



Archives Management Policy

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1. Scope

The Council Archives Management Policy is a public statement of purpose and objectives of Council's Archive program.

The Policy covers all records created or held by Council that are required to be retained permanently by Council criteria or legislation including the Local Government Act (NSW) 1993, and the State Records Act (NSW) 1998. The policy applies to all Council records or archives, including those records that will become archival material following their cease in business use, regardless of format.

2. Purpose

Archives are unique records created during an organisation's daily business that have been selected for permanent retention due to their legal, evidential, and/or historic value. Well-managed archive repositories support accountability and transparency and are places of context and memory, providing evidence of heritage and identity

The Council Archives ("the Archives") comprises a unique and irreplaceable collection, encompassing business records dating back to the initial formation of the governing body, in 1861.

The Archives collects, arranges and describes, preserves and mediates access to historic Council records. The Archives also draws on the collection to explore, interpret and share the history of the Parramatta Local Government area.

This policy:

- Establishes the framework for the professional management of the Archives,
- Establishes custodianship of the Archives,

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- Formalises the methodologies of the Archives to ensure compliance with relevant legislation, standards and policies
- Ensures the permanent preservation of Council records held in the collection.

3. Policy

3.1 Management

The Archives will be managed by a professional archivist, with appropriate qualifications and professional-level Individual Membership of the Australian Society of Archivists.

The Archivist will be supported by voluntary staff, where appropriate.

The Archivist will sit within the Cultural, Heritage and Tourism Team, and report directly to the Research and Collections Service Co-ordinator. The Archivist will work closely with the Local Studies Library and Cultural Collections services, as well as the Business Information Services team.

The Archives will be provided with:

- a) Office space where administrative duties can be undertaken,
- b) An area where transferred material can be received and processed, and necessary archival supplies and tools may be stored,
- c) A shelving repository to house archival material (should meet legally-required storage standards),
- d) Access to an invigilated area for public research and displays.

3.2 Acquisition

The Archive will acquire records that have been created or received in the course of daily business by Council, its predecessor councils and areas assumed following boundary changes, which are deemed to have permanent value. Acquisition of archival records will be conducted in accordance with the relevant legislation and records disposal authorities/schedules, also observing the particular needs of Council and the local community. It is the responsibility of all Council staff to transfer records as directed by the Archive Program. The Archivist must be consulted prior to material being transferred to the Archives. Procedures for transfer of Council records are in place.

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Archive material will be assessed on transfer and material not satisfying the Archive's acquisition criteria will not be accessioned into the collection. Where material already in the collection is subsequently identified as not meeting the collection criteria it will be de-accessioned by the Archivist (following the appropriate processes). De-accessioned material will be disposed of in a manner the Archivist deems appropriate. Methods will include secure destruction, return transfer or sale. Where a sale is deemed necessary it will be conducted in consultation with Council management. Proceeds from the sale of such material will assist Council to continue preservation, conservation and management of the collection.

Archival estrays will, wherever possible, be acquired by the Archives and restored to their proper place in the collection. In the event that such material cannot be acquired by the Archives, reasonable efforts will be undertaken to obtain of copies.

3.3 Arrangement and Description

Material acquired for the Archives will be arranged and described according to professional archival processes, observing the core archive principles of original order and provenance.

Established procedures will be followed for processing accessions, persons, agencies, series and items.

Records that have not been accessioned and processed through arrangement and description will not be made available for use by researchers.

3.4 Preservation

The Archives shall comply with internationally-accepted requirements for safe custody of archival material. Archival material in the custody of the Archives will be protected against loss, damage or alteration while they are in storage, as well as during use for research/display.

Disaster management programs will be maintained to ensure that risks to the Archives are either resolved or managed appropriately. Disaster management will cover prevention, preparedness, response and recovery.

Fire detection and suppression systems, air conditioning systems, humidifying and dehumidifying systems, electrical systems and the general building and

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fabric of the Archives will be inspected and maintained on a regular basis. The storage areas will be cleaned and inspected on a regular basis and regular checks will be carried out for signs of mould or pest infestation.

Any records requiring specialist conservation will be identified and conservation work undertaken as necessary.

Only authorised staff will remove archives from the storage areas and archival material will only be accessed under the supervision of an Archives staff member or an authorised delegate. Guidelines outlining appropriate handling of archival will be in place for internal and external researchers who access records.

Archival material assessed by Archives staff to be suitable for physical display or exhibition will be subject to set conditions. Items will be displayed securely, safely and with appropriate environmental conditions. Permission will be obtained from State Records NSW before using the Archives in displays or exhibitions.

3.5 Appraisal and Disposal

Appraisal and disposal of Council records will be done in accordance with the General Disposal Authority for Local Government Records instrument (GA39) and, where necessary, any other disposal authorities deemed relevant by State Records NSW.

Council records may only be destroyed in observance with Council's *Records Management Policy*. Council staff must consult the Business Information Manager prior to destroying current or semi-current records that do not fall under Normal Administrative Practice. Council staff must consult the Archivist prior to destroying inactive records.

3.6 Access

The Archives will provide a reference service to Councillors, Council staff and members of the public, subject to the agreed conditions of access.

Archival material will be made available for research only under conditions that ensure its preservation and which comply with archival principles, legal and ethical obligations, preservation requirements, privacy considerations, copyright conditions and the availability of resources. Access may be restricted or withheld to protect confidential information.

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Records will not be removed from the Archives building for access purposes.

Access will be permitted only after a request is made to consult material and an agreement is made to follow conditions of access.

Where a duplicate record exists, whatever the format, the copy will be issued rather than the original.

Access to records that are damaged or fragile will be restricted by Archives staff. To further protect the physical condition and the security of records in the collection, all copying, retrieval and return of material will be carried out by Archives staff.

A general restriction to access by the public will apply to records less than 30 years old, unless there are circumstances which warrant a variation of this condition. Longer restrictions may apply with regard to records of a particularly sensitive nature. Access conditions and restrictions will be set by the Archivist in consultation with the creating agency and with consideration of the requirements of the law. Requests for sensitive, confidential or copyrighted official records will be referred to the Right to Information Officer for determination under the *Government Information (Public Access) Act 2009 (NSW)*. Requests for access will be met within the time period set down in the provisions of the Act and Council's Access to Information Policy.

Researchers wishing to publish, exhibit or reproduce any information from the Archives will state their reasons for doing so when applying for permission, and the Archives are entitled to deny requests as appropriate. Decisions regarding reproduction will be made dependent upon copyright restrictions, privacy considerations, security and physical condition of the record. Copying of records will be permitted at the discretion of the Archivist.

Access to the Archives is free to researchers who are able to visit and conduct their own research. Researchers will be given access to finding aids and instructions on how to use them, but must select their own records and do their own research. Researchers who are unable to visit the Archives may take advantage of the written enquiry service offered (15 minutes free research, six times per year, for external researchers).

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Staff and members of the public will be asked to provide identification prior to being given access to the Archives. Personal details provided will not be used for any other purpose than as security for the use of archival collections. Any person under the age of 16 who wishes to consult material from the Archives must be accompanied by a responsible adult.

Unless precluded from doing so by any legislative or Council conditions, the Archives is committed to providing equality of access to information held in its repository to all researchers.

3.7 Collection interpretation and sharing

An important role of the Archives will be the interpretation, sharing and promoting of Council history and activities, and the stories of the Parramatta Local Government area.

The Archives will contribute regularly to Parramatta Heritage Centre events, programs, displays and social media platforms.

4. Definitions

Access

The right, opportunity, means of finding, using or retrieving information.

Archives

- a) Records of organisations and individuals that have been selected for indefinite retention on the basis of their continuing value for legal, administrative, financial or historical research purposes;
- b) The name given to the repository in which an archival collection resides
- c) An organization (or part of) whose main function is to select, manage, preserve and make archival records available for use.

Archivist

A person professionally responsible for the management of archival records.

Accession

A group of records transferred at one time for the same source. May contain part of a series, or may contain one or more series.

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Accessioning

- a) To make legal and physical custody of a group of records or other material and to formally document their receipt.
- b) To document the transfer of records or material in a register, database, or other log of an archive's holdings.

Acquisition

- a) The terms of agreement, procedures and documentation used by archival repositories to obtain physical and legal ownership of archival material from depositors.
- b) A unit of archival material that has been recently collected or acquired.

Active records

Records required for undertaking day-to-day business functions (also referred to as current records).

Appraisal

The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations.

Council

Means the City of Parramatta Council and the former Parramatta City Council.

De-accession

The process by which an archives, museum or library permanently removed accessioned materials for its holdings.

Disposal

A range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from recordkeeping systems. They may also include the migration or transmission of records between recordkeeping systems and the transfer of custody or ownership of records.

Estrays

Records that have been removed from an archive collection, or otherwise alienated from the possession of their legitimate custodian (and may be found in private collections, historical societies or other repositories).

Holdings

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All material held in an Archive or records repository.

Inactive records

Any records no longer required for the conduct of business which may be transferred to intermediate storage, archival custody or be destroyed - also referred to as non-current records.

Normal Administrative Practice (NAP)

NAP Allows agencies to destroy certain types of records in the normal course of business. Staff do not need to obtain permission to dispose of records that fit within the scope of NAP. Records that can be considered for destruction using NAP fall into five broad categories – items with short-term and transitory use, rough working papers, drafts not intended for future reference, copies retained for reference purposes only, externally published material.

PHVIC Parramatta Heritage and Visitor Information Centre.

Preservation

All actions taken to retard deterioration of or prevent damage to cultural material. It involves controlling the environment and conditions of use, and may include treatment in order to maintain an object as nearly as possible in an unchanging state.

Processing

The arrangement, description and housing of archival materials for storage and use.

Reprographic services

Services provided by photocopying, scanning, photographing and printing from microfilm/fiche.

‘Still in use’ determinations

Records which should be transferred to State Records NSW as they are more than 25 years old, but are determined as ‘still in use’ by Council. Written permission to continue using the records may be obtained in writing from State Records NSW.

Transfer of custody

Process of transferring records from an archive to another organization (or part thereof).

5. Associated documents

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Legislation:

State Records Act 1998 (NSW)
State Records Regulation 2010 (NSW)
Local Government Act 1993 (NSW)
Local Government (Governance and Planning) Amendment Act 2016
Local Government (General) Regulation 2005
Local Government Records General Authority (GA 39)
Government Information (Public Access) GIPA Act 2009
Government Information (Public Access) Regulations 2009
Privacy & Personal Information Protection (PPIPA) Act 1998 (NSW)
Privacy & Personal Information Protection (PPIPA) Regulation 2014 (NSW)
Health Records Information Privacy Act 2002
Copyright Act 1968 (Cth)
Copyright Amendment Act 2006 (Cth)

Standards:

Standard, AS ISO 15489 - 2016 Records Management Parts 1 and 2
Standard ISO TR 13028 Digitisation
Standard ISO 23081-1 and 2 Recordkeeping Metadata
Standard HB 8317 Physical Storage
Australian Standard, AS 4390 - 1996 Records Management
Standard No. 6: Counter Disaster Strategies for Records and Recordkeeping Systems 2002, State Archives and Records NSW
Standard No. 7: Full and Accurate Records 2004, State Archives and Records NSW
Standard No. 8: Managing a Records Management Program 2004, State Archives and Records NSW

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Standard No. 9: Appraisal and Disposal of State Records 2007, State Archives and Records NSW

Standard No. 10 – Standard on Digital Recordkeeping 2008, State Archives and Records NSW

History

This policy replaces Version 1, published in 2011.

REFERENCES	<ol style="list-style-type: none">1. Australian Society of Archivists Inc., <i>Keeping Archives 3rd Edition</i> 20082. James Jervis, <i>Parramatta: The Cradle City of Australia</i> 19613. Terry Kass, Carol Liston & John McClymont, <i>Parramatta: A Past Revealed</i> 1996
POLICIES	<ol style="list-style-type: none">1. Records Management Policy (Policy 294 v2)2. Privacy Management Plan (Policy 289)3. Access to Information Policy (Policy 225 v3)4. Exhibition Policy (Policy 242)5. Work Experience Policy (Policy 010)6. Code of Conduct (Policy 218 v7)7. Archive Procedures and Guidelines
ATTACHMENTS	<ol style="list-style-type: none">1. History of Governance in Parramatta2. History of the City of Parramatta Council Archives3. Council Archivist Job Description

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Attachment 1 – History of Governance in Parramatta

The traditional owners of the area now known Parramatta area are the Darug people.

European settlement in the area commenced in 1788, when Governor Phillip established an outpost at what was then called Rose Hill. Affairs of the outpost were initially managed by the military. The name of the area was changed to Parramatta in 1791. In 1825 a system of civil magistrates was established, who assumed responsibility for civil affairs. With the passing of the Country Towns Police Act of 1838, salaried Police Magistrates took over responsibility for footpaths, building, night soil removal and public health matters.

Local government in the Parramatta area began on 24 August 1843, when the Parramatta District Council was established. Following the introduction of the Municipalities Act of 1858, the Municipality of Parramatta was proclaimed on 27 November 1861. The first municipal elections were held in December of that year, and the first Council meeting was held on 2 January 1862. Councils had not initially been given the power to collect the rates they levied, though this oversight was remedied by the Municipalities Act of 1867.

The Municipalities Act of 1867 also saw Parramatta becoming a Borough the following year. From 1868, although the town's government was officially called the Council of the Borough of Parramatta, records show that the term Parramatta Municipal Council remained current in popular usage. The use of the term borough was, in any case, discontinued with the proclamation of the Local Government Act in 1906.

Parramatta became a City in October 1938, the year of its 150th Anniversary. In 1948 an amendment to the Local Government Act resulted in the amalgamation of the Municipalities of Parramatta, Granville, Dundas and Ermington and Rydalmere. A number of changes to the City boundaries have taken place since then, including changes to the ward boundaries and names, the most recent occurring in 2016.

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Attachment 2 – History of the City of Parramatta Council Archives

Prior to the establishment of the Archives, historic records were stored in a variety of locations across the city, often in unsuitable conditions.

With a general developing interest in acknowledging Australia's official heritage during the 1980s, this period saw an increased recognition of the value of unique historic archival material.

In 1991 three students from the Graduate Diploma in Archives Administration program at the University of NSW were assigned to Council as part of their course fieldwork project. The aim of the project was to undertake a comprehensive and thorough survey of the inactive records and archives of Council in order to compile an inventory of such records and to report to Council on their condition and status. Included in the report were recommendations regarding the appropriate measures required to ensure the permanent preservation and accessibility of the archival material.

In the same year, Council resolved to seek participation in the Local Government Archives Project in order to establish an archival program to ensure the retention and preservation of permanently valuable records. In her Report to Council, the Project Archivist recommended that Council give consideration to the employment of a professional archivist to organise the archives.

As a result of these two projects, and their recommendations, Council created a permanent Archivist position, which was filled in early 1993. The Archives moved to the Parramatta Heritage Centre in 1998. Until 2007 the Archivist position sat within the structure of the City Services Group, Information & Library Unit, reporting to the Manager, Parramatta Heritage & Visitor Information Centre. In 2007, management of the Archives was transferred to the City, Culture, Tourism and Recreation Unit.

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Attachment 3 – City of Parramatta Council Archivist Position Description

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