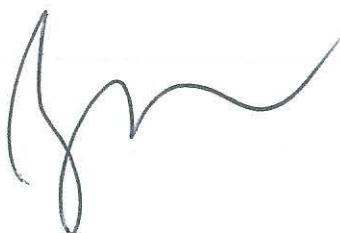
Under the Public Records Act 2005, Hamilton City Council (HCC) is responsible for creating, maintaining and making accessible full and accurate records of its activities, and providing for the preservation of, and public access to, records of long-term value. This policy supports those recordkeeping functions by outlining the purpose and principles for managing its archival records.

1. CONTENTS

1. Contents
2. Purpose
3. Scope
4. Principles
5. Policy
6. Monitoring and Implementation
7. References
8. Standards

REVISION HISTORY

Revision #	Policy Sponsor	Approval Date and date of next scheduled review	Approved By	# TRIM Reference	Related Standards
1	GM Organisational Development	<u>Approval</u> December 2014 <u>Review Date</u> December 2017	Chief Executive	D-1626408	Records Management



2. PURPOSE

This policy defines the role and functions of Records Management (RM) at Hamilton City Council. It establishes the principles of Records Management, and the responsibilities of Hamilton City Council and its officers in relation to records. This Policy is in place to ensure:

- Council's vision of being a smart city in every way and in every thing we do is realised through the efficient management and provision of information
- Council records are managed appropriately, and are created, collected, saved, stored and disposed of in the correct format and location
- Council's statutory obligations are met

All information¹ collected and generated by Hamilton City Council:

- is regarded as public information unless exemption is sought under relevant legislation.
- will be created, collected, disposed of and managed in line with legislative requirements and standards
- will be provided upon request to the public or any other third party subject to provisions in the Local Government Official Information and Meetings Act 1987, The Privacy Act 1993 and any other relevant legislation or contract that Hamilton City Council is subject to.
- will be saved into the EDRMS or the approved designated application
- is subject to the Archive Guidelines

3. SCOPE

This Policy applies to all information regardless of format or media type that, in the process of carrying out its business has been either generated or received by Hamilton City Council. Information created and stored in an electronic format is subject to the same rules that apply to information that is created and distributed in more traditional formats, such as paper. This policy is to be followed in conjunction with all the standards as defined by Archives NZ and the Public Records Act 2005.

The policy covers all HCC records both current, and of archival value, along with those records that HCC is required by statute to retain. It applies to all HCC officers, in particular those who create, maintain, use and make disposal decisions about records in any format or medium. For the purposes of this policy current records are defined as records which are still active and required to be retained in order to meet our operational needs and/or to comply with legislation.

¹ Information is "any intelligence which can be communicated in either graphic form or by alpha-numeric characters"

All current records are subject to this policy and should be managed as stated herein, and in accordance with the SmartRecords information and guidelines administered by the Records Manager. All archived records are subject to this policy and should be managed as stated herein, and in accordance with the Archive guidelines and procedures administered by the Archivist.

For the purposes of this policy Archival Records are defined as records which are not still active and not required to be retained in order to meet our operational needs; but that have continuing value following an appraisal carried out in accordance with accepted standards of provenance, evidential and informational value, and in accordance with the Public Records Act 2005 and the List of Protected Records for Local Authorities 2013.

4. PRINCIPLES

- 4.1 HCC information and records are a strategic resource.
- 4.2 Records management policies apply to information irrespective of format and storage media which has created a record.
- 4.3 All information is a corporate resource which is collected, generated and used by staff:
 - to support the business of Hamilton City Council
 - to provide evidence of its decisions and processes
 - in a responsible manner
- 4.4 All information collected and generated by Hamilton City Council:
 - is regarded as public information unless exemption is sought under relevant legislation
 - will be collected in line with legislative requirements
 - will be provided upon request to the public or any other third party subject to provisions in the Local Government Official Information and Meetings Act 1987, The Privacy Act 1993 and any other relevant legislation or contract that Hamilton City Council is subject to
 - will be saved into the EDRMS or the approved designated application
- 4.5 Treaty obligations and cultural awareness pertain to information and records managed by HCC.
- 4.6 Creation, collection, use, retention and disposal of information and records are subject to legal and business requirements.
- 4.7 Privacy and confidentiality of individuals and commercial interests will be protected.
- 4.8 Information is to be collected or created once into a prime authoritative data source, then used many times.
- 4.9 Information and records must be controlled, defined and have integrity so that they are fit for the purpose of their collection.

5. POLICY

Hamilton City Council is committed to:

- records management processes that meet business needs and enables Council to provide a high level of customer service.
- ensuring that statutory requirements for accountability and record keeping are met
- preserving critical information for future use.

6. MONITORING AND IMPLEMENTATION

The Chief Executive's Office will monitor the implementation of this policy.

The policy will be reviewed every three years or at the request of the Senior Leadership team or in response to changed legislative and statutory requirements or in response to any issues that may arise.

7. REFERENCES

External

- Public Records Act 2005
- Local Government Official Information and Meetings Act 1987
- List of Protected Records for Local Authorities 2013
- Privacy Act 1993
- Records Management Standard for the New Zealand Public Sector 2014

Internal

- Information Services Business Plan
- HCC Archives Guidelines
- Records standards
- HCC Conflict of Interest Policy

RECORDS MANAGEMENT MANAGEMENT POLICY - STANDARDS

1. CONTENTS

1. Contents
2. General records management
3. Create and collection
4. Access and security
5. Storage and retrieval
6. Archival

2. GENERAL RECORDS MANAGEMENT

All information in any media type that is either generated or received by Hamilton City Council which creates a record shall:

- be owned and managed by Hamilton City Council. (The exception being where external ownership /copyright applies)
- have a defined purpose
- not be, during the period of a staff members employment or any time thereafter, used or distributed for any purpose other than on behalf of Council
- be considered by a staff member as confidential information an shall not be used for any purpose other than to carry out the official responsibilities of their position
- Not be used for a staff member's personal gain, nor given to any other person for personal gain
- be readily accessible internally and able to be shared (unless exemption is sought under relevant legislation)
- be accurate and maintained with integrity over time
- be accurately and ethically represented in any use that is made of them
- be in the approved standard format
- be registered in the EDRMS and/or appropriate paper file system
- have appropriate metadata associated which meets the information type and quality standards for Council and the PRA 2005
- be managed within a defined retention and disposal process
- be subject to Local Government audit requirements
- be kept in a secure environment that will prevent loss, damage and/or corruption
- ensure all reasonable care is taken to protect the accuracy and integrity of all information and metadata including that which is sourced outside of council for the life of the document.

3. CREATION AND COLLECTION

All documents , in any media, that are created or received as a part of carrying out HCC business are subject to adhere to this and associated policies.

The Records Manager is responsible for maintaining the subject codes listing, allocating subject tiers, new folder creation and retention period for all master files.

The document creator is to determine the subject of a file, file location and apply the appropriate metadata.

Every created record is to be associated with at least one of the master files.

Hardcopy records that have been requested and are likely to be required in the future are to be scanned and saved in the appropriate container and in accordance with the digitalisation requirements for future use.

Once a document has been captured in the Records Management System all changes/updates to that document are to be managed through version control.

When a document has been marked completed it will not be able to be edited or deleted without the authority of the Records Manager.

All documents will be version controlled.

Containers (folders) are to be created by the Records Manager or delegated authority and assigned to the appropriate retention and disposal schedule item.

4. ACCESS AND SECURITY

All HCC staff will be able to view/request information, unless access to the information has been restricted for reasons of confidentiality, commercial sensitivity, or is related to individual personnel matters.

Where information is restricted the appropriate access will be provided. This provision is based on position requirements and appropriate authorisation.

Document deletion will be administered and controlled by the Records Administrator.

5. STORAGE AND RETRIEVAL

All Records will be stored in a secure manner and are readily and easily retrieved to support the work of the organization.

Strategic records will be identified, stored and managed appropriately, including records essential to the business continuity of HCC and/or to the continuing functioning of the city of Hamilton and environs in the event of an emergency. Strategic records will be attached to an appropriate file cover and will be stored under file index.

When a hard copy record is issued to staff the borrower must protect the record from any damage or loss. Should the record be given to another staff member it is the borrower's responsibility to ensure the location has been updated.

6. ARCHIVAL

The Hamilton City Council Archives is an in-house repository for the archival records of the Hamilton City Council.

The Archives are in place to ensure that the archival records of Hamilton City Council are identified, preserved, and made accessible to Council officers and the general public, as part of HCC's commitment to legal compliance, heritage values, and democratic process.

The Archivist is responsible for the Hamilton City Council Archives and in particular:

- Collecting, arranging and preserving non-current records of enduring value created or used by the HCC and related organisations. These activities contribute to the meeting of HCC's long-term information needs and statutory obligations in relation to records retention and public access.
- Providing HCC officers with advice on archival management, including retention and disposal of records
- Providing HCC officers and the general public with access to, or information from, archival holdings
- Maintaining the Archive Guidelines

Staff are responsible for :

- Ensuring that no HCC records are destroyed that are protected by the List of Protected records for Local Authorities 2013
- Consulting the Records Manager or the Archivist where there is uncertainty about no. 7.1. above
- Compliance with any advice or instructions given by the Archivist or other Libraries Heritage staff, when using archival records
- Abiding by the rules governing use of archival records, as displayed in the Archives reading room
- Taking personal responsibility for any archival records borrowed by them, ensuring such items are handled with care, are not damaged or altered in any way, and are returned to the Archives as soon as possible
- Obtaining approval from the Archivist before on-lending an archival record for HCC business (e.g. to the HCC's legal representatives)