

HUNTER'S HILL COUNCIL

POLICY REGISTER



POLICY NO.	CPIMT6
POLICY TITLE	State Archives Management Policy
STATUS	Council
SERVICE	Access to Information
DOCUMENT ID	670970

1. PURPOSE

The purpose of this policy is to:

- establish a framework that ensures the objectives that guide the identification, management and transfer of State archives are met now and, in the future
- ensure that all State archives are stored securely and protected through measures such as climate control, with the intention that the records are preserved and accessible forever.

2. SCOPE

This policy covers aspects of the management of State archives, including the identification of State archives in Council's records collection, management of State archives, planning for and transferring State archives when they are no longer required by Council for official purposes.

3. DEFINITIONS

Access Direction A direction made by a public office to open or close a series, group or class of records in the open access period to public access.

An open to public access (OPA) direction allows access to anyone. A closed to public access (CPA) direction closes the records for a specified period. A CPA direction does not affect other entitlements of access. Access directions are made according to guidelines issued by the Attorney General.

Public offices can also grant early access to records that are less than 20 years old.

Appraisal Appraisal for managing records is the recurrent process of evaluating business activities to determine which records need to be created and captured as well as how and how long the records need to be kept. It combines an understanding of business activities and their context with:

- the identification of business needs, regulatory requirements and societal expectations relating to records, and
- the assessment of opportunities and risks associated with the creation and management of records.

Council representative Councillors, contractors, consultants, volunteers, delegates of the Council and members of Council committees who represent or act on behalf of Hunters Hill Council.

Business Systems	Council's approved software systems which store, process and provide access to the organisation's business information. All approved systems are supported by policies, procedures and delegated authorities for accessing and processing information.
Destruction	Destruction is defined as the complete and irreversible physical erasure of a record which ensures that the record cannot be reconstituted or reconstructed. Destruction of records should be irreversible. This means that there is no reasonable risk of the information being recovered again or the record being reconstituted.
Disposal	Range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments. AS ISO 15489.1 2017 Part 1, Clause 3.8
Electronic Document and Records management System (EDRMS)	An automated software application designed to facilitate the creation, management, use, storage and disposal of a range of both physical and digital documents and records. Essentially it manages unstructured records and information. The EDRMS automates business processes such as workflows and approvals and be integrated with other business systems.
Records	Record means any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means. <i>State Records Act 1998, section 3</i> Information created, received, and maintained as evidence and as an asset by an organisation or person, in pursuit of legal obligations or in the transaction of business. <i>AS ISO 15489.1 2017 Part 1, Clause 3.15</i>
Records Management Program	A records management program encompasses the management framework, the people and the systems required within an organisation to manage full and accurate records over time. This includes the identification and protection of records with longer-term value that may be required as State archives.
State Archive	A state record that is appraised as having a continuing value to the Council and in which the Museums of History NSW has control of under the <i>State Records Act 1998</i> .
State Record	A State record is any record made or received by any person: <ul style="list-style-type: none"> • in the course of exercising official functions in a public office, or • for the purpose of a public office, or • for the use of a public office.

4. INTRODUCTION

The State Archives Management Policy is a crucial part of Council's Records Management Program.

A State archive is a state record that the Museums of History NSW has control of under the *State Records Act 1998* (The Act). State archives are records that have a continuing value, in accordance with State Records Regulation 2015, this includes records that have administrative, business, fiscal, legal, evidential or historic value to the Public office.

Deciding what records should be selected and retained as state archives is critical and a complex decision-making process. The significance of functions and activities, interests of stakeholders and resource implications must all be evaluated as part of the appraisal process to identify the best possible records to retain as State archives.

The functions, activities and records of Council are appraised in the whole of government context to identify records:

- which must be retained as evidence of the authority of government and the rights of individuals,
- which provide an adequate record of the significant decisions and actions of government and impact their implementation, and
- which add the maximum possible value to the State archives as a cultural resource.

State archives are also identified and selected using authorised disposal authorities, for Council it is the General Retention and Disposal Authority: Local Government Records, Authority Number GA39 (GA39).

5. ROLES AND RESPONSIBILITIES

Records retention and disposal is a process undertaken exclusively under delegated authority and forms a fundamental part of Council's Records Management Program.

POSITION	RESPONSIBILITY
General Manager	The General Manager has overall accountability for the Council archives. The General Manager is accountable for ensuring that Council complies with legislation and standards that affect the archives.
Manager Digital and Customer Information	The Manager Digital and Customer Information is responsible for the management of the State archives, including authorisation for access directions on records, transfer of State archives and any distributed management agreements for retaining archives within the Council.
Records Manager and Records Coordinator	The Records Manager and Records Coordinator are responsible for the day to day operations of the archives function, including the care, control and preservation of State records and provision of access to records.
All Council Representatives	All Council Representatives are required to comply with the provisions of this policy.

6. COUNCIL MANAGED STATE ARCHIVES

Council creates and manages a number of records that are identified as State archives. This includes, but is not limited to:

- confirmed minutes, agendas and reports of all Council meetings
- rate books and other registers
- records created before 1980
- subject files relating to Council's purpose and operations
- records relating to approved, refused and lapsed applications for development works on land, buildings or sites that set a precedent or are significant or are heritage listed
- legal documents relating to titles to property, contracts, patents, leases
- architectural maps or plans relating to Council buildings and properties
- artwork.

Council's archives collection consists of State archives and inactive records. Inactive records are transferred to an archive pending appraisal action. State archives are retained until they are no longer required for official purposes, and then arranged for transfer to the Museums of History NSW for inclusion in the State Archives Collection.

Council currently have multiple archive locations. They are:

- Government Records Repository, Kingswood
- Grace Fine Art, Seven Hills
- CA Fairland Hall, Hunters Hill
- Hunter's Hill Council Depot, Hunters Hill

7. COMPLIANCE REQUIREMENTS

Council has an obligation to protect records under the *State Records Act 1998*, this includes responsibility to:

- ensure the safe custody and proper preservation of the state records that it has control of
- ensure that records that are required to be retained as part of the state archives must be properly protected while they remain in Council's custody
- develop State archive transfer plans
- contact Museums of History NSW to discuss transfer options for their permanent preservation
- ensure public access to state records after 20 years (unless a CPA is in place).

All state records must be stored in accordance with the compliance requirements of Standard on the Physical Storage of State Records (standard 13). Storage conditions include:

- location and building construction
- environmental controls
- shelving and packaging
- maintenance
- identification and control
- security.

Physical records deemed as a state archives that cannot be digitised and disposed of, and cannot yet be transferred to Museums of History NSW should be stored in GRR (or equivalent) to ensure adequate storage conditions.

8. DISPOSAL OF STATE ARCHIVES

Records identified as state archives need to be maintained and preserved for the benefit and use of future generations. State archives include both paper and digital form and include the following Council records:

- Council records pre-dating 1920 and are not included within the GA39 formal disposal authority.
- Council records post-dating 1920 which are included within the GA39 formal disposal authority and that are identified to be retained as State archives.

Any paper records identified in the GA39 as state archives from 1980 onwards, that are captured into Council's information management system can be legally disposed of in accordance with the General Retention and Disposal Authority GA45 for original or source records that have been copied.

Paper records created or received prior to 1 January 1980 that are identified in the GA39 as 'Required as State archives' cannot be destroyed, even if they have been digitised.

State records required to be permanently retained as State archives that are only in digital form within an information management system can never be destroyed, these records when no longer required should be transferred to the Museums of History NSW for inclusion in the State Archives Collection.

9. TRANSFER TO MUSEUMS OF HISTORY NSW

Transfer is the process that results in records being taken into the custody of Museums of History NSW to become part of the State Archives Collection.

In accordance with section 32(4) of the Act Council must develop plans to transfer records required as State archives.

Benefits of transferring records to the custody of Museums of History NSW include:

- reduction in Council storage costs

- passes the risks and liabilities associated with managing and protecting records to Museums of History NSW
- passing the responsibility for managing public access to records under the Act to Museums of History NSW
- enabling Council to comply with section 29 of the Act
- ensuring state records are stored securely and protected through measures such as climate control; ensuring that the records are preserved and accessible forever.

All State archives held by Council, once appraised, will be transferred to the Museums of History NSW when it is no longer required for official purposes. If the State archive is still required for official purposes it will be digitised (if practical), with an electronic copy retained in Council's custody and the physical record transferred.

The exception to this is State records that have a distributed management agreement in place. Distributed management of State archives is an alternative to the standard option of transferring records to the custody of the Museums of History NSW.

Under the distributed management model, State records still become State archives when control passes to the Museums of History NSW, however the records will remain in the custody of another party, such as Council storing and managing the State archives by agreement.

All transfers will be completed in accordance with the Museums of History NSW resources and guidelines. This process will be formally documented with a record of transfer kept by Council.

10. MONITORING, REPORTING AND EVALUATION

Council is required to ensure that compliance in the disposal of records is regularly assessed, reviewed and monitored. Regular monitoring and evaluation of compliance with the retention and disposal process and associated practices is undertaken by the Manager Digital and Customer Information.

Compliance is monitored by:

- ensuring that any amendments or new versions of disposal authorities are implemented
- reviewing appraisal analysis and decisions to determine they are approved and current
- checking to ensure records are retained or destroyed in accordance with authorised retention periods
- ensuring records are linked to correct disposal classes at capture in the EDRMS
- inspecting the documentation and evidence of records destroyed to determine that disposal actions are authorised and meet approved standards.

State Records NSW also monitor compliance, and have the authority to conduct an assessment of all recordkeeping processes and Council's Records Management Program.

11. RELATED POLICIES/PROCEDURES

- Hunter's Hill Council Records Management Policy and Program
- Hunter's Hill Council Code of Conduct
- Hunter's Hill Council Access to Information Policy
- Hunter's Hill Council Retention and Disposal Policy

12. POLICY AUTHORITY

Council.

13. GETTING HELP

For further information regarding this policy please contact Manager Digital and Customer Information.

14. REVIEW

This policy to be reviewed every two (2) years or in accordance with legislative changes.

15. ADOPTED BY COUNCIL/EXECUTIVE:

DATE: 23 October 2023
RESOLUTION NO: 218/23

16. VERSION CONTROL TABLE

DATE	VERSION	RES. NO.	KEY CHANGES	AUTHOR
07 November 2022	1.0	Executive	New Policy	Jade Reed, Manager Digital and Customer Information
23 October 2023	2.0	218/23	Amendments in accordance with legislative changes.	Jade Reed, Manager Digital and Customer Information