

Document No: 321648**File No:** 037/042**Report To: Council****Meeting Date:** 10 December 2013**Subject:** **Deputation: Piopio College Students – Josh Te Awa and Cameron Hazeldine: Vanuatu Trip****Purpose**

1.1 The purpose of this business paper is to advise Council that Piopio College Students – Josh Te Awa and Cameron Hazeldine will be in attendance at 9.00am to address Council on their recent trip to Vanuatu to undertake voluntary works.

Suggested Resolution

The Deputation: Piopio College Students – Josh Te Awa and Cameron Hazeldine: Vanuatu Trip be received.

A handwritten signature in blue ink, appearing to read "Michelle Higgie".

MICHELLE HIGGIE
EXECUTIVE ASSISTANT

Document No: 320580**File No:** 037/042**Report To: Council****Meeting Date:** 10 December 2013**Subject:** **Deputation: Maniapoto Family Violence Intervention Network**

Purpose

- 1.1 The purpose of this business paper is to advise Council that representatives from Maniapoto Family Violence Intervention Network will be in attendance at the Meeting at 9.00am to update Council on the Network's recent activities.

Commentary

- 2.1 Council, at its August 2013 meeting received a Deputation from the Maniapoto Family Violence Intervention Network advising of their proposal to hold a fun family day at Centennial Park where it is estimated that between 2,500 and 3,000 people will be fed from a large hangi pit and barbeques on site for which strict guidelines will be enforced. This will be a free of charge, smoke free, alcohol free, violence free day.
- 2.2 The Network see this as an opportunity to celebrate our community and deliver the anti violence message while developing key networks and services in the community and joining together in a relaxed and fun environment.
- 2.3 Along with food there will be fun events and entertainment featuring local talent and personalities from throughout the Region.
- 2.4 At that meeting Council gave its support in allowing use of Centennial Park for the event and any other assistance required i.e. traffic managements, hangi sites, etc.

Suggested Resolution

The Deputation from Maniapoto Family Violence Intervention Network be received.

A handwritten signature in blue ink that reads "D Macdonald".

DONNA MACDONALD
COMMUNITY DEVELOPMENT COORDINATOR

WAITOMO DISTRICT COUNCIL

MINUTES OF A MEETING OF THE WAITOMO DISTRICT COUNCIL HELD IN THE COUNCIL CHAMBERS, QUEEN STREET, TE KUITI ON TUESDAY 26 NOVEMBER 2013 AT 9.00AM

PRESENT: Mayor Brian Hanna, Deputy Mayor Guy Whitaker, Council Members Phil Brodie, Terry Davey, Allan Goddard, Lorrene Te Kanawa and Sue Smith

IN ATTENDANCE: Media and Public

Chris Gardner (Waikato Times); Aaron Scanes (Te Kuiti New World); Zoe Ball (Student); Eric Taite and Kylie Mouat (Come Live in Otorohanga Campaign)

Staff

Chris Ryan, Chief Executive; Michelle Higgie, Executive Assistant; Helen Beever, Group Manager – Customer Services (for part only); Donna Macdonald, Community Development Coordinator (for part only); Kit Jeffries, Group Manager – Corporate Services (for part only); Christiaan van Rooyen, Group Manager - Assets (for part only) and John De Luca, Group Manager – Community Services (for part only)

1.	Council Prayer	File 037/003
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2.	Deputation: Aaron Scanes (Te Kuiti New World)	File 037/042
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Council received a deputation from Mr Aaron Scanes of Te Kuiti New World in relation to Council's provisional Local Alcohol Policy.

Aaron Scanes left the meeting at 9.25am.

Resolution

The Deputation: Mr Aaron Scanes (Te Kuiti New World Supermarket) re Waitomo District Council's Provision Local Alcohol Policy be received.

Brodie/Te Kanawa Carried

The Group Manager – Customer Services left the meeting at 9.27am.

3.	Declarations of Member Conflicts of Interest	File 037/051A
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No Member declarations were made.

4. Confirmation of Minutes – 24 October 2013**File 037/040A****Resolution**

The Minutes of the Waitomo District Council meeting held on 24 October 2013 be confirmed as a true and correct record.

Goddard/Brodie Carried

5. Confirmation of Minutes – 19 November 2013**File 037/040A****Resolution**

The Minutes of the Waitomo District Council meeting held on 19 November 2013 be confirmed as a true and correct record subject to the following amendment:

Change "October" to "November" in the Minute header.

Goddard/Te Kanawa Carried

6. Verbal Reports: Individual Councillor Roles and Responsibilities**File 037/040A**

Individual Council Members provided verbal reports in respect to Councillor appointed Roles and Responsibilities.

Councillors were reminded of the need to lodge complaints/service requests for operational issues so they can be addressed expediently and to encourage members of the community to do likewise as soon as issues arise.

Resolution

The Verbal Reports from Council Members be received.

Davey/Te Kanawa Carried

7. Review of Elected Member Code of Conduct**File 037/2/001**

Council considered a business paper providing the opportunity to consider and review its Code of Conduct following the 2013 Triennial Election.

The Executive Assistant expanded verbally on the business paper and answered Members' questions.

Resolution

- 1 The business paper on Elected Member Code of Conduct Review be received.
- 2 Council adopt the Code of Conduct subject amending Section 3.1, Bullet Point 2 to read: "Determining the expenditure and funding requirements of Council through the processes for developing the Annual Plan, Long Term Plan and the Revenue and Financing Policy."

Brodie/Te Kanawa Carried

The meeting adjourned for morning tea at 9.53am and reconvened at 10.09am.

8. Review of WDC Citizens Award Policy	File 092/015A
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Council considered a business paper enabling Council to review its Citizens Awards Policy.

Council agreed that the existing members of the Citizens Award Working Party be approached to continue on for the next three years subject to their availability.

Resolution

- 1 The business paper on the Review of Waitomo District Council Citizens Awards Policy be received.
- 2 The Waitomo District Council Citizens Awards Policy be adopted subject to the following amendment:

Change paragraph 4.1 to read as follows:

4.1 This policy will be reviewed in the November following each triennial election.
- 3 Mayor Hanna confirm with the existing Citizens Award Working Party members their availability for the next three years.

Whitaker/Te Kanawa Carried

The Group Manager – Corporate Services entered the meeting at 10.37am.

9. Audit Reports on Debenture Trust Deed for year ended 30 June 2013	File 037/040A
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Council considered a business paper presenting the Audit Report on the Debenture Trust Deed between Waitomo District Council and Trustees Executors Limited for the year ended 30 June 2013.

The Group Manager – Corporate Services expanded verbally on the business paper and answered Members' questions.

Resolution

- 1 The business paper on the 2013 Audit Report on the Debenture Trust Deed between Council and Trustees Executors Limited be received.
- 2 The audit reports for the year ended 30 June 2013, as received from PricewaterhouseCoopers (in relation to the maintenance of the Register of Bonds), and Deloitte (in relation to the Reporting Covenants set out in the Debenture Trust Deed and agreed upon procedures), be adopted.

Goddard/Brodie Carried

10. Quarterly Financial and Non-Financial Report for period ending 30 September 2013	File 100/018A
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Council considered a business paper presenting:

- The Financial Report for the period ended 30 September 2013 and;
- Detail of non-financial performance of service performance (i.e. performance against key indicators) for the period to 30 September 2013.

The Group Manager – Corporate Services expanded verbally on the business paper and answered Members’ questions.

Resolution

The business paper on the Quarterly Financial Report for the Three Months to 30 September 2013 be received.

Whitaker/Davey Carried

The Group Manager – Customer Services re-entered the meeting at 10.37am.

11. Monthly Financial Report for period ending 31 October 2013	File 100/018A
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Council considered a business paper presenting the Financial Report for the period ended 31 October 2013.

The Group Manager – Corporate Services expanded verbally on the business paper and answered Members’ questions.

Resolution

The business paper on the Financial Report for the four months to 31 October 2013 be received.

Davey/Goddard Carried

The Group Manager – Corporate Services left the meeting at 10.37am.

12. Provisional Local Alcohol Policy	File 350/001A
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Council considered a business paper enabling further review of the Waitomo District Council’s Provisional Local Alcohol Policy (LAP) following the Deputation from Mr Scanes earlier in this meeting.

The Mayor and Chief Executive expanded verbally on the business paper and answered Members’ questions. Council noted that the Manager – Regulatory Services is on Leave and is not available to speak to the business paper.

Resolution

- 1 The business paper on Provisional Local Alcohol Policy be received.
- 2 Council amend the Provisional Local Alcohol Policy as approved on 10 October 2013.

If 2 above is in the positive, then:

- 3 Council revoke Resolution 2 4 (f) of Item 22 – Provisional Local Alcohol Policy of the Council Minutes of 10 October 2013 which reads as follows:

4(f) *No off-licence will be issued or renewed with trading hours that exceed the following: Monday to Sunday 9.00am to 10.00pm.*

~~*No off-licence shall be issued or renewed in respect to a supermarket premise with trading hours that exceed the following:*~~

~~*Monday to Sunday 7.00am to 10.00pm.*~~

~~*No off-licence will be issued or renewed in respect to any other premises excluding supermarkets with trading hours that exceed the following:*~~

~~*Monday to Sunday 9.00am to 10.00pm*~~

- 4 The Provisional Local Alcohol Policy be amended so that section 4 (f) reads as per the draft Local Alcohol Policy originally consulted on, as follows:

4(f) *No off-licence shall be issued or renewed in respect to a supermarket premise with trading hours that exceed the following:*

Monday to Sunday 7.00am to 10.00pm.

No off-licence shall be issued or renewed in respect to any other premises excluding supermarkets with trading hours that exceed the following:

Monday to Sunday 9.00am to 10.00pm.

Goddard/Brodie Carried

**13. Appointment of District Licensing Committee File 350/001A
Chairperson, Deputy Chairperson and Members**

Council considered a business paper seeking Council's consideration and appointment of a District Licensing Committee (Chairperson, Deputy Chairperson and members) pursuant to Section 186 of the Sale and Supply of Liquor Act 2012 so as to allow the Committee to begin hearing and determining liquor licences and managers certificates when the Act comes into force on 18 December 2013.

The Chief Executive expanded verbally on the business paper and answered Members' questions.

Council noted that the Manager – Regulatory Services is on Leave and is not available to speak to the business paper.

Resolution

- 1 The business paper on Appointment of District Licensing Committee Chairperson, Deputy Chairperson and Members be received.
- 2 Council resolve that the following persons be approved as members to be included on the Waitomo District Licensing Committee Members List for a period of three years pursuant to Section 192 of the Sale and Supply of Alcohol Act 2012:
 - Roy Johnson
 - Patsi Davies
 - Brett McEwan
 - Ross Murphy
 - Michael Cameron
- 3 Council resolve that Deputy Mayor Guy Whitaker be appointed as the Deputy Chairman of the Waitomo District Licensing Committee for a period of three years pursuant to Section 189(3) of the Sale and Supply of Alcohol Act 2012.
- 4 Council recommend to the Chief Executive that Diane Sharpe be appointed as a Commissioner to Chair the Waitomo District Licensing Committee for a period of three years pursuant to Section 193 of the Sale and Supply of Alcohol Act 2012.

Goddard/Brodie Carried

14. Progress Report: Resource Consent Applications	File 097/001B
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Council considered a progress report providing information on outstanding resource consent applications and details of those applications currently being processed.

The Chief Executive expanded verbally on the business paper and answered Members' questions.

Resolution

The Progress Report: Resource Consent Applications be received.

Te Kanawa/Smith Carried

The Group Manager – Customer Services left the meeting at 11.15am.

15. Progress Report: Road Map Monitoring Schedule**File 037/048A**

Council considered a Progress Report presenting the Road Map Monitoring Schedule as at 26 November 2013.

The Chief Executive expanded verbally on the business paper and answered Members' questions.

Council discussed various new projects for inclusion in the Road Map Work Programme.

Resolution

- 1 The Progress Report: Road Map Monitoring Schedule be received.
- 2 The following projects be noted for inclusion in the Road Map Work Program:
 - Litter Control – development of Bylaw provisions to enable enforcement in respect to littering in public places.
 - Establishment of a Memorandum of Understanding arrangement between Council and Ngati Rora.
 - Centennial Park – Future Maintenance/Removal of Redwood trees (Cr Te Kanawa to liaise with the Group Manager – Community Services to agree the scope of this project)

Te Kanawa/Whitaker Carried

The Group Manager – Assets entered the meeting at 11.24am.

16. Progress Report: Monitoring against the 2012-2022 LTP – Land Transport**File 037/020/12A**

Council considered a business paper providing a brief on implementation of the Work Plan for the Land Transport activity as contained in year two (2013/2014) of the 2012-2022 Long Term Plan.

The Group Manager - Assets expanded verbally on the business paper and answered Members' questions and advised that a full report on recent flood damage will be presented to the July Council meeting.

Resolution

The Progress Report: Monitoring Against 2012-2022 Long Term Plan – Land Transport be received.

Goddard/Te Kanawa Carried

17.	Progress Report: Monthly Operation and Maintenance Report for Water, Sewerage and Stormwater – August 2013	File 037/05A
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Council considered a business paper providing a brief on progress for Operational and Maintenance performance by Council's contracted Services Provider for Water Services (Veolia Water).

The Group Manager – Assets expanded verbally on the business paper and answered Members' questions.

Resolution

The Progress Report: Monthly Operation and Maintenance Report for Water, Sewerage and Stormwater – August 2013 be received.

Davey/Smith Carried

18.	Review of Waitomo District Rural Fire Plan	File 502/001
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Council considered a business paper presenting for consideration and adoption the reviewed Waitomo District Rural Fire Plan for 2013-2015 (the Plan).

Council noted that there was content in the Waitomo District Rural Fire Plan which is inaccurate and incomplete.

The Chief Executive recommended that Council strike this item from the Agenda due to the inaccuracies contained of the Plan as presented.

Council agreed to strike this item from the Agenda so that the Waitomo District Rural Fire Plan can be updated accurately and re-presented to Council once complete.

19.	Progress Report: Civil Defence Emergency Management Joint Committee Minutes	File 400/010/2
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Council considered a progress report presenting the Civil Defence Emergency Management Joint Committee meeting Minutes of 1 July 2013.

Resolution

The Progress Report: Civil Defence Emergency Management Joint Committee Minutes be received.

Brodie/Te Kanawa Carried

20. Progress Report: Civil Defence Emergency Management Executive Group Minutes	File 400/010/3
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Council considered a progress report presenting the Civil Defence Emergency Management Executive Group meeting Minutes of 31 May and 2 August 2013.

Resolution

The Progress Report: Civil Defence Emergency Management Executive Group Minutes be received.

Brodie/Goddard Carried

21. Progress Report: Waitomo Cultural and Arts Centre – Stage 4 Upgrade	File 401/0588424200
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Council considered a business paper providing a progress report on the Stage 4 Upgrade of the Waitomo Cultural and Arts Centre.

The Group Manager – Community Services expanded verbally on the business paper and answered Members' questions.

Resolution

The Progress Report: Waitomo Cultural and Arts Centre – Stage 4 Upgrade be received.

Whitaker/Goddard Carried

Martin Berryman, Emergency Management Operations Manager for Waipa, Otorohanga and Waitomo Districts entered the meeting at 11.46am.

22. Civil Defence Orientation Presentation	File 400/010B
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Council considered a business paper and presentation informing of the provision of Emergency Management Services within the Waikato Region and reinforce Waitomo District Councils obligations under the Civil Defence Emergency Management (CDEM) Act 2002.

The Group Manager – Community Services made a PowerPoint Presentation and answered Members' questions.

Resolution

The business paper on Civil Defence Orientation Presentation be received.

Whitaker/Te Kanawa Carried

The meeting adjourned for lunch at 12.06pm and reconvened at 12.50pm.

Chris Gardner (Waikato Times) and the Group Manager – Asset left the meeting at 12.06pm.

The Mayor advised that Eric Tait will be in attendance at 3.00pm to introduce Kylie Mouat, the “Come Live in Otorohanga” Campaign Project Manager

23. Motion to Exclude the Public for the consideration of:	File 037/043
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Council considered a business paper pursuant to Section 48 of the Local Government Official Information and Meetings Act 1987 giving Council the right by resolution to exclude the public from the whole or any part of a meeting on one or more of the grounds contained within that Section.

Resolution

- 1 The public be excluded from the following part of the proceedings of this meeting.
- 2 Council agree that the following staff, having relevant knowledge, remain

Chris Ryan, Chief Executive
Michelle Higgie, Executive Assistant
Helen Beever, Group Manager – Customer Services
- 3 The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under Section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:

General Subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Section 48(1) grounds for this resolution
1. Progress Report: Regulatory Enforcement Issues	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
2. Progress Report: Waipa River JMA	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
3. Progress Report: Wool Storage Facility	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
4. Parkside – Offer of Purchase Lot 16	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)

General Subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Section 48(1) grounds for this resolution
5. Progress Report: Rural Halls	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
6. Progress Report: Parkside Subdivision	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
7. Progress Report: Brook Park Entrance	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
8. Progress Report: Te Kuiti Railway Building	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
9. Progress Report: Te Kuiti Mainstreet Re-Design	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
10. Progress Report: Te Kuiti Community House	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
11. Progress Report: Mangarino Road Property	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
12. Progress Report: Mokau Toilet Effluent Upgrade	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
13. Progress Report: Marokopa Sea Wall	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
14. Progress Report: Marokopa Campground – Renewals Work	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)
15. Progress Report: Benneydale Water Easements	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)

This resolution is made in reliance on Section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by Section 6 or Section 7 of that Act or Section 6, Section 7 or Section 9 of the Official Information Act 1982 as the case may require are listed above.

Brodie/Te Kanawa Carried

Resolution

The meeting be re-opened to the public.

Whitaker/Te Kanawa Carried

The Mayor welcomed Eric Tait and Kylie Mouat, the "Come Live in Otorohanga" Campaign Project Manager who briefed Council on the Campaign.

There being no further business the meeting closed at 3.45pm.

Dated this 10th day of December 2013.

BRIAN HANNA
MAYOR

Confidential

Confidential

Confidential

Confidential

Confidential

Document No: 321651**File No:** 037/001A**Report To: Council****Meeting Date:** 10 December 2013**Subject:** Council Meeting Schedule for 2014

Purpose of Report

- 1.1 The purpose of this business paper is for Council to formally adopt a Meeting Schedule for the 2014 calendar year.

Commentary

- 2.1 Council has in the past scheduled ordinary monthly meetings for the last Tuesday of each month.
- 2.2 The Meeting Schedule for the period January to July 2014 has been agreed to by the Council as part of its Road Map Work Programme, however it is appropriate that Council set its meeting schedule for the entire calendar year.
- 2.3 Council's Road Map Work Programme includes timelines prepared on the basis of ordinary monthly meetings taking place on the last Tuesday of each month. It should be noted however, that because of the "living" nature of the Road Map document, scheduled meeting dates over and above the normal monthly meetings often alter as time passes and therefore only the known dates are included for adoption in this meeting schedule. Hearings, workshops and additional meetings are scheduled as and when required.
- 2.4 Historically, if a December meeting is required, it is convened on the second Tuesday of the month. No meeting is convened in January.
- 2.5 Where a statutory holiday falls on a Monday, the Council meeting is either moved to a Wednesday or brought forward/deferred by one week. For example where a meeting falls on the Tuesday following Labour Weekend, the meeting is moved to the Wednesday. Where a meeting falls on the Tuesday following Easter Monday it is deferred by one week.

Recommendation

- 3.1 It is recommended that Council adopt a Meeting Schedule for 2014 based on the requirements of the Road Map Work Programme, noting that further meetings and workshops may need to be convened as time passes.
- 3.2 It should be noted that the adopted Meeting Schedule includes only official meetings which must be publicly notified. Informal workshops do not form part of the official Meeting Schedule.

Suggested Resolutions

- 1 The business paper on Council Meeting Schedule for 2014 be received.
- 2 Council adopt the following Meeting Schedule for 2014:

Tuesday	25 February 2014	January/February combined Monthly Meeting
Thursday	6 March 2014	Adoption of Draft 2014/2015 Exceptions Annual Plan for Audit purposes
Tuesday	25 March 2014	March Monthly Meeting
Tuesday	29 April 2014	April Monthly Meeting
Thursday	22 May 2014	Hearings of Submissions to Draft 2014/2015 Exceptions Annual Plan
Tuesday	27 May 2014	May Monthly Meeting
Thursday	5 June 2014	Deliberation of Submissions to Draft 2014/2015 Exceptions Annual Plan
Tuesday	24 June 2014	June Monthly Meeting (including adoption of 2014/2015 Exceptions Annual Plan)
Tuesday	22 July 2014	Public Excluded Meeting – Contractual Issues
Tuesday	29 July 2014	July Monthly Meeting
Tuesday	26 August 2014	August Monthly Meeting
Tuesday	30 September 2014	September Monthly Meeting
Wednesday	29 October 2014	October Monthly Meeting
Tuesday	25 November 2014	November Monthly Meeting
Tuesday	9 December 2014	December Monthly Meeting (last meeting of the calendar year)

MICHELLE HIGGIE
EXECUTIVE ASSISTANT

Document No: 321331

File No: 400/130I

Report To: Council**Meeting Date:** 10 December 2013**Subject:** **2013 Community Partnership Fund – Consideration of Funding Applications**

Purpose of Report

- 1.1 The purpose of this business paper is for Council to consider the combined 2013 Community Partnership Fund (CPF) Appraisal Scores for funding allocations.

Background

- 2.1 The CPF is part of Waitomo District Council's (WDC) broader Community Development Fund (CDF). A contestable fund focused on projects and programmes that contribute to the well-being of our District's communities.
- 2.2 The fund aims to ensure that residents of the Waitomo District have opportunities to feel part of the community they live, work and play in and aims to "help our community help itself" by offering access to funding and in-kind support to groups working on community initiatives.
- 2.3 Consideration is given to community projects and community groups that demonstrate strong links to one or more of the outcomes identified in the Community Development Fund Policy (CDFP), which was adopted by Council in October 2011.
- 2.4 By preference, grants will be made to:
- A group applying for financial assistance for projects that align with, or support, WDC's Community Outcomes and can provide evidence detailing how their project can make a positive impact on community well-being.
 - Organisations and groups that offer their facilities or services for the benefit or enjoyment of all Waitomo residents.
 - Organisations and groups, who invest time in helping to address social issues within the Waitomo District.
 - Groups who have a proven record of accomplishment in their area of operation and can show community support for their project.
- 2.5 WDC supports resource sharing by community groups and organisations and encourages, where possible, a collaborative approach to achieving positive community outcomes.
- 2.6 For comparative purposes, in 2012 two applications were received totalling \$38,710.00 in value.

The Appraisal and Allocation Process

- 3.1 The evaluation and allocation of the CPF is at the discretion of the elected Council.
- 3.2 To maintain the integrity of the assessment process Councillors were asked to complete Application Appraisal Forms for each of the applications by 3 December 2013, taking into account the following methodology:
- Apply the Community Development Fund Policy (the Policy).
 - Declare any conflicts of interest
 - Award funding to projects, not people
- 3.3 Councillors are requested to evaluate the combined median scores and values and agree the value of grants allocated in 2013.
- 3.4 During this process, Council may at its discretion, impose conditions as appropriate, to grants to ensure a maximisation of the funds distributed.

Funding Round for the Community Partnership Fund

- 4.1 There is a total of \$25,000 available for allocation in 2013 funding round. Three applications have been received as follows:

Applicant	Amount Sought
Aria Toy Library	A contribution towards the painting of exterior of Toy Library building \$2,000.00
The Te Kuiti Branch of the Royal NZ SPCA:	Wages of \$9,100.00 Replacement of Animal Ambulance for \$25,990.00
Piopio Playcentre	A contribution to assist with providing a shade sail play area of \$4,590.45

- 4.2 A confidential Booklet containing the completed appraisal forms and workings table has been distributed to Council members separately.
- 4.3 For full details of individual Councillor scores and comments please refer to that Booklet.
- 4.4 It should be noted that Cr Smith's appraisal forms were not included due to her being out of the country while this process was carried out.

Unexpended Funds

- 5.1 If Council does not fully expend the \$25,000 available in this funding round, it may wish to undertake an optional second funding round in February/ March 2014 as per the CDFP.

Suggested Resolutions

- The business paper on 2013 Community Partnership Fund – Consideration of Funding Applications be received.
- Council approve Community Partnership Grants as follows:

Applicant	Grant Amount
Aria Toy Library	\$ _____
Te Kuiti Branch of the Royal NZ SPCA	\$ _____
Piopio Playcentre	\$ _____

- If an unexpended balance remains in the Community Partnership Fund following completion of this funding round, then Council approve/not approve a second funding round in February/ March 2014 as per the Community Development Fund Policy.

DONNA MACDONALD
COMMUNITY DEVELOPMENT COORDINATOR

December 2013

Document No: 320624

File No: 092/015/1

Report To: Council**Date: 10 December 2013****Subject: World War One Commemorations**

Purpose of Report

- 1.1 The purpose of this business paper is to inform Council of projects included in a Funding Application made to the Lotteries Board for World War One Commemorations.

Background

- 2.1 The lodging of the application is the result of a request to investigate options for projects and funding for the purpose of World War One Commemorations in the Waitomo District.
- 2.2 The Centenary of New Zealand's participation in World War One will be marked over several years with many different commemorative projects and activities.
- 2.3 The New Zealand Government has developed WW100, a programme to mark the First World War Centenary from 2014 to 2018.
- 2.4 Funding for World War One centenary commemorations is available via the Lottery Grants Board. Funding is available for large scale projects, smaller capital works and community events.
- 2.5 An interactive community engagement approach to recognise and remember the Waitomo District's involvement in World War One is recommended. In brief, the proposed programme for the Waitomo District Commemorations is as follows:

Date	Event
Now	WW100 Symbol Register to use office WW100 Symbol identifying First World War Centenary activities
May 2014 to August 2014	Restoration of Memorials Piopio Cenotaph surround Clean Memorial Gates at Mapiu (Youth Council)
4 August 2014 to 14 August 2014	Film Festival and Static Displays in cooperation with Journey Church who will continue regardless of funding
4 August 2014 to 31 October 2014	Fly Poppy Flags throughout the District Te Kuiti, Piopio, Waitomo, Benneydale, Mokau

Date	Event
October 2014	First NZ Troops left to join Allied Forces White Crosses placed at the Te Kuiti & Piopio Cenotaphs White Crosses placed near the Piopio Cenotaph
April 2015	Anzac Day Centenary Fly Poppy Flags throughout the District Te Kuiti, Piopio, Waitomo, Benneydale, Mokau Place White Crosses and Te Kuiti and Piopio Cenotaphs ANZAC Day Service
Events to be confirmed	War Time Stage Production (On Stage Te Kuiti)

Commentary

- 3.1 A community connection approach has been taken when looking at possible projects for the World War One Commemorations within the Waitomo District.
- 3.2 In order to make displays and opportunities, such as a Film Festival, available to outlying areas invitations will be sent to Schools and Community Groups to view and attend specific screenings of movies, etc.
- 3.3 Commemorations will begin in August 2014, the month war was declared.
- 3.4 A funding application was lodged with the Lotteries Board on 20 November 2013 for \$42,877.00.
- 3.5 The Lotteries Board has indicated that there would be further funds available throughout the period 2014-2018 so it is proposed to pursue the opportunity to create a Commemorative Garden maybe closer to the end of the war as a celebration.
- 3.6 Quotes have been included with the Application for restorative work to be carried out on the surrounds of the Piopio Cenotaph.
- 3.7 The Mapiu Memorial Gates are in need of a clean, more so than restoration. It is suggested that this would be an appropriate activity for the Youth Council to take on in the lead up to the commemoration period as an act of community service.
- 3.8 Restorative and/or cleaning work to the Memorials will begin as soon as funding is received.
- 3.9 A quote to purchase RSA Poppy Flags to fly throughout the District is included. Flags would fly from 4 August 2014 until the end of October 2014, the month the first troops left New Zealand to join with allied forces. The flags could then be put up again during the month of April 2015 to commemorate ANZAC Day Centenary celebrations and the lead up to every ANZAC Day during the commemorations period.
- 3.10 King Country Kitchens have provided a quote to make crosses to place by the cenotaph in October 2014 when our first troops left and again in April 2015 to commemorate the Anzac Day Centenary.

- 3.11 The Journey Church has been approached with regard to a War Time Film Festival. They are very keen to work this including providing staffing and an area in their building for display's of wartime memorabilia. They will continue with some form of commemoration if funding is not received all be it on a smaller scale.
- 3.12 A quote is also included for battery operated Tea Light Candles to include for the ANZAC Day march for the ANZAC Day Centenary.
- 3.13 On Stage Te Kuiti are looking at options for a wartime Stage Production during the period August to October.
- 3.14 Letters have also been received from both the Te Kuiti & Districts RSA and the Waitomo Christian Fellowship stating their support for the application and are confident we are capable of achieving our planned projects.
- 3.15 The local RSA have advised that they are awaiting directive from their National Body in Wellington with regard to what commemorative activities they will organise.

Resolution

The business paper on World War One Commemorations be received.



DONNA MACDONALD
COMMUNITY DEVELOPMENT COORDINATOR

18 November 2014

Document No: 320889

File No: 037/013/2015AP

Report To: Council Meeting**Meeting Date:** 10 December 2013**Subject:** **New Purpose of Local Government and Assessment of Activities****Purpose of Report**

- 1.1 The purpose of this business paper is to outline the Activity review process undertaken to assess the alignment of Council's activities with the new purpose of Local Government and to seek Council's view on the outcome of the review.

Background

- 2.1 As part of the Government's Better Local Government (BLG) reforms, the purpose of Local Government was changed through the Local Government Act 2002 Amendment Act (LGAA). The LGAA was given Royal Assent in December 2012.
- 2.2 Advice was subsequently provided by Local Government NZ (LGNZ) and the Society of Local Government Managers (SOLGM) indicating that councils should review the activities they undertake to ascertain that these are consistent with the new purpose and a similar assessment be done for any new activities planned to be introduced.
- 2.3 This was discussed with Council as part of the Exceptions Annual Plan 2013/14 (EAP 13/14) development and it was agreed that a review of activities be carried out in the 2013/14 year.
- 2.4 A desktop review of Council's activities has been carried out and the process and outcomes of the review are detailed in the following sections.

Commentary**3.1 New purpose of local government**

- 3.2 The amended Section 10 of LGA now states (changes shown in red):

10 Purpose of local government

(1) The purpose of local government is—

(a) to enable democratic local decision-making and action by, and on behalf of, communities; and

(b) to meet the current and future needs of communities for good-quality local infrastructure, local public services, and performance of regulatory functions in a way that is most cost-effective for households and businesses.

*(2) In this Act, **good-quality**, in relation to local infrastructure, local public services, and performance of regulatory functions, means infrastructure, services, and performance that are—*

- (a) efficient; and*
- (b) effective; and*
- (c) appropriate to present and anticipated future circumstances.*

3.3 Section 10 (1)(a) has remained unchanged. The previous Section 10(1)(b) that referred to the purpose being the promotion of the 'four well beings' - (i.e. social, economic, cultural and environmental) - has been repealed and new Sections 10 (1)(b) and 10(2) have been added.

3.4 In March 2012 the Government stated that the change was required because the then purpose was "unrealistic" and created "false expectations about what councils could achieve".

3.5 A factsheet released by the Department of Internal Affairs (DIA) on the new purpose states that "The new Act reinforces that local government acts on behalf of its communities and works with them to decide what local services and infrastructure will be provided and at what cost. ...".

3.6 The implications of the change in purpose, the need for a review of activities and considerations for this review have been based on the following -

- A Frequently Asked Questions (FAQ) paper circulated by SOLGM on the amendment to the Purpose. This paper provides useful guidance on the process councils can follow in undertaking an activity review.
- The legal opinion from Simpson Grierson (SG) to LGNZ, which was circulated by LGNZ to its members. The opinion considers the key aspects of the new purpose that should be taken into account by Councils.
- DIA's factsheet on the new purpose: '*Refocus the purpose of local government*'.

3.7 Important Aspects

3.8 The key aspects of the new purpose made clear from the above mentioned documents are -

- **Need for an activity review-** SG and SOLGM have indicated that the purpose change is complex and in order to avoid any legal wrangle in the future it is advisable to undertake a review that ensures all current activities of Council meet the requirements of the new purpose.
- **New activities** - It is also important that Council's decision making for new activities in the future clearly reflects that Council has turned its mind to the key elements of the new purpose including assessments of delivery options to settle on the "most cost-effective" way.
- **Community needs and wants** - It will be important to establish community needs and wants especially for activities that cannot be categorised as local infrastructure, public service or regulatory functions.

This is because Section 10(a) clearly states that the role of Council is also to be an **enabler** of decision-making and action for or on behalf of the communities. This indicates that if the community wants and needs something, Council has to act as an enabler.

The SG legal opinion makes the point that "*matters expressly mandated in the 2012 Long-Term Plan (LTP) will be intra vires ...*", meaning that activities consulted on and agreed to through the LTP consultation processes, can be said to meet the community's needs and have the support of communities. For any new activities to be undertaken a clear community need will have to be established.

- **Lack of definitions** - There is an absence of definition of key terms in the purpose clause, particularly "local infrastructure", "local public services", "performance of regulatory functions" and "most cost effective".

"Good quality" is defined and means "effective, efficient and appropriate for present and anticipated future circumstances", but these terms are not defined.

This lack of definition leads to interpretation issues thereby leaving the door wide open for litigation. However, the view widely shared is that the legal effect will depend on judicial interpretation.

- **Elected members discretion** - LGNZ and SOLGM are both of the opinion that, given the lack of direction on how the call on cost effectiveness, efficiency or appropriateness should be made, elected members retain the ability to judge whether an activity is consistent with the new purpose. **It is a policy judgment for elected members to make, paying due diligence to the new terms, of course.**

3.9 Review Process

3.10 The key considerations the activity review has taken into account are:

1. Is the activity local infrastructure, local public services or performance of regulatory functions?
2. What interpretation is to be used for each of the undefined terms?
3. Are the community needs and wants clearly established for the activity and by what means were these established?
4. Is the activity being delivered in the "most cost effective" manner and how has this been established?

3.11 How community need/want has been established?

If an activity has been consulted on through existing planning or policy documents, then it has been considered that there is an existing community need for the activity. Details of community use or demand have also been considered as evidence of community need for that activity.

3.12 Determining whether an activity is 'local infrastructure', 'local public service' or a 'regulatory function'

- All activities/services that are conferred on Council through the LGA 2002 or any other enactments like the RMA 1991 or Building Act 2004 have been considered to be a **regulatory function**.
- There is no specific definition of local infrastructure in the LGA. However, Section 11A identifies 'core services' of local government and Section 197 of LGA 2002 gives a further idea of what infrastructure is. Activities that are included in these two sections have been considered as **local infrastructure** in this review.

Section 11A identifies 'core services' of local government to be:

- network infrastructure;
- public transport services;
- solid waste collection and disposal;
- the avoidance or mitigation of natural hazards;
- libraries;
- museums;
- reserves;
- recreational facilities; and
- other community infrastructure.

Under Section 197 '*Network Infrastructure*' means provision of roads and other transport, water, waste water and stormwater collection and management.

'*Community Infrastructure*' refers to land or assets of a Territorial Authority to provide public amenities.

- In their advice SOLGM have coined an interpretation of 'public service' from dictionary meanings as – '*involving the provision or supply of a public need that is open to, or shared by all*'. The same interpretation of **public service** has been used in this review.

3.13 Determining 'good-quality'

Establishing whether services provided are of 'good-quality' or not, was considered outside the scope of this review. It was considered that the quality of services provided and required by the community is established through other mechanisms like consultation on levels of service, reporting on activity performance and customer satisfaction surveys.

3.14 Establishing the most cost-effective option for households and businesses

Most cost effective has also not been defined in the LGA. SOLGM and LGNZ advice is that most cost-effective is different to **lowest cost** option. Effectiveness means how well something achieves its intended purpose or objective. And therefore,

most cost effective option would be the one that best meets the intended outcome from that activity and the lowest cost of delivery to achieve the intended outcome.

It is important to note that in the absence of any qualifiers it is for Council to judge what it considers 'most cost effective', however, it would be prudent to give due consideration to the different elements.

During this review the following aspects have been considered to establish whether the delivery of an activity is the "most cost effective for households and businesses":

- Are the outcomes or objectives of the activity clear?
- Are there other alternative options of delivery? If there are none then the existing delivery has to be continued.
- Has a clear decision making process been followed to consider options and choose the most cost effective option?
- Is a reassessment of cost effective delivery of the activity required?

Summary of Activity Assessment

4.1 The Assessment of Activities (Assessment Tables shown as Attachment 1) has shown that of the 56 different activities of Council, **45** fall into the categories of Core Services or Regulatory Functions. These have been considered to align with the new purpose, since they are expressly stated within the new purpose.

4.2 **11** activities have been identified to fall outside the core and regulatory definition and were categories as "Other". These were further assessed and in all cases community need was demonstrable. The activities have been consulted upon and feedback sought through the Council's planning processes.

4.3 The review found that all the rationale for delivering the activities and the objectives sought were clear and that the legislated decision making processes have been followed in assessing options for delivery.

It is important to note here that Council reviews cost-effectiveness of its service delivery as a matter of course.

4.4 Some activities have been identified where delivery options will be reviewed, e.g., Animal Control and Liquor Licensing to ensure that cost-effectiveness is achieved.

To reiterate, **cost effectiveness does not mean 'least cost' option**. These activities are highlighted.

4.5 There has been discussion in the local government sector about whether investment activities detract from the new purpose. The advice from SOLGM is that since there has been no change to Section 14(1)(fa) of the LGA (which requires local authorities to periodically assess the expected risks and returns from investing in or undertaking a commercial activity), it suggests that the law change did not intend to prohibit investment activity outright. Council needs to

consider carefully the reasons for holding on to investments and they need to be in the best interests of the community.

- 4.6 In conclusion, this review did not identify any Council activity that does not comply with the new purpose, although a few activities will be reassessed for cost-effective delivery.

Suggested Resolutions

- 1 The business paper 'New Purpose of Local Government and Assessment of Activities' be received.
- 2 The outcomes from the activity review process undertaken to assess the alignment of Council's activities with the new purpose of Local Government be confirmed.



C.E. (KIT) JEFFRIES
GROUP MANAGER – CORPORATE SERVICES

20 November 2013

Attachment: Assessment of Activities Schedule

Attachment 1: Assessment of Activities Schedule

Activity Category Key	
CS =	Core Services (as per Sec 11A of LGA 2002)
RF=	Regulatory Functions
O=	Other

	Activity	Activity Category	Establishing 'most cost effective'				Comments	Is activity consistent with new purpose
			Are outcomes sought clear	Do alternative delivery options exist	Is existing option considered effective	Is existing option least cost		
1.	Mayor's Office	RF	Yes	No	Yes	NA		Yes
2.	Council and Committees	RF	Yes	No	Yes	NA		Yes
3.	Long Term and Annual Planning	RF	Yes	No	Yes	NA		Yes
4.	Community Consultation / Communication	RF	Yes	No	Yes	NA		Yes
5.	District and Urban Development Planning	RF	Yes	No	Yes	NA		Yes
6.	Policy Development/ Advocacy	RF	Yes	No	Yes	NA		Yes
7.	Performance Monitoring	RF	Yes	No	Yes	NA		Yes
8.	Annual Report	RF	Yes	No	Yes	NA		Yes
9.	Environmental Health	RF	Yes	Yes	Yes	Yes	Alternatives have been considered and service provision is by way of a shared service arrangement with Waipa District Council.	Yes
10.	Animal Control	RF	Yes	Yes			The delivery of this activity has been identified for a review before the end of 2013/14 financial year.	Yes
11.	Dog Control	RF	Yes	Yes			The delivery of this activity has been identified for a review before the end of 2013/14 financial year.	Yes
12.	Building Control Services	RF	Yes	Yes	Yes	Yes	In mid 2013 Council decided to join the Waikato Building Consent Group in order to provide a consistent approach to building control services across the Waikato Region. Members of the Group are Hamilton City Council, and Hauraki, Matamata Piako, Otorohanga, Waikato, Waipa and Waitomo District Councils.	Yes
13.	Liquor Licensing	RF	Yes	Yes	Yes	Yes	Council will be assessing service delivery alternatives given the recent changes in legislative requirements through the Sale and Supply of Alcohol Act 2012.	Yes
14.	Active Reserves	CS	Yes	No	Yes	Yes		Yes
15.	Passive Reserves	CS	Yes	No	Yes	Yes		Yes
16.	Esplanade Reserves	CS	Yes	No	Yes	Yes		Yes
17.	Leased Reserves	CS	Yes	No	Yes	Yes		Yes
18.	Playgrounds	CS	Yes	No	Yes	Yes		Yes
19.	Elderly Persons Housing	CS	Yes	Yes	Yes	Yes		Yes
20.	Community Halls	CS	Yes	Yes			Council has planned to review its options for service delivery within the 2012-22 LTP timeframe. Alternative arrangements for two Halls are being assessed.	Yes

	Activity	Activity Category	Establishing 'most cost effective'				Comments	Is activity consistent with new purpose
			Are outcomes sought clear	Do alternative delivery options exist	Is existing option considered effective	Is existing option least cost		
21.	Other Land and Buildings (including ex Railway Buildings)	CS	Yes	Yes	Yes	Yes	These land and buildings are retained and maintained by Council either with strategic intent or as investments which provide benefit to the District as a whole. Council continually reviews its alternatives within this activity.	Yes
22.	District Libraries	CS	Yes	Yes	Yes	Yes		Yes
23.	Swimming Pool	CS	Yes	Yes	Yes	Yes	Council has reviewed its service delivery options for this activity.	Yes
24.	Arts, Culture and Heritage (involves the maintenance and management of Culture and Heritage Buildings in the District, including the Cultural and Arts Centre and Piopio Museum Buildings)	CS	Yes	Yes	Yes	Yes		Yes
25.	Public Toilets	CS	Yes	No	Yes	Yes		Yes
26.	Cemeteries	CS	Yes	No	Yes	Yes	Local authorities are required by Statute to provide burial facilities within their districts.	Yes
27.	Street Furniture	CS	Yes	No	Yes	Yes		Yes
28.	Public Carparks	CS	Yes	No	Yes	Yes		Yes
29.	Emergency Management	RF	Yes	No	Yes	Yes	Local authorities are required by Statute to provide Emergency Management capability.	Yes
30.	Rural Fires	RF	Yes	No	Yes	Yes		Yes
31.	Kerbside Collection	CS	Yes	No	Yes	Yes		Yes
32.	Kerbside Recycling	CS	Yes	No	Yes	Yes		Yes
33.	Landfill and Transfer Station Management	CS	Yes	Yes			Council is continually assessing options for ownership and delivery of this activity	
34.	Waste Minimisation	RF	Yes	No	Yes	Yes		Yes
35.	Urban Stormwater Reticulation and Disposal	RF	Yes	No	Yes	Yes		Yes
36.	Rural Stormwater Reticulation and Disposal	RF	Yes	No	Yes	Yes		Yes
37.	District Plan Administration	RF	Yes	No	Yes	Yes		Yes
38.	Consent Monitoring	RF	Yes	No	Yes	Yes		Yes
39.	Sewerage Reticulation, Treatment and Disposal (Te Kuiti, Te Waitere, Benneydale and Piopio)	RF	Yes	Yes	Yes	Yes		Yes
40.	Water Extraction, Treatment and Reticulation (Te Kuiti, Mokau, Piopio and Benneydale)	RF	Yes	Yes	Yes	Yes		Yes
41.	Subsidised Roding	RF	Yes	Yes	Yes	Yes		Yes
42.	Unsubsidised Roding	RF	Yes	Yes	Yes	Yes		Yes

Table of Activities classified as "Other"

	Activity	Activity Category	Has Community need been established and How	Is cost effectiveness established	How	Is activity Consistent with new purpose
Investments						
1.	Local Authority Shared Services	O	Yes. Through the Long Term Plan (LTP)	Yes	Central Government has made it clear that local authorities' are to actively consider avenues for the provision of shared services in order to provide more cost effective delivery alternatives for their respective ratepayers. Council is an active participant in LASS and in recent times has benefited from a number of favourable procurements - e.g. fuel and oil, insurance. In addition, the Mayor and CEO are actively involved in the Waikato Mayoral Forum Forums considering the potential to provide a number of shared services on a regional basis.	Yes
2.	Inframax Construction Limited	O	Yes. Through the LTP	Yes	<p>In more recent times, ICL has been experiencing financial difficulties and has been unable to provide a return on Council's investment.</p> <p>Council has previously considered its ownership alternatives which included the possibility of disposal. At that time the value of the company was such that a sale of the company would have resulted in significant losses on disposal of assets with insufficient funds available to clear creditors and bank debt. Council was also very conscious of the negative social, employment and economic effects a sale of ICL would have on the District and resolved to work with the ICL Board in agreeing on a Recovery Plan that would eventually return a restructured company back to a profitable situation.</p> <p>The company's performance improved considerably during 2012/13 with a pre-tax loss of \$92,000 compared to a \$1.932 million loss during 2011/12. This indicates that the Recovery Plan is working and that given time the company will again be in a position to return a share of its profits back to Council.</p>	Yes
3.	Council Owned Quarries	O	Yes. Through the LTP	Yes	<p>Council's investment in quarries is considered to be strategic in nature and for the benefit of the wider District as a whole.</p> <p>Any surplus income generated through this investment is used to offset rates income from the entire District. Any deficit is funded from the General Rate which reflects the public good associated with the investment.</p> <p>Disposal of quarry reserves presents a number of problems - i.e. the reserve status would have to be removed pursuant to the Reserves Act. As a number of these were gazetted and taken under the Public Works Act, any proposed sale of land would have to be first offered back to previous landowners, if they can be identified. In many instances the cost of changing the designation and proceeding through a sale process exceeds the value of the land. Council has decided to retain ownership of the quarry sites in the interim.</p>	Yes
4.	Forestry (located at Waitomo District Landfill)	O	Yes. Through the LTP	Yes	<p>The forestry was predominantly planted in 1994 and comprises approximately 15.7 hectares of pinus radiata trees.</p> <p>The plantation has District wide benefits as it exists to generate income which will be used for the benefit of the entire District.</p> <p>With the introduction of the Emissions Trading Scheme the forestry has the potential to generate carbon credits which can be used to offset methane emissions produced at the landfill.</p> <p>Alternatives considered are to harvest trees and return the area to the landfill site, or to harvest trees and replant (and possibly expand) the area, however keeping the forestry as is has been considered the best option at the present time.</p>	Yes
5.	Parkside Subdivision	O	Yes. Through the LTP	Yes	Council is actively working on disposing of this investment.	Yes

	Activity	Activity Category	Has Community need been established and How	Is cost effectiveness established	How	Is activity Consistent with new purpose
Community Development						
6.	Community Support (Youth Engagement)	O	Yes. Through the LTP.	Yes	Community Support seeks to improve social outcomes within the District by working closely with the youth of the District. Council has determined that the key goals underpinning Community Support are: ▪ To create a better quality of life for our community ▪ To create a better living environment, helping local groups create local opportunities and solutions	Yes
7.	Community Grants	O	Yes. Through the LTP	Yes	Grant funding to assist community groups and organisations. Community initiatives are considered to have a District-wide benefit as the provision of grants to organisations at a local level assists with the provision of a range of social services that contribute to the social and cultural well-being of the whole District.	Yes
8.	Sister City	O	Yes. Through the LTP	Yes	Promotes and supports Council's Sister City relationship with Tatsuno (Japan) with the aim of contributing to the cultural and economic well-being of the District. Council considers there are benefits derived from maintaining and advancing the relationship with Tatsuno that will serve the District as a whole.	Yes
9.	District Development (Includes Economic Development, Visitor Information Centres, District and Regional Promotion and Event Coordination)	O	Yes. Through the LTP	Yes	Encompasses four activities that serve to attract visitors to the District and contribute over time to the overall development of the District.	Yes
10.	Agencies	O	Yes. Through the LTP	Yes	This activity aims to facilitate community access to government services. Council currently acts as an agency for the Automobile Association, including provision of driver licensing services. Council has looked at alternatives to delivering this service but this is the only available option if the service is to be retained within the community.	Yes
Community Facilities						
11.	Aerodrome	O	Yes. Through the LTP	Yes	This activity facilitates leisure, business and recreational opportunities with an aviation focus. Also provides a facility for locally based commercial activities.	

Document No: 320882

File No: 037/049

Report To: Council Meeting**Meeting Date:** 10 December 2013**Subject:** **Review of Revenue and Financing Policy - Effect of Capping the UAGC resulting in Annual Adjustment between UAGC and General Rate (s.101 Local Government Act 2002)****Purpose of Report**

- 1.1 The purpose of this business paper is to report on the effect of:
- a) Capping the Uniform Annual General Charge (UAGC) at a level considered to be 'fair and equitable'; and
 - b) the adjustment made between the UAGC and the General Rate, as provided for in Section 101(3)(b) Local Government Act 2002.

Background

- 2.1 In September 2011 Council held a series of workshops in which it reviewed the Revenue and Financing Policy (RFP) - (previously adopted in 2009 as part of the review of the 2009-2019 LTP).
- 2.2 When reviewing the RFP Council followed the policy requirements of the LGA 2002 and the prescribed '3-step' process in order to determine how costs should be shared and what funding tools should be selected.
- Step 1 allowed for costs to be allocated on the basis of the 'beneficiary pays' or 'exacerbator pays' principle.
 - Step 2 allowed for cost allocations (made in Step 1) to be modified to accommodate considerations of fairness, equity, transitional impacts and Council policies. Included in the matters considered during Step 2 were:
 - a) the 30% limit on the UAGC
 - b) the likely impact of the mix of funding sources on the elderly and others on fixed incomes – i.e. 'affordability' issues
 - c) current and projected economic conditions
 - d) whether increased charges will act as a barrier to the accessibility of some services
 - e) the impact of the roading 'catch-up' rate
 - f) the financial effects of new or upgraded community facilities – e.g. water and sewerage systems
 - g) possible introduction of new rating areas surrounding Piopio and Te Kuiti
 - h) incentives for Youth programmes
 - i) alternative funding for tourism and economic development activities

j) application of 'separately used or inhabited part' (SUIP) of rating units

- Step 3 allowed for the selection of appropriate funding tools. (**N.B.** This last step is subject to change once Council has considered the financial impact of Steps 1 and 2).

2.3 In establishing its RFP, Council gave consideration to the current and future economic, social, environmental and cultural well-being of the community in addition to the economic principles relating to cost sharing in accordance with Section 101(3)(b) LGA 2002.

2.4 In accordance with s.101(3)(a) LGA 2002 Council also considered:

- The community outcomes to which each activity primarily contributes
- The distribution of benefits between the community as a whole, any identifiable part of the community, and individuals
- The period in or over which those benefits are expected to occur
- The extent to which the actions or inaction of particular individuals or a group contribute to the need to undertake an activity
- The costs and benefits, including consequences for transparency and accountability, of funding an activity distinctly from other activities.

2.5 Since that review took place the Local Government Act 2002 Amendment Act 2012 has been introduced and references to the four well-beings have been removed. Section 101(3)(b) has been amended as follows:

The funding needs of the local authority must be met from those sources that the local authority determines to be appropriate, following consideration of 'the overall impact of any allocation of liability for revenue needs on the community.'

2.6 Taking into account Council's previous consideration of its Revenue and Financing principles, as detailed above, and the subsequent amendment to the LGA 2002 (para 2.5 above) it is considered timely that decisions made during the 2011 review of the Revenue and Financing Policy be revisited, in particular:

- the 'setting' of the UAGC at a level that complies with the requirement to not exceed the 30% limit on the UAGC; and
- the subsequent adjustment from the UAGC to the General Rate, made to set the UAGC at a level that is considered as fair as possible to **all** ratepayers, in consideration of the principles of affordability and sustainability of rates.

Commentary

3.1 Over the last six financial years (i.e. 2008/09 to 2013/14 inclusive) the total rates levied by Council have increased by **\$6.121 million** (57%). During that time, **\$2.015 million** was adjusted from the UAGC onto the General Rate (s.101 adjustment) – refer following table.

3.2 The level of the UAGC increased by **\$24.00** (3.8%) per rating unit during that time.

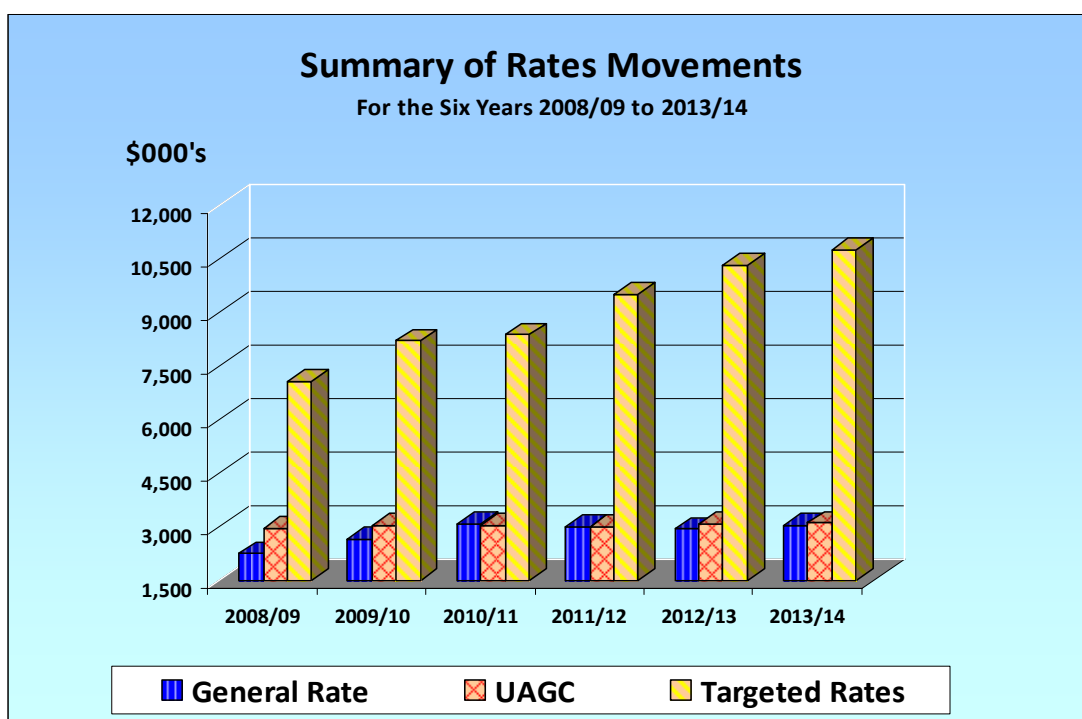
3.3 The table below also shows that the s.101 adjustment has increased substantially since the last RFP review in 2011. For the 2013/14 year this adjustment was close to \$900,000 resulting from capping the UAGC at \$650.

	Rates	\$ Increase	% Increase	s.101 Adj	UAGC
2007/08	10,728,000				
2008/09	12,233,000	1,505,000	14.02%	70,690	626.00
2009/10	13,843,000	1,610,000	13.16%	230,000	626.00
2010/11	14,451,000	608,000	4.39%	28,000	639.00
2011/12	15,489,000	1,038,000	7.18%	-	633.00
2012/13	16,320,000	831,000	5.37%	799,231	650.00
2013/14	16,849,000	529,000	3.24%	887,000	650.00
		\$ 6,121,000	57.06%	\$ 2,014,921	

3.4 The following tables include the total General Rates and UAGC levied in each of the last six financial years **AFTER** the s.101 adjustment has been made.

3.5 During that period the increase in General Rate has been much higher than the increase in UAGC. However, it needs to be reiterated that 'capping' the UAGC has been a planned response of Council for rates affordability reasons.

3.6 **It is important that the effect of the adjustments between the two rate types (i.e. UAGC and General Rates) is recognised.**



	General Rates	UAGC	Targeted Rates	Total All Rates
2007/08 #	5,020,000	1,984,000	3,724,000	10,728,000
2008/09 *	2,244,000	2,934,000	7,055,000	12,233,000
2009/10	2,633,000	3,032,000	8,178,000	13,843,000
2010/11	3,060,000	3,040,000	8,351,000	14,451,000
2011/12	2,993,000	2,999,000	9,497,000	15,489,000
2012/13	2,929,000	3,079,000	10,312,000	16,320,000
2013/14	3,021,000	3,098,000	10,730,000	16,849,000
\$ Increase/-Decrease	777,000	164,000	3,675,000	4,616,000
% Increase/-Decrease	34.6%	5.6%	52.1%	37.7%
# 2007/08 line provided for comparative purposes only				
* In 2008/09 the Roding Rate was moved from General Rates to Targeted Rates				

Effect of Maintaining UAGC at Current Level

- 4.1 If we were to use the 2014/15 (Year 3) forecast for rates as per the 2012-2022 LTP, the assumed total rates requirement for next rating year will be \$18.79 million which is an increase of \$1.937 million (or 11.5%) on the total rate requirement approved for 2013/14 – refer table below.
- 4.2 Of the \$18.79 million total rates, \$12.11 million relates to targeted rates for water, sewerage, roads, solid waste, stormwater, etc with the remaining \$6.68 million relating to the UAGC and General Rates (combined).
- 4.3 If the UAGC remains at \$650.00 (incl GST) per rating unit then Council would be levying a similar amount for the UAGC to that levied in total in 2013/14 – i.e. \$3.098 million, assuming the number of separately used and inhabited units attracting the UAGC remains at 5,481.
- 4.4 This would then require the General Rate to be \$3.58 million in 2014/15 which is an increase of approximately **\$559,000** on the 2013/14 General Rates revenue of \$3.021 million. Since the UAGC is the same as in 2013/14 year, the increase in General Rate of \$559,000 is the amount of the s.101 adjustment required in 2014/15 year from the UAGC to the General Rate.
- 4.5 This is still a substantial adjustment, although it is lower than the last two years.
- 4.6 Please note that the core assumption in calculating the amount of adjustment required is that the total rates requirement for 2014/15 will be the same as that projected in the LTP, which of course might not be the case.

4.7 By way of explanation for the reduced s.101 adjustment (compared to 2013/14):

The table below shows that for the 2014/15 year, targeted rates form the largest component of the total rate increase, with lesser increases predicted for the combined General Rates and UAGC – hence the smaller s.101 adjustment requirement than in previous years.

	General Rate & UAGC	Targeted Rates	Total All Rates
Total Forecast Rate Requirement (2012-2022 LTP)	6,678,000	12,108,000	18,786,000
<u>Deduct:</u> Total Rates Approved for 2013/14	- 6,119,000	- 10,730,000	- 16,849,000
\$ Forecast Adjustment (based on LTP Rate Requirement)	559,000	1,378,000	1,937,000
% Forecast Adjustment (based on LTP Rate Requirement)	9.1%	12.8%	11.5%

Effect of Increasing UAGC from Current Level

- 5.1 Based on the current number of rating units (SUIPs) attracting a UAGC, every \$10.00 increase in the current UAGC will generate an additional **\$54,810** from that funding source. In other words, if the UAGC was increased to say \$660.00 then under the example given above the s.101 adjustment of \$559,000 would reduce to \$501,190.
- 5.2 When Council considered its rates requirement for both the 2012-2022 LTP and the 2013/14 budgets, considerable thought was given to the 'rates affordability' principle and after taking into account all other principles required of local authorities under section 14 of LGA 2002 (e.g. taking account of the community's interests and giving effect to identified priorities and outcomes), it was eventually agreed that the UAGC at \$650.00, (although at the high end of uniform charges), was tolerable for all ratepayers (urban and rural alike) as an equal contribution to those services provided by Council with a high element of public good.
- 5.3 Had Council **not** agreed to the s.101 adjustment of \$887,000 in the 2013/14 financial year, the UAGC would have increased by \$186.00 to **\$836.00** (or 28.6%). This would have correspondingly reduced the General Rates requirement by \$887,000.
- 5.4 The result of this would have been a shift in the rating incidence between properties at varying levels (as determined by the capital value of individual properties).
- 5.5 The effect on individual properties under this scenario is illustrated in the following table, and in the rates examples of indicative properties attached to and forming part of this business paper.

	Capital Value	General Rates		Increase/	Add	Total
	\$	With s.101 Adj	Without s.101 Adj	(Decrease)	Increase in UAGC	Increase/ (Decrease)
Te Kuiti Residential	170,000	208	147	(61)	186	125
Te Kuiti Commercial	255,000	312	220	(92)	186	94
Te Kuiti Wider Rating Area	630,000	770	544	(226)	186	(40)
Waitomo Village Commercial	990,000	1,210	855	(355)	186	(169)
Benneydale Residential	44,000	54	38	(16)	186	170
Piopio Residential	127,000	155	110	(45)	186	141
Piopio Wider Rating Area	365,000	446	315	(131)	186	55
Mokau Residential	270,000	330	233	(97)	186	89
Drystock Rural	3,075,000	3,759	2,655	(1,104)	186	(918)
Dairy Farm Rural	5,550,000	6,784	4,792	(1,992)	186	(1,806)

- 5.6 **Had Council opted to levy the maximum UAGC allowable** (i.e. up to the 30% 'cap') in the 2013/14 financial year, the UAGC would have increased by \$309.00, from \$650.00 to **\$959.00** per rating unit (or 47.5%).
- 5.7 This would have resulted in total UAGC's of **\$4,570,000**, an increase of \$1,472,043 on the UAGC approved and levied for 2013/14. The General Rate would have reduced by a similar amount, but in doing so, would have altered the 50/50 funding 'balance' (between the UAGC and the General Rate (as per the Revenue and Financing Policy)) to be weighted unevenly towards the UAGC.
- 5.8 The effect of that increase on individual ratepayers would have resulted in a **significant** shift in the incidence of the level of rating between individuals and groups of ratepayers.
- 5.9 Council did not consider that to be a 'fair and equitable' funding allocation to **all** its ratepayers.
- 5.10 Neither of the above options was therefore considered as tenable and Council elected to retain the UAGC at \$650.00.

Conclusion

- 6.1 The current arrangement to 'cap' the level of the UAGC and adjust the rates requirement between the UAGC and the General Rates in essence creates 'de facto' funding allocations. It is advisable therefore, that the arrangement is regularly reviewed, amended where necessary and then formalised.
- 6.2 This is especially important because the adjustments are undertaken at a high level (for the purpose of the annual rates strike) which creates anomalies in the LTP and Annual Plan documents as the adjustments are **not** reflected in rates disclosed in individual cost of service statements.
- 6.3 It needs to be highlighted again that Council has undertaken this arrangement in the past for compelling reasons of equitable funding arrangements for all groups of ratepayers and rates affordability and sustainability of the communities.**

Recommendation

- 7.1 If Council wishes to review its approach of 'balancing' the UAGC, it would need to review the Revenue and Financing Policy (RFP) in its entirety which is an extensive exercise. It will involve among other aspects, revisiting the current funding allocations for **all** activities as those allocations do not reflect, in most cases, the effect of the s.101 adjustment between the UAGC and General Rates.
- 7.2 Council, of course still has the option of revisiting the level of the UAGC when it works through the draft budgets for the 2014/15 Exceptions Annual Plan.
- 7.3 A review of the RFP is already included with the review of the 2015-2025 LTP which will take place during the 2014/15 financial year. There is little, if anything to be gained, by undertaking a full review of the RFP during 2013/14 for the purpose of the 2014/15 budgets.
- 7.4 It is recommended therefore that for the purpose of preparing the draft 2014/15 budgets and Annual Plan that the UAGC remain at \$650.00.

Suggested Resolutions

- 1 The business paper on the Effect of Capping the UAGC resulting in Annual Adjustment between UAGC and General Rate (s.101 Local Government Act 2002) be received.
- 2 The UAGC remain at \$650.00 (incl GST) per rating unit for the purpose of preparing the draft 2014/15 budgets and Annual Plan.



C.E. (KIT) JEFFRIES
GROUP MANAGER – CORPORATE SERVICES

25 November 2013

- Attachments:
1. 2013/14 Rates Examples with s.101 LGA 2002 Adjustment
(doc #321218)
 2. 2013/14 Rates Examples without s.101 LGA 2002 Adjustment
(doc #321218)

2013/2014 - Rates Examples (With s.101 Adjustment)

(Including GST)

Capital Value \$ as at Sep 2012	Te Kuiti Residential 170,000 2013/2014	Te Kuiti Commercial 255,000 2013/2014	Te Kuiti Wider Rating Area 630,000 2013/2014	Waitomo Commercial 990,000 2013/2014 (Two parts)	Benneydale Residential 44,000 2013/2014	Piopio Residential 127,000 2013/2014	Piopio Wider Rating Area 365,000 2013/2014	Mokau Residential 270,000 2013/2014	Drystock Rural 3,075,000 2013/2014	Dairy Farm Rural 5,550,000 2013/2014 (Two Parts)
Uniform Annual General Charge (UAGC)	650	650	650	1,300	650	650	650	650	650	1,300
General Rate	208	312	770	1,210	54	155	446	330	3,759	6,784
District Wide Rooding Rate	371	557	1,376	2,162	96	277	797	590	6,716	12,121
Targeted Services Rate (Urban)	187	187	187	-	-	-	-	-	-	-
Targeted Services Rate (Rural)	-	-	-	70	35	35	35	35	35	70
District Development Rate - Commercial	-	68	-	265	-	-	-	-	-	-
District Development Rate - Rural Business	-	-	-	-	-	-	-	-	127	230
Subsidy Rate for Te Waitere Sewerage	4	4	4	4	4	4	4	4	4	4
Subsidy Rate for Benneydale Sewerage	5	5	5	5	5	5	5	5	5	5
Subsidy Rate for Mokau Water	13	13	13	13	13	13	13	13	13	13
Stormwater Urban Fixed Charge	150	150	-	-	-	-	-	-	-	-
Stormwater Urban Capital Value	76	114	-	-	-	-	-	-	-	-
Stormwater (Rural)	-	-	12	24	12	12	12	12	12	24
Water Supply	501	501	-	-	1,400	899	-	1,400	-	-
Sewerage	900	684	-	-	1,100	1,100	-	-	-	-
Piopio Wider Rating Area - Sewerage	-	-	-	-	-	-	9	-	9	-
Piopio Retirement Village Contribution	-	-	-	-	-	21	21	-	21	-
Te Kuiti Trade Waste Contribution	39	39	39	39	39	39	39	39	39	39
Solid Waste Management - District	100	100	100	200	100	100	100	100	100	200
Solid Waste Collection & Recycling	70	70	95	-	-	161	-	188	-	190
Proposed Total Rates 2013/14	3,274	3,454	3,252	5,292	3,508	3,471	2,131	3,366	11,490	20,982
Total Rates (Actual) 2012/13	3,086	3,259	3,041	4,995	3,427	3,465	2,063	3,165	12,461	17,845
Change (\$)	189	195	210	297	81	5	69	201	(971)	3,138
Change (%)	6.1%	6.0%	6.9%	5.9%	2.4%	0.2%	3.3%	6.4%	-7.8%	17.6%

2013/2014 - Rates Examples (Without s.101 Adjustment)

(Including GST)

Capital Value \$ as at Sep 2012	Te Kuiti Residential 170,000 2013/2014	Te Kuiti Commercial 255,000 2013/2014	Te Kuiti Wider Rating Area 630,000 2013/2014	Waitomo Commercial 990,000 2013/2014 (Two parts)	Benneydale Residential 44,000 2013/2014	Piopio Residential 127,000 2013/2014	Piopio Wider Rating Area 365,000 2013/2014	Mokau Residential 270,000 2013/2014	Drystock Rural 3,075,000 2013/2014	Dairy Farm Rural 5,550,000 2013/2014 (Two Parts)
Uniform Annual General Charge (UAGC)	836	836	836	1,672	836	836	836	836	836	1,672
General Rate	147	220	544	855	38	110	315	233	2,655	4,792
District Wide Roading Rate	371	557	1,376	2,162	96	277	797	590	6,716	12,121
Targeted Services Rate (Urban)	187	187	187	-	-	-	-	-	-	-
Targeted Services Rate (Rural)	-	-	-	70	35	35	35	35	35	70
District Development Rate - Commercial	-	68	-	265	-	-	-	-	-	-
District Development Rate - Rural Business	-	-	-	-	-	-	-	-	127	230
Subsidy Rate for Te Waitere Sewerage	4	4	4	4	4	4	4	4	4	4
Subsidy Rate for Benneydale Sewerage	5	5	5	5	5	5	5	5	5	5
Subsidy Rate for Mokau Water	13	13	13	13	13	13	13	13	13	13
Stormwater Urban Fixed Charge	150	150	-	-	-	-	-	-	-	-
Stormwater Urban Capital Value	76	114	-	-	-	-	-	-	-	-
Stormwater (Rural)	-	-	12	24	12	12	12	12	12	24
Water Supply	501	501	-	-	1,400	899	-	1,400	-	-
Sewerage	900	684	-	-	1,100	1,100	-	-	-	-
Piopio Wider Rating Area - Sewerage	-	-	-	-	-	-	9	-	9	-
Piopio Retirement Village Contribution	-	-	-	-	-	21	21	-	21	-
Te Kuiti Trade Waste Contribution	39	39	39	39	39	39	39	39	39	39
Solid Waste Management - District	100	100	100	200	100	100	100	100	100	200
Solid Waste Collection & Recycling	70	70	95	-	-	161	-	188	-	190
Proposed Total Rates 2013/14	3,399	3,548	3,212	5,309	3,678	3,611	2,186	3,455	10,572	19,362
Total Rates (Actual) 2012/13	3,086	3,259	3,041	4,995	3,427	3,465	2,063	3,165	12,461	17,845
Change (\$)	314	289	170	313	251	146	124	290	(1,888)	1,517
Change (%)	10.2%	8.9%	5.6%	6.3%	7.3%	4.2%	6.0%	9.2%	-15.2%	8.5%

Document No: 321489**File No:** 009/001/1**Report To: Council****Meeting Date:** 10 December 2013**Subject: Adoption of the ALGIM Toolkit T2 Retention and Disposal Schedule for Records Management**

Purpose of Report

- 1.1 The purpose of this business paper is to request Council to adopt the ALGIM Toolkit T2 Retention and Disposal Schedule for the management of records within the Waitomo District Council (WDC) environment.

Local Government Act S.11A Considerations

- 2.1 There are no Local Government considerations to report.

Background

- 3.1 As part of good record keeping practice, Archives New Zealand states that the disposal of non-current records should be planned and regularly implemented and that organisations must have policies and procedures for the disposal of records.
- 3.2 Presently at WDC, we do not have any Retention and Disposal processes or procedures that we actively practice. This has resulted in filing and archive rooms becoming filled to capacity, highlighting the urgent need for off-site storage and the appraisal and disposal of non-current files.

Commentary

- 4.1 Attached to and forming part of this business paper is a copy of the ALGIM Toolkit T2 Retention and Disposal Schedule for Records Management and a draft copy of the 'Retention and Disposal of Documents' Records Management Policy (for Council's consideration).
- 4.2 In order to purge Council's files, the first step is for Council to adopt the ALGIM Toolkit T2 Retention and Disposal Schedule for Records Management. The Chief Archivist must then be sent a Notification Letter confirming this adoption. The Chief Archivist will send an acknowledgement letter in response to the notification.
- 4.3 This acknowledgement letter will give us the authority to use the ALGIM Toolkit as a reference to dispose of the specific classes as set out in the ALGIM schedule.

Recommendation

- 5.1 As part of Records and Archiving Requirements, it is recommended that Council adopt the ALGIM Toolkit T2 Retention and Disposal Schedule for Records Management.

Suggested Resolutions

- 1 The business paper on the Adoption of the ALGIM Toolkit T2 Retention and Disposal Schedule for Records Management be received.
- 2 That the Chief Archivist is notified of the adoption of this Schedule, allowing the Retention and Disposal process of Document Management to commence.



KIT JEFFRIES
GROUP MANAGER – CORPORATE SERVICES

28 November 2013

- Attachment:
- 1 ALGIM Toolkit T2 Retention and Disposal Schedule for Records Management
 - 2 Draft copy of the 'Retention and Disposal of Documents' Records Management Policy (for Council's consideration)

Waitomo District Council

DRAFT - Records Management Policy

‘Retention and Disposal of Documents’



Reviewed:

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1. OVERVIEW

1.1. Introduction

This document contains the policy on the retention and disposal of documents within the Waitomo District Council (WDC) environment. This policy is to regulate the retention and disposal of documents within WDC in accordance with best practices and principles based on the ALGIM Toolkit T2 Retention and Disposal Schedule.

1.2. What is a Retention and Disposal Schedule?

Appraisal is the formalised process of determining how long records are kept and what is their eventual disposition either destruction or permanent retention in an archive). Archives New Zealand defines a Disposal Schedule as: "A systematic listing of records created by an organisation or agency which plans the life of these records from the time of their creation to their disposal. A disposal schedule is a continuing authority for implementing decisions on the value of records specified in the schedule."

A Retention and Disposal Schedule:

- Identifies classes or types of records (including, in the case of Local Authorities, Local Government Schedule records) and assigns retention periods and disposal requirements to the classes.
- Provides a timetable that sets out what happens to records over time
- Enables retention decisions to be made quickly over a range of records, reducing the need for appraisal of each and every individual series of files or of each document
- Assists in the effective management of records once they have become inactive.

1.3. Purpose of the Retention and Disposal Schedule

- To ensure that the authority's non-current records are efficiently maintained, and legal obligations for records retention are complied with
- To ensure that the non-current records of a local authority are safely stored and available to local authority staff, so that the local authority can perform its work in a timely and informed fashion
- To ensure that the records of permanent value to the local authority and its community are preserved
- To ensure that the local authority retains those records that are essential to on-going business requirements
- To facilitate effective use of financial and staff resources by ensuring that only necessary information is maintained by a local authority and accessed by staff
- To ensure the effective on-going management of records storage in the authority. So that the authority's responsibilities for any costs associated with records storage are clearly identified and accurately apportioned.

1.4. Person Responsible

Records Officer

1.5. Reporting To

Group Manager – Corporate Services

1.6. Review Date

As required, but not less than once every 3 years.

1.7. Definitions

1.8. Related Documents

- ALGIM – Information Management Toolkit – T2: Retention and Disposal

- T2 ALGIM IM Toolkit Retention and Disposal Schedule:
<http://www.algim.org.nz/Global/IM%20Toolkit%20Documents/Templates/Tools%20and%20Technology/T2%20Appendix%20A%20Retention%20and%20disposal%20schedule%202007.xls>
- Letter to the Chief Archivist - DRAFT Re: Permission for Document Disposal (DOC # 321397)
- WDC - Internal Destruction Authority Form - Retention and Disposal (DOC# 320081)
- Archives New Zealand - Fact Sheet F11: Local Authority Disposal
- Archives New Zealand - Fact Sheet F9: Methods of Destruction
- Archives New Zealand - Recordkeeping Standard S9: Disposal Standard
- Archives New Zealand – Introduction to the General Disposal Authority 6: Common Corporate Services

2. DETERMINING WHEN A RECORD IS NON-CURRENT

The retention period only applies once the record has become non-current, or in-active.

There are triggers that determine when the retention periods and disposal recommendations suggested can be applied to the records, such as when the file is closed or when an activity is complete.

Potential trigger point for records to become inactive will depend upon the activities and transactions they record. Some typical trigger points for change in status are:

- Project completed
- End of financial year
- Policy approved/signed off
- Working group wound up
- End of calendar year
- End of specified period of time for which the record had been added to
- Property is sold or lease expires and is not renewed
- Building is demolished
- Contract expires and is not renewed
- Licence expires and is not renewed
- Litigation case is heard, a judgement is made and the appeal period is over
- Employee has left employment
- Vacancy is filled
- Physical item (e.g. car) is sold, disposed of, or otherwise written off.

In the case of hard copy files, where file parts are added as the file increases in size, it is acceptable to determine that a physical file part becomes non-current when it is full and has been closed.

3. IMPLEMENTING DISPOSAL

There are a number of possible disposal actions including:

- Transferring control of the record;
- Selling it;
- Altering it; - Alteration of a record includes any annotating or deleting the record's metadata or information on a file.
- Destroying it; or
- Discharging it. – Discharging means cancelling its official status, for example where personal records are given back to the people the record is about.

3.1 Destruction Methods

The destruction process needs to be:

- Irreversible;
- Secure; and
- Documented

Care needs to be taken when destroying sensitive material to make sure there is no risk of accidental or unauthorised access to the records. Archives New Zealand recommends the following destruction methods:

- *Shredding* reduces paper to fine ribbons and may be used for most documents, but is not suitable for very sensitive information.
- *Pulping* reduces paper to pulp and is often used in recycling. It is appropriate for highly sensitive records.
- *Burning* in an incinerator or in a secure facility is also suitable for sensitive records.
- *Dry maceration* reduces most materials to fine particles. This is appropriate for highly secure material.

For other media:

- *Cutting, crushing, shredding or chemically recycling* can be used for magnetic and optical media, videos, film and microform.
- *Reformatting* can be used on most electronic media including computer hard drives, but is not suitable for secure data.

The processing staff member must prepare a memo for approval by the Group Manager – Corporate Services consisting of the following;

- Total estimated Cost of Disposal
- Disposal method to be employed
- Proposed time frames of Disposal process
- Schedule of Device(s) to be disposed

3.2 Documentation

A record of what has been destroyed should be kept, including:

- What disposal action was taken;
- When disposal was carried out;
- Which disposal authority applied;
- Which records were destroyed; and
- Who took the action and their authorisation.

4. ACCEPTANCE AND ADOPTION

This policy has been approved by the Chief Executive (or delegated staff) and shall be in force as of ____/____/____ until further notice.

Approved by: _____

Signature: _____

Position: _____

Date: ____/____/____



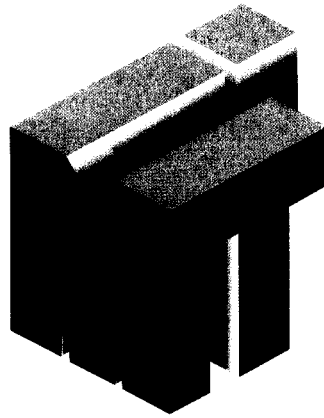
Tools and Technology

ALGIM



T2
Retention and
Disposal Schedule

Retention and
Disposal Schedule



T2 Retention and Disposal Schedule Guidelines

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1 Introduction

The Retention and Disposal Schedule module forms part of the Information Management Toolkit.

The Retention and Disposal Schedule module (T2) is part of the Tools and Technology set of modules, as illustrated below.

Module Group: Tools and Technology

Module number: T 2

Module name: Retention and Disposal Schedule

The Toolkit Strategy Overview provides the full outline on the individual modules.

Change Control

Date/version	Details of changes
2006 v0.1	General formatting and grammatical changes
	Reviewed and revised reference urls
2006 v0.2	Revised section 7.1.1

1.1 How to Use this Module

This module is designed to assist local authority information management staff in applying retention and disposal to their non-current (or inactive) records.

It provides:

- A Retention and Disposal Schedule that can be completed by information management staff and then used to manage non-current records
- Guidelines on the Schedule's development, how to complete the Schedule, and how to implement the Schedule



1.2 The Local Government Schedule is not replaced by this Schedule

This Toolkit Schedule DOES NOT replace the Local Government Schedule or the Explanatory Notes to the Schedule.

The term Local Government Schedule (LGS) is used to refer to the classes of protected local archives listed in the Gazette Notice published by the Chief Archivist under s.256(1) of the Local Government Act 1974, and now authorised under s.41 of the Public Records Act 2005. The current Gazette Notice was published on 8 December 1998. The Local Government Schedule Explanatory Notes are published by and available from Archives New Zealand.

The retention and disposal of local government records is governed by the list of protected records set out in the Local Government Schedule. The LGS lists records that may not be destroyed without the permission of the Chief Archivist. Other legislation that applies to local authorities may also contain provisions relating to the retention of information.

Individual local authorities may also have developed retention and disposal schedules based on the LGS that have been approved by the Chief Archivist.

This Toolkit Schedule has used the LGS, the Archives New Zealand General Disposal Schedules for Finance, Human Resources and General Housekeeping records, and relevant legislation to develop a more detailed retention and disposal schedule that can be used by local authorities that have purchased the Toolkit.

It does not supersede the LGS. It is intended to complement the LGS and the Explanatory Notes.

The Explanatory Notes to the LGS should still be referred to when using the Toolkit Schedule, as they clarify the LGS classes and provide valuable discussion of retention and disposal issues.

1.3 Notification to the Chief Archivist is required

Each local authority that has purchased the Toolkit must send a notification to the Chief Archivist before they may apply the Toolkit Schedule.

The Chief Archivist will send an acknowledgement letter in response to the notification.

The template notification letter is in Appendix T2-A of this module.



2 Scope of the module

This module provides:

- A Retention and Disposal Schedule based on the LGS and which enables the Chief Archivist to identify specific protected records when determining whether to give approval for their destruction
- Guidelines for the completion of the Schedule where completion by users is required
- Guidelines for the application and implementation of the Schedule

2.1 Scope of the Toolkit Retention and Disposal Schedule

2.1.1 Coverage

This Schedule is intended to cover records in any format and in all kinds of recordkeeping systems created by local authorities.

For example:

- Electronic records
- Paper records
- Formal filing systems
- Informal filing systems
- Records of merged, preceding, abolished or other authorities held by the authority
- Databases
- Photographs
- Videos
- Audio records
- Film
- Microform (microfiche and microfilm)

2.1.2 Fields requiring completion

Not all fields in the Schedule have entries, particularly those for 'retention period until disposal' and 'record becomes non-current'. This is because in some cases the working party that developed the Toolkit Schedule decided that this information would have to be determined in each local authority by consultation with the users.

No entry in the 'retention period until disposal' and 'record becomes non-current' cells indicates that these cells must be populated by local authority records managers.

A discussion of how to determine retention periods and when the record becomes non-current is in Section 6 of these guidelines.



2.1.3 Records to be appraised

Retention and disposal schedules are best applied to records whose content can be predicted. Whilst it is hoped that all records created by local authorities have been covered in this Schedule, there will be some records for which it is not possible to determine a disposal recommendation, without reviewing the records; for example, the records of relationships with other agencies may include information of an ephemeral or a permanent nature. Such records are identified in the Schedule, but have a disposal recommendation of 'appraise'.

This means that the information management staff of the local authority must appraise these records, or arrange to have them appraised.



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4 What is a Retention and Disposal Schedule?

4.1 Principles and general method of application

Appraisal is the formalised process of determining how long records are kept and what is their eventual disposition (either destruction or permanent retention in an archive). Archives New Zealand defines a Disposal Schedule as: “A systematic listing of records created by an organisation or agency which plans the life of these records from the time of their creation to their disposal. A disposal schedule is a continuing authority for implementing decisions on the value of records specified in the schedule.”

A Retention and Disposal Schedule:

- Identifies classes or types of records (including, in the case of local authorities, Local Government Schedule records) and assigns retention periods and disposal requirements to the classes
- Provides a timetable that sets out what happens to records over time
- Enables retention decisions to be made quickly over a range of records, reducing the need for appraisal of each and every individual series of files or of each document
- Assists in the efficient management of records once they have become inactive

4.2 Purpose of the Retention and Disposal Schedule

- To ensure that the authority’s non-current records are efficiently maintained, and legal obligations for records retention are complied with
- To ensure that the non-current records of a local authority are safely stored and available to local authority staff, so that the local authority can perform its work in a timely and informed fashion
- To ensure that the records of permanent value to the local authority and its community are preserved
- To ensure that the local authority retains those records that are essential to on-going business requirements
- To facilitate effective use of financial and staff resources by ensuring that only necessary information is maintained by a local authority and accessed by staff
- To ensure the effective ongoing management of records storage in the authority, so that the authority’s responsibilities for any costs associated with records storage are clearly identified and accurately apportioned



5 Methodology used to develop the Schedule

5.1 Resources

The schedule was developed using:

- The Schedule to the Local Government Act and Explanatory Notes
- The Archives New Zealand General Disposal Authorities for Finance, Human Resources and General Housekeeping records
- Existing schedules from local authorities
- Existing classification structures from local authorities
- IM Toolkit Module F5 – Legislation Review
- IM Toolkit Module T1 – Records Classification System

It was reviewed by the working party, whose participants are listed in Section 4 of this document.

5.2 Design of the Schedule

The Schedule has the following fields and entries:

Field	Content
Record class	The retention and record class to which a record may belong.
Code	The reference code for the class.
Record type	The type of record – this entry will be either a particular record type or an activity.
Description	A description and some examples of the types of record to be found in the class/record type.
Disposal recommendation	What should happen to the record once it is non-current and its retention period is complete. Disposal does not mean destruction – it means disposition: ‘what happens to it’.
Record becomes non-current	The point at which the record becomes non-current, or inactive, and at which the retention period begins. See Section 6.3 below for a discussion of when a record becomes non-current.
Retention period until disposal	<p>The total period of time for which the record is kept after it has become non-current and before the final disposal action is applied.</p> <p>For records whose disposal is ‘Retain as archive’ this means retention period before transfer to the custody of your archives, or transfer to ‘archives’ storage as opposed to non-current storage, or transfer to an ‘archival format or medium in the case of electronic records.</p> <p>For records whose disposal is Destroy, this means retention period until destruction.</p>



Field	Content
Local Government Act schedule number or ANZ GDA	This column records the Local Government Act Schedule class to which this class/record/description relates, if there is one, and/or the Archives New Zealand General Disposal Authority number, if there is one. It is purely for reference purposes, or in case someone asks for the basis of the disposal decision.
Legislative requirement	Any legislation that applies to the class/record and its disposal and retention periods. NOTE: Legislative requirements are only entered here if they specifically concern the retention and disposal of the record. For more information on legislative requirements see Module F5: Legislation Review.
Authority	The position (not the person's name) within the Local authority which has authority for the sign-off of disposal actions, e.g. Finance manager or Corporate Services Manager for financial records, etc.
Criteria	The code for the main appraisal criterion or criteria used to determine the disposal action. NOTE: Where an Archives New Zealand GDA class has been used, appraisal criteria are not entered. See Section 5.4 Appraisal criteria for a list of criteria codes.

5.2.1 Record classes, record types and descriptions

This Schedule is a class based schedule. It is not based upon a particular file classification structure, because not all local authorities have the same classification structure. It follows the LGS in grouping records together into record classes.

The record classes are designed around local authority functions or activities, rather than being based upon organisational structure, as organisational structures change more frequently than functions.

There is not a one-to-one relationship between the retention and disposal schedule classes and the top level headings in the records classification structure in module T1. The classes may reflect a high level heading in the Toolkit Records Classification Structure, or they may amalgamate several headings.

Some classes are not function-based but are in fact types of information, such as 'Corporate Routine' and 'Reference Material'. These types of information occur in most functions and activities and thus we decided to create specific classes for them to save repetition in the Schedule

Some classes are a direct reflection of the Local Government Schedule classes.

Detailed discussion of each record class and how to use it is in Section 8.2 of this document.

Within the record class, the record types are listed alphabetically. The record type field has entries mostly based upon activity within a function or upon information type. There may be several description entries under one record type.

The description field describes the types of records or information that is covered by the class and record type and provides some examples. The examples are not exhaustive and are intended as a guide, not an inclusive list.



5.2.2 Terminology

Where possible, the terms used in the Schedule to describe classes and record types have been mapped to the terms used in the Records Classification Structure.

5.3 Disposal recommendations

Disposal recommendations are the recommendations for what should happen to the record once it is non-current and its retention period is complete. Disposal does not mean destruction – it means disposition: “what happens to it”.

There are seven disposal recommendations in this Schedule:

Appraise	The disposal cannot be determined without examination of the records. The appraisal recommendations for the records must be approved by the Chief Archivist before disposal can take place. See Section 5.4 of these Guidelines for appraisal criteria.
Destroy	The record may be destroyed by an approved method once the retention period is complete.
Retain as archives	The record is of permanent value and should be transferred to local authority Archives, to archival storage or onto an archival storage medium or format once the retention period is complete.
Retain permanently	A specific disposal to be applied to property records which remain active and therefore technically cannot be described as archives.
Retain three copies as archives	A specific disposal to be applied to publications. The reason for retaining three copies is so that one may be used for reference, one for copying and the third is a master that is never accessed unless one of the others is damaged, lost or destroyed.
Sample	Sample the records to provide a representative set to become archives. See Section 7.11 of these guidelines for instruction on how to sample.
Select	Choose from the records a selection of the most exceptional to become archives. See Section 7.10 of these guidelines for selection criteria.



5.4 Appraisal criteria

The appraisal criteria used to determine the disposal recommendations for local authority records are:

Criteria for retention as archives:

- A1 Evidence of development of local authority policy, both operational and administrative.
- A2 Evidence of management, organisation and structure of the local authority.
- A3 There is a legal requirement to retain the records.
- A4 Evidence of legal rights or a legal transaction between the local authority and other parties.
- A5 Evidence of the authority's substantive functions and its interaction with its constituency and stakeholders in the performance of these functions.
- A6 There is a business or administrative requirement to retain the records. For instance, the authority might need to retain the records for future customer enquiries.
- A7 The records have historical or research value such as:
- Document a prominent person in city/region/country
 - Document a significant event for city/region/country
 - They are of genealogical or family history research interest
 - They are of social or technological history research interest
 - They are of environmental history research interest
 - They are the sole remaining records of a predecessor agency of the local authority
 - Present evidence of local authority involvement in or response to significant national and local issues
 - Present evidence of public input into significant local issues
- A8 Age of records (the Local Government Schedule requires retention of all records created prior to 1945 unless the Chief Archivist approves destruction).
- A9 The records have a public relations, exhibition or display value.
- A10 The records have intrinsic value in themselves, for instance because of their beauty or rarity.

Criteria for destruction

- D1 The records are routine administrative or 'housekeeping' records.
- D2 The records are routine operational records.
- D3 The information is available elsewhere in summarised form, in more usable form/format, or more complete form.
- D4 The records are duplicates or copies of originals already retained.
- D5 The records are rough drafts or working papers of final papers existing elsewhere.
- D6 The records are incomplete or illegible.



6 Completing the Schedule

It was not possible for the module developers and the working party to complete every field in the Schedule. Normally the development of a Retention and Disposal Schedule would include consultation with the users of the records, particularly to determine retention period before destruction, and to identify the point at which the records become non-current. This activity will still have to be carried out by users of the Toolkit Schedule for some entries in the Schedule.

6.1 Determining retention periods

Retention periods can be broadly separated into three types:

- Short term business need
- Medium term business need
- Permanent (for records of archival value)

Often the medium term can be confused with archival value because sometimes it can be a considerable period of time. For example, if information about an item of machinery must be retained for the life of the machine, that may be as long as 40 years.

The real distinction between medium term and permanently is the archival value of the record. If there is a business need to retain the record for a long period of time that is not the same as the record also having permanent value for evidential or historical reasons (i.e. meeting one or more of the appraisal criteria).

It is useful in a Retention and Disposal Schedule to standardise retention periods so that they are easy to apply and easy for users to understand. When consulting with users on retention periods it is also useful to offer them standard periods of time, rather than simply asking them – “How long do you need to keep the record?”

Because local authorities are large, complex and diverse organisations, even standardising the retention periods will still mean that there are several different periods to choose from within the broad short term or medium term periods.

The following retention periods and criteria for applying them are recommended:



Retention period	Criteria	Type of records typically applied to
Short term		
Three Months	Short term reference requirement, good practice to destroy	Unsolicited CVs Information about unsuccessful job applicant
One Year	Short-term reference requirement Superseded by next iteration Summarised in another record that is being retained for longer or is of archival value	Internal administration information
Two Years	Short-term reference requirement Superseded by next iteration Summarised in another record that is being retained for longer or is of archival value	Internal administration information
Seven Years	Longer-term reference requirement Risk management Audit/financial requirement Legal issue – e.g. limitation on action on expired contract	Standard financial documents such as invoices, ledgers, journals; etc Contracts not of archival value
10 years	Risk management	Records of audits
Medium term		
10-50 Years	Requirement for reference use remains over long period of time Legal requirement	Easement rights Renewable lease of local authority land

6.2 Retention periods for personnel records:

Those personnel records that are not being retained as archives should be destroyed after a period long enough to cover any administrative reasons for retention – e.g. for evidence of rights to long service leave, superannuation, and accident compensation. Summary records should be retained. If these records contain information sufficient for administrative use, then the record itself may be destroyed.

Some local authorities like to retain personnel records for the purposes of genealogical research. Retention for this reason should be considered only if the records hold useful information over and



above that in the summary record. Frequently personnel records do not hold material that adds to knowledge of the individual's life history.

Personal information that may potentially become part of a personal grievance action should be held for three years after the date in which the personal grievance was raised with employer.

6.3 Determining when a record is non-current

The retention period only applies once the record has become non-current, or in-active.

There are triggers that determine when the retention periods and disposal recommendations recommended can be applied to the records, such as when the file is closed or when an activity is complete.

Potential trigger points for records to become inactive will depend upon the activities and transactions they record. Some typical trigger points for change in status are:

- Project completed
- End of financial year
- Policy approved/signed off
- Working group wound up
- End of calendar year
- End of specified period of time for which the record had to be added to
- Property is sold, or lease expires and is not renewed
- Building is demolished
- Contract expires and is not renewed
- License expires and is not renewed
- Litigation case is heard, a judgement is made and the appeal period is over
- Employee has left employment
- Vacancy is filled
- Physical item (e.g. car) is sold, disposed of, or otherwise written off

In the case of hard copy policy or correspondence subject files, where volumes or parts are simply added as work continues, it is acceptable to determine that a physical volume or part becomes non-current when it is full and has been closed.

The key question to ask is: 'when are documents no longer added to this record?'

6.4 Determining the business authority

The 'business authority' field in the schedule identifies the position in the organisation that has some ownership over a particular class or classes of records, and therefore has the authority to approve the disposal recommendation to either destroy records or to transfer them to archival status.

It is useful if this authority is at a management or senior management level.



7 Applying the Schedule

7.1 Which is the official record?

Some local authorities will be using electronic document and records management systems (EDRMS) and will be considering destroying the original paper documents once they have been scanned, and applying the Schedule to the electronic records. Other local authorities will be retaining the paper records even though they are scanning them, and then will be asking – what is the official record? This is a discussion broader than simply the application of a Retention and Disposal Schedule, and must be considered in the context of the individual council's information management strategy. However, there are some points that should be made regarding the application of a schedule to 'official' records or to 'originals'.

It is the content and context and not the format of a record that matters in terms of retention, so that whether the record is in paper or electronic form is not the central consideration when applying a retention and disposal schedule.

Considerations of format play a part in ensuring the preservation of the record over time, not in determining its value for retention purposes. If a local authority is intending to maintain a record in electronic format and it is of permanent value, then it must ensure that that the record will remain accessible and complete over time. This means that databases and EDRMS must be built in such a way that their contents are migratable to new platforms over time without loss of content, context or metadata.

7.1.1 Digitising hardcopy originals and destroying the originals

If a local authority is considering digitising hard-copy originals, the requirements of the Electronic Transactions Act 2002 (ETA) must be met before source documents can be destroyed.

The Electronic Transaction Act provides that certain paper-based legal requirements may be met by using electronic technology that is functionally equivalent to those legal requirements (Part 1, s.3 Purpose).

Section 25 of the ETA states:

- (1) A legal requirement to retain information that is in paper or other non-electronic form is met by retaining an electronic form of the information if –
- a) the electronic form provides a reliable means of assuring the maintenance of the integrity of the information; and
 - b) the information is readily accessible so as to be usable for subsequent reference.

The Act defines maintenance of the integrity of the information as follows:

'the integrity of information is maintained only if the information has remained complete and unaltered, other than the addition of any endorsement, or any immaterial change, that arises in the normal course of communication, storage, or display. (Part 3 s. 17).

The Schedule to the Act lists enactments and provisions that are excluded from Part 3 – that is, where Part 3's provisions for the replacement of hard-copy information by electronic form do not apply. Some of these exclusions will apply to local authority records.

There is no legislative requirement for the Chief Archivist to approve retention of local authority



records in solely electronic form. However, Archives NZ strongly advises local authorities to ensure the provisions of the Public Records Act 2005 are met for the new digitised version of the records before source documents are destroyed. Records that are of archival value and that are protected records under section 41 of the PRA are records that should be maintained permanently. **This means the integrity and completeness of the electronic record must be maintained permanently, and the electronic record must continue to be accessible over time.**

This means that when electronic systems are upgraded, the protected records held in that format must be able to be migrated without loss of any information that provides content, context and completeness.

The Archives NZ Recordkeeping Framework identifies the organisational environment and business practices that should be in place in order to ensure that the integrity of the information is maintained once it is transferred to electronic format.

Any local authority considering the destruction of paper originals that have been digitised should consult the Electronic Transactions Act to ensure that the records are not created under enactments or provisions of enactments excluded from Part 3 of the ETA.

Archives New Zealand has developed a best practice standard for digitisation of analogue records. This standard will give local authorities practical advice on meeting the ETA requirements, including managing source documents and criteria for making disposal decisions.

The standard was issued in January 2007 and is available from Archives New Zealand: <http://www.archives.govt.nz/continuum/documents/publications/s6.pdf>

It is accompanied by a General Disposal Authority for Digitised original source records: <http://www.archives.govt.nz/continuum/documents/publications/gda5/>

7.1.2 Maintaining both electronic and paper copies of information

If a local authority is maintaining both electronic and paper copies of a record, then a disposal action of destruction applies to both formats. That is, just because one particular format is perceived to hold the 'original' or authoritative record, this does not mean that the same disposal action should not be applied to the same records in another format.

For example, an EDRMS holds electronic duplicates of paper documents such as correspondence about dog licensing, which are recommended for destruction. The paper records are destroyed; therefore the electronic duplicates should also be destroyed (removed from the EDRMS and deleted).

7.1.3 Microfilm and microfiche (microform)

Many local authorities will have microfilm or microfiche sets of some records. In some cases, the originals may have been destroyed. In others, the originals will have been retained and the microforms are used for reference purposes.

Where the originals have been destroyed, and the microform record is the only surviving form, then it must be treated as the authoritative record.



If the microform is simply a duplicate set, either for reference or as a disaster set, and the records are of permanent value, then consideration should be given to retaining both the microform and the paper originals. Frequently microform copies have been made because the originals are considered to be too damaged or fragile for reference use. If this is the case, then the microform should be retained as the reference set, but the originals should also be retained as the authoritative record.

Some local authorities are now considering digitising their microform records, so that access and use is easier. If the microforms are the only surviving form of a record of permanent value, then the same considerations as those of digitising paper originals apply, as discussed in 7.1.1 above.

If the microforms are a reference set and the originals are retained, then the digitised reference set could replace the microform reference set.

7.2 Rating and valuation records

Rating and valuation records provide evidence of property rights and are also useful for local historians and genealogists. In the past, when records were mostly in hard-copy format, the Rates Books could be retained as records of permanent value.

The Local Government (Rating) Act 2002 s.27 & s.37 defines the Rating Information Database (RID) and rates records that must be maintained by local authorities. Although the Act states that the records can be in written or electronic form, these days most if not all Councils hold this information in electronic format.

In some Councils the RID may have been designed so that when information is updated, it over-writes the existing information. If so, this provides a dilemma for the information manager in capturing this important information regularly. An annual snapshot will not capture all the changes in the database, but attempting to capture the changes every time one is introduced into the database may prove unworkable.

This Schedule recommends the approach taken by the Auckland City Archives, whereby following the rates strike, a special 'archives valuation' report is run from the database.

This rates strike report or post rates strike report or extract should contain the following information:

- Property Address
- Property Owners' names
- Assessment Number
- Certificate of Title Number
- Land Area (m²)
- Legal Description
- Current annual rates
- Valuation number
- Land value
- Value of improvement
- Description of improvement
- Capital value
- Ratable value



The Schedule also follows the Auckland City Archives practice in recommending the retention as archives of a copy of the general revaluation audit file. This is the report that is required to be sent to the Office of the Valuer General every three years following revaluation (Rating Valuations Rules, V.3 2003, s.7). It may be known in some local authorities as the OVG Property Audit file.

In addition, some of the registers that are required to be maintained by the Valuer-General (Rating Valuations Rules V.3 2002, s.4) are recommended to be retained as archives, although the Valuer-General only requires their retention for five years. The registers recommended to be retained are:

- Subdivision register
- Register of other value changes

The other registers prescribed by the Valuer General in s.4 and required to be retained for 5 years may be destroyed after this retention period. They are:

- Revaluation objection register
- Roll maintenance objection register

Another source of information that is of value over time is the 'field sheets' that some local authorities have received from Quotable Value. These 'field sheets' may be in card form, and contain the valuers' notes of details about the individual property. Some local authority archives report that these sheets are used for research far more frequently than the valuation roll information. The Schedule recommends the retention of this information, if it is held by the local authority.

7.3 Summary records

7.3.1 Reports to Council and Committees

In local authorities, much of the preliminary decision making process and policy advice is reported through to the elected members in full Council or in Committees, where final decisions are made or ratified. These reports then form part of the permanent record of Council and Committees – agenda, minutes, attachments and papers - which is retained as archives (class 28.2.1). These reports can be considered to be the summary records of some processes, such as the decisions on successful applications for Council funding for community projects. Where the Schedule lists summary records to be retained, and there are no registers, databases, or list-like summary records, consider the reports to Council and Committees and whether or not they qualify as the summary record. If they do so, then the 'official' set of Council meetings records can be considered to hold the summary record.

A copy of the report may also be kept by the business unit and it may be part of a more comprehensive record on the subject or activity. The copy kept by the business unit may be part of a record that belongs to another record class that is not required to be retained. Because the report is also part of the official meeting set the copy held by the business unit may be destroyed.

However, some report copies kept by the business unit will be part of records belonging to another record class that is required to be retained. For example a report to Council on a major contract tendering process will be in the Council meeting records, but there will also be a record of the contracting process that will include this report. In this case, it does not matter that in effect two copies of the same report are being kept, as they are each in different contexts – one showing the decision-making process of the elected Council, and the other providing a detailed record of the particular subject or activity.



7.3.2 Indexes and registers of records

These records are listed in the Information Management class (26.3.5). They may be indexes to and registers of particular kinds of records, such as subdivision plans, or indexes and registers to general correspondence files. Those that provide access to records that are being retained as archives should be kept to provide continuing access to the records once they become archives. Even if the records themselves no longer exist, or belong to a class of records recommended for destruction, the indexes and registers should still be retained. They provide a summary list of the types of records that have been created by the local authority. All formats of indexes and registers should be retained – index and register volumes, cards, or database records.

7.3.3 Registers and databases

Summary records, such as those held in registers or in databases, are often recommended for retention as archives. This is because a summary record may contain sufficient information for historical research purposes or for evidential purposes. The complete record of the activity or the transaction may not have much more informational value than the summary and, if in paper, could be of such quantity that it is not feasible to retain the whole record.

For example, it might be useful to retain a summary of all prosecutions or litigation carried out by the local authority. It is unlikely that the entire record of every prosecution would be considered to be of permanent value (e.g. those covering such things as parking infringements, noise, traffic etc) but a summary would provide sufficient information, and in fact be quicker to access, if a researcher were looking for a record of prosecutions brought by the council.

The same applies to the licensing of properties – a summary record of every licence issued to a property over time would be most useful and would provide a brief overview of the property's history, but would not entail the retention of quantities of information that is not of long-term value, such as some health or liquor licensing records.

In the past these summary records would have been created in registers, either for correspondence in general or relating to particular activities. Presently, these types of summary records are more likely to exist in local authority databases. However, the databases may not have been set up as record keeping systems, which ensure that information is retained and accessible over time. For example, a database that overwrites licensing details when a licence expires and is not renewed cannot be maintained over time as the archival record. What then must suffice is a summary report from the database captured in either paper or electronic format. This report should be created on a regular basis and in a format that will be accessible over time.

Because summary records are such a useful archival record, local authorities should consider ensuring that the databases they use to create summary records of activities, such as licensing, should be recordkeeping databases as well as record making databases. Guidelines for record keeping can be found in Archives New Zealand's Recordkeeping Framework . More detailed policies and standards can be found in the State Services Commission's NZ Government Data Management Policies and Standards .



7.4 Making database records accessible

There are several methods of making reports extracted from Council databases accessible electronically, for archival purposes:

- If the Council has a data warehouse that is accessible to users of the archives, the reports can be stored in the data warehouse. The reports should be written so that researchers can search on surname, street address, and/or roll number
- The reports can be saved in CSV (comma separated value) format and held electronically
- The CSV format reports can be exported into Excel spreadsheets

In all cases the report should be written so that the data is read only and all header and field details are retained.

The alternative is simply to print out the reports into hard copy, selecting the most appropriate field by which to sort before printing out. The hard copy will not be as easily searchable as an electronic report, but will ensure the retention of the data.

7.5 Records to which more than one disposal action applies

It sometimes happens that records may contain a mixture of some information that is scheduled for destruction and other information that is scheduled for retention as archives. An example of this is records of working groups or advisory committees which contain both the substantive documents (minutes, agendas, etc) and the administrative information (e.g. arranging venues and catering). In this case, the 'highest' disposal action applies – that is, the records should be retained as archives.

In the same manner, records that contain documents that have more than one retention period (e.g. three years for some documents and seven years for others) should have the highest retention period applied.

7.6 'Grandparent' dates

A 'grandparent' date is a date before which most if not all records should be kept, because records before this date are scarce. The LGS has a class for all records created before 1945, which may not be destroyed without permission of the Chief Archivist. The Toolkit Schedule also has this class.

The disposal recommendation for this class is to appraise the records, applying the recommendations from the classes to which the records would normally belong. However, the rarity of surviving items should be taken into account and decisions made with retention in mind. As with the other records recommended for appraisal, an appraisal report with recommendations must be sent to the Chief Archivist for approval before any records may be destroyed.

If the local authority has lost records through a disaster or other event after 1945, it should consider making the date of the event the 'grandparent' date, and then appraising the records as discussed above.

To quote the LGS: "If your organisation has lost substantial quantities of its records through natural or other disaster, you should not destroy further records predating that event".

7.7 Retaining some records from a class/type recommended for destruction

It is acceptable to retain permanently some records from a class that is recommended for destruction if their contents or subject fall outside the standard informational content of the typical records in that class. The Schedule's recommendations are designed around the *predicted* content of *typical* records. If there are some individual records that appear to fulfil the appraisal criteria for retention, then they should be retained.

For example, records of contracts to clean beaches or replace sand on beaches would normally be destroyed. However, the records of the contract from the Wellington City Council to replace the sand on Oriental Bay beach in 2003 concern an iconic Wellington beach and a major operation to replace all the sand, and the project raised some environmental concerns, so it might well be that this record is retained because the case it represents is not typical of the other records in this category and it is of more evidential and informational significance.

It is important in such a case to record the decision to retain, and to indicate why the records were considered to be out of the ordinary, so as to provide guidance for future archivists and information managers. However, this type of decision does not necessarily set a precedent for the wholesale retention of that particular class of records in the future, as it is based upon an exception to the general rule.

7.8 Applying the Schedule to existing records

It is easier to apply a schedule to well organised records systems than to poor records systems. This is because, even though the Schedule has defined classes and record types, the records must still be identified before the classes can be applied to them. For a model classification structure, see Module T1 – *Records Classification Structure*.

Records must be listed or in some way identified before the Schedule can be applied to them. Existing records management database reports or other existing lists can be used. If records have not already been listed, then they should be listed in such a way that their contents can be understood from the file or document title.

7.8.1 Inventory of records

Because the Schedule applies to records both within and outside the 'official' filing systems, it is sometimes useful to do an inventory of all existing records, especially if there are not existing lists, or the lists are not comprehensive.

Toolkit Module F3: Information Inventory Methodology discusses in detail the development of inventory plans, process and forms. Use this module to develop your inventory processes.

Steps to performing an inventory:

1. Determine the level at which you will create the inventory. It may be to item level for some types of records or at 'accumulation' level for others. For example, correspondence files must be listed file by file, but financial records such as accounts payable batches could simply be listed by box or shelf, so long as the date range and quantity were accurately provided
2. Design records inventory form, bearing in mind that different levels of description may be required



for different types of records

3. Use the form to gather information about type of record, volume, source, usage and other descriptive information
4. Perform a physical inventory of all possible records storage areas – file cabinets, shelves, basements, under stairs, in individual offices, storage rooms, odd corners

Once the inventory is completed, review it together with the Schedule and apply the Schedule classes to the lists of records. Section 8 below has a detailed discussion of the classes to assist in this process. Sections 7.10 and 7.11 below discuss the processes of selection and appraisal that must be used for some record types.

7.9 How to identify the retention and record class

- Ask these questions:
- What is the record called?
- What is the record about?
- What processes caused the record to be created or received?
- Who is using or will use the record?
- Look through the classes to see in what class the record belongs
- Then check the record types and descriptions to see which best describe the record. Use the detailed discussion of classes in Section 8 to assist you in this process.

7.10 Records recommended for selection

Selection of some records from a larger group of records is used when the records are of considerable quantity and may contain information of both a permanent and an ephemeral nature. When records are selected, not all records are retained, and the process is intended to capture specific types of records, such as noteworthy or controversial cases or those concerning historic sites or buildings.

The process of selection does not differ much from the appraisal process, as the intention is to apply certain criteria to the records that will assist in determining whether they should be retained or not.

An example of a class of records of this type is local authority prosecution and litigation records. There will be many records of the prosecution of parking offences, liquor or health license infringement, which may not be of permanent value. However, there may be some cases that have particular qualities that may warrant their retention.

Resource Management consent, licensing and permit records are another area where there is a considerable quantity of information that is repetitive and routinely operational in nature. The LGS Explanatory Notes states: “We are most interested in ensuring that records that will show us the full scope of the consents, licenses and permits issued, will survive”. It recommends the retention of “a selection of the permit, consent and licences applications, both approved and rejected, including those resulting in legal action and precedent and controversial cases” .

Selection will not produce the same quantity of records in every local authority, as smaller authorities will have fewer records from which to select, and may indeed in some cases decide to retain all the records. If, for example there are only four business assistance projects in a year, the information manager may well decide to retain all.



Under this Schedule, it is possible to choose to retain all the records recommended for selection. This decision will be dependent upon the quantity of records produced and the amount of archival storage available.

The records recommended for selection in the Schedule are all records that appear in a LGS class. This means that, while they may all be retained, they must not all be destroyed.

The classes and record types that have been recommended for selection in this Schedule are listed below, with guidance on how to select from the records.

Useful triggers for deciding to retain records from those recommended for selection are:

- High profile in some way – controversial, notorious, ground-breaking, indicative of a particular shift in attitudes or decision-making, precedent-setting (also called exceptional records)
- Of historical significance, e.g. relating to a heritage building or site (also called exceptional records).

7.10.1 Selecting contracted services records

These Guidelines have followed the lead of Auckland City Archives in assembling a list of types of contracts for contracted services, with suggested disposal recommendations and retention period, to aid in selection. See Appendix T2-B for the list. Note that some contracts will be related to activities listed in other classes, which will provide guidance on retention. For example, a contract for the creation of a public art work has a relationship with the other records concerning this project, which are recommended for retention as archives. Therefore the contract should be retained as well.

7.10.2 Documenting selection decisions

When records are selected for retention, the reasons why the particular records were kept should be documented. Documentation should take the form of a brief report, listing the records that have been retained and providing a reason for the retention of each record, using the criteria set out in the table below, and expanding upon them if necessary.



7.10.3 Record classes of records for selection in alphabetical order

Record Class	Code	Record Type	Description	Disposal recommendation	Criteria for retaining
Community development	9.8.4	Local authority housing	Tenancy disputes, prosecutions and litigation	Select	Retain disputes, prosecutions and litigation with high public profile, concerning well-known individuals, or resulting in changes to processes.
Community safety	10.1.3	Crime prevention initiatives	Crime prevention campaigns sponsored or assisted by council	Select	Select on the basis of public profile, public impact, documented success of campaign in lowering crime statistics, controversial campaigns.
Contract and lease management	11.1.1	Contracted services	Contracts, agreements and related documentation regarding contracts for the performance of services on behalf of the Council, e.g. animal control, food premises, pest management, passenger transport	Select	Select based on the value of the service provided and the length of the contract. The higher the value of the service and the more long-term the contract, the more likely it is the record should be kept. Consider retaining non-administrative services. Consider other records concerning the activity contracted for and what disposal is recommended for them. SEE Appendix T2-B for a list of contracted services and suggested retention and disposal.
Contract and lease management	11.6.1	Leases, licenses and occupation agreements	Leases, licenses and occupation agreements with Council on parks and reserves land either owned or administered by Council	Select	Select those that concern the leasing or licensing of heritage sites; others that are long-term leases, or have other historical significance
Cultural and leisure facilities management	13.3.1	Collection management - incidents	Records relating to the theft, vandalism, damage of collection items (art gallery, museum and botanical [plant] collections)	Select	Select on the basis of high-profile and/or high value items, public interest, high profile vandalism, political vandalism (such as the attempted destruction of an artwork, museum artefact, or plants/plant collection for political reasons)
Cultural and leisure facilities management	13.6.1	Education and promotion	Records relating to the Council's promotion of its role in and public education concerning leisure and cultural facilities, such as botanic gardens, pools, other recreation facilities	Select	Select high-profile, controversial promotional or educational projects.



Record Class	Code	Record Type	Description	Disposal recommendation	Criteria for retaining
Cultural and leisure facilities management	13.7.2	Exhibitions	Exhibitions planning, design, correspondence with exhibitors, other institutions – locally generated exhibitions	Select	Select high-profile exhibitions, exhibitions with particular relevance to the local area (local artists, local collections, local history) controversial exhibitions (content, design, cost). Destroy records of regular collection shows.
Cultural and leisure facilities management	13.7.3	Exhibitions	Exhibitions planning, design, correspondence with exhibitors, other institutions – touring exhibitions	Select	Destroy records of touring exhibitions from other institutions, except where they are of particular significance to locality or institution, or caused controversy.
Cultural and leisure facilities management	13.7.4	Exhibitions	Marketing, education and promotion planning. NOTE: records concerning publications for exhibitions are classed under Local Authority Publications	Select	Select high-profile exhibitions, exhibitions with particular relevance to the local area. Destroy records of touring exhibitions from other institutions, except where they are of particular significance to locality or institution, or caused controversy. Destroy records relating to regular collection shows.
Cultural and leisure facilities management	13.22.1	Visitor programmes	Records concerning the development of visitor programmes such as talks, concerts and performances, film shows, schools programmes etc	Select	Select high-profile particular activities, activities with special significance to local area, controversial activities.
Cultural and leisure facilities management	13.22.3	Youth services	Pre-school and holiday programmes, and story time development	Select	Select high-profile particular activities, activities with special significance to local area, controversial activities.
Economic development	15.2.2	Business assistance	Business assistance projects	Select	Select high-cost, high-profile and/or controversial projects.
Economic development	15.4.1	Employment programmes and initiatives	Records relating to the development of employment programmes and initiatives, including consultation, planning, advertising etc	Select	Select large-scale, high-profile and/or controversial programmes



Record Class	Code	Record Type	Description	Disposal recommendation	Criteria for retaining
Emergency management	18.7.1	Public education programmes	Records concerning the development, advertisement and running of public education programmes for civil defence emergency management, including fire safety, hazard reduction, civil defence	Select	Select major training exercises
Environmental and property regulation, protection, and monitoring	19.1.7	Animal control	Prosecutions and litigation records	Select	Select high-profile and/or controversial cases
Environmental and property regulation, protection, and monitoring	19.6.1	Environmental regulation	Landfill, gravel, emissions, water use, etc consents- applications, inspections, reports. Water and air quality complaints, inspections, reports, abatement notices	Select	Select high-profile and/or controversial cases, cases with particular significance to local area.
Environmental and property regulation, protection, and monitoring	19.6.2	Environmental regulation	Prosecutions and litigation records	Select	Select high-profile and/or controversial cases.
Environmental and property regulation, protection, and monitoring	19.10.3	Health licensing of premises	Licensing for hairdressers, offensive trades, food, funeral parlours etc - applications, licenses, renewals, inspections, correspondence, complaints, health reports	Select	Select high-profile and/or controversial cases, premises that are heritage sites and/or with historical significance
Environmental and property regulation, protection, and monitoring	19.10.4	Health licensing of premises	Prosecutions and litigation records	Select	Select high-profile and/or controversial cases
Environmental and property regulation, protection, and monitoring	19.13.3	Liquor licensing	Premise licenses - applications and supporting documentation, licenses, renewals, inspections and supporting documentation including photographs, correspondence, complaints, abatement notices, public notices - includes on-license, off-license, temporary license and clubrooms	Retain as archives all licensing records where the premises have had continuous occupation as a licensed venue for over 20 years. Select from other records	Select high-profile and/or controversial cases



Record Class	Code	Record Type	Description	Disposal recommendation	Criteria for retaining
Environmental and property regulation, protection, and monitoring	19.19.5	Pollution control - prosecution	Records of prosecution and litigation	Select	Select high-profile and/or controversial cases
Environmental and property regulation, protection, and monitoring	19.22.5	Rural fire management	Rural fire incident reports	Select	Select incidents with a high profile, incidents which caused major damage, incidents involving arson, incidents with continuing repercussions or which caused changes in procedures
Event management	20.3.1	Events records	Records of the planning, development, management and promotion of specific events	Select	Select events of special significance to local area or authority, or to New Zealand
Human resources management	25.2.8	Employee health, safety and welfare	Records of staff social activities and sports/social club records	Select	Select those which identify members of social and sports clubs, records which document sporting success, significant social events (anniversaries, special celebrations)
Human resources management	25.2.9	Employee health, safety and welfare	Photos of staff social activities and sports/social club records	Select	Select team and group photos, and photos where most or many individuals are identified
Lakes and waterways management	28.3.1	Licensing - harbour and foreshore structures	Records of licensing of boat ramps, marinas, wharves, moorings, other foreshore structures	Select	Select high-profile and/or controversial cases; sites and/or structures of historical significance
Lakes and waterways management	28.3.2	Licensing - water craft and activities	Records of prosecution and litigation regarding licensing offences	Select	Select high-profile and/or controversial cases
Lakes and waterways management	28.3.3	Licensing - water craft and activities	Records of the licensing of yacht clubs, commercial vessels, jet boats, hovercraft, rafting, kayaking, regattas etc	Select	Select large-scale events, high-profile and/or controversial cases
Marketing and promotion of location	35.4.1	Gifts and merchandising	Records concerning the design, selection etc of promotional gifts and of products promoting the city/region	Select	Select records of particular significance to local authority or to area, items with high-public profile or controversial items
Risk management and audit	40.3.3	Disaster recovery incident reports	Reports of disaster incidents, response and post response review	Select	Select records of high-profile, with significance to authority, those that resulted in changes to processes etc. Select those for incidents of national significance, major flood, earthquake etc events.



7.11 Records recommended for 'sampling'

Another form of selection is called sampling, which is intended to provide a random selection from the records to provide evidence of the performance of an activity, or evidence of 'typical' types of records.

In this Schedule, sampling has been recommended for the records of public submissions on the District or Regional Plans, Coastal Management Plans and Civil Defence Emergency Management Plans.

The sampling recommended in this Schedule is not statistically valid sampling, but rather the form of archival sampling known as 'example selection'.

The intention is to retain examples of submissions by:

- Keeping one example of every 'duplicate' or 'mass-mail' submission (i.e. coupons clipped from newspapers, pre-printed postcards, etc)
- Choosing one or more examples of the other, non-'duplicate' submissions for retention, depending upon the total number of submissions.

As with the records recommended for selection, it is possible to choose to retain all the submissions, if the quantity is not great.

7.11.1 Choosing the example records

In order to choose example records, it is necessary to know the total number or quantity of the records, and how the submissions are filed.

For a total of submissions under 100, simply take one submission.

For submissions totalling 100 to 500, take one submission per 100 submissions.

For submissions numbering 500 and above, retain one 'container' for every five containers. That is, whatever the submissions are filed into – file boxes, file covers, binders – retain one from every five.

7.11.2 Documenting the sampling process

As with the selection of records, it is useful to document the way the sampling has been done. A brief report noting how many submissions were retained from the total number will suffice.



7.11.3 Record classes of records for sampling in alphabetical order

Record Class	Code	Record Type	Description	Disposal recommendation	Guide for sampling
District/ Regional Plan	14.1.1	Consultation documents	Submissions and related correspondence	Select	Keep 1 example of every 'duplicate' or mass mail submission. Retain example(s) of individual, non-'duplicate' submissions.
District/ Regional Plan	14.6.2	Variations - consultation	Submissions and related correspondence	Select	Keep 1 example of every 'duplicate' or mass mail submission. Retain example(s) of individual, non-'duplicate' submissions.
Emergency management	18.1.2	Civil Defence Emergency Management Plans - consultation documents	Submissions and related correspondence	Select	Keep 1 example of every 'duplicate' or mass mail submission. Retain example(s) of individual, non-'duplicate' submissions.
Environmental and property regulation, protection, and monitoring	19.3.2	Coastal management plans - consultation documents	Submissions and related correspondence	Select	Keep 1 example of every 'duplicate' or mass mail submission. Retain example(s) of individual, non-'duplicate' submissions.
Long Term Community Consultation Plan	34.2.2	Consultation documents	Submissions and related correspondence, survey responses	Select	Keep 1 example of every 'duplicate' or mass mail submission. Retain example(s) of individual, non-'duplicate' submissions.



7.12 Records recommended for appraisal

Some record types in this Schedule have the disposal recommendation of “appraise” These records will not be covered by the notification to the Chief Archivist regarding use of the Schedule. Any disposal recommendations made for these records must be approved by the Chief Archivist before disposal takes place. The Schedule simply states that the records must be appraised to determine disposal.

The contents of these records cannot be predicted, and thus cannot be assessed for archival value without being examined. For example, records regarding relationships and liaison with other agencies often fall into this category. Records may have information of significance which document the forming of partnerships and liaisons of importance to the local authority and the area. Alternatively they may contain notifications of change of address or other ephemeral information.

Where records have the disposal action of ‘appraise’, the appraisal criteria in Section 5.4 should be applied to the records. Records that have permanent value will most likely fit into more than one of the criteria for retention; for example records may be of historical value as well as providing evidence of legal rights.

As in applying the Schedule to existing records (Section 7.8), a list of records at a level of accumulation such as a file or folder is a prerequisite for appraisal. It may be possible to appraise some records from the list, if their titles are descriptive enough. If not, then some records must be physically examined so as to assess their contents against the appraisal criteria, and to ascertain if their contents match the list description. A template for a file content analysis sheet that can be used to record the assessment is in Appendix T2-D.

The appraisal may be performed by the local authority information management staff, or by contracted consultants who work in this field. Archives New Zealand does not recommend particular consultants, but can provide advice on appraisal practice and processes.

Once the records have been appraised, the appraisal report must be written, and the report and lists showing the disposal recommendations must be submitted to the Chief Archivist for approval. Only once that approval has been granted can the disposal recommendations take effect.

7.13 Applying the Schedule to records as they are created

The application of the Schedule to records as they are created will only be successful if there is some kind of formalised records programme in place. If users of records simply create records as and when they need them without a formal system, and there is no centralised or semi-centralised management of the records, it will be difficult for the Schedule to be applied as records are created.

However if there is centralised management of records, or even if the creation and management of records has been devolved to each group, so long as there is a formalised process of records creation, then the Schedule may be applied.

When a new file is created, the person who is responsible for records will identify to which record class it belongs. The record classes have no direct equivalence to the file classification system or to individual records or file series. However, it is useful to consider retention when developing filing systems, so that information of ephemeral value and of permanent value is not classified together.

Each class has an identifier code - a reference such as 1.1, 2.1, etc - which relates to the record class



and thus the retention period to be applied when the file or record becomes non-current or is closed. It is simply a code to put onto the physical file, or to add into the records database.

7.14 How to indicate retention and disposal on a record

In the case of physical files, the class code should be written on the file and/or indicated on the file label. Where the local authority uses a database to manage records (either a Records Management System (RMS) or as part of an EDRMS, or perhaps as part of a Council-specific business system such as GEMS or Corporate Vision, etc.) the classes and their triggers should be noted in the database and related to files and/or documents.

To assist local authority records staff, the database could generate reports of records that meet the criteria for non-current status, for destruction, for transfer/replication to archives, etc. Some records management applications permit mapping between the record classes and the classification structure.

7.14.1 For a separately maintained list of physical files

Each file should be linked to one of the record classes in the Schedule. Where a list is maintained as a separate entity, the class reference should be indicated on the record of each file in the file list. In automated records databases, it is possible to apply the record class to the 'parent' classification and have the 'child' records inherit that class where appropriate.

The file list should include the following information about each file:

1. File number
2. Part/volume number
3. File title
4. Entire file name or file path – i.e. all the levels of the classification that make up that file name plus the file title
5. Scope of the file - what kind of information and documents should go on the file
6. Location of the file
7. Retention period
8. Record class or code
9. Disposal action (e.g. archive, appraise, destroy, retain)
10. Date file part/volume opened
11. Date of first paper
12. When the file part/volume is closed the date closed should be added to the file list
13. Business authority for disposal of the records

7.14.2 Database metadata about files and documents

For records managed in a records management database that are in either electronic or paper format, or in both formats, the database should hold the following metadata:

1. File number (files may or may not have a physical equivalent)
2. Unique identifier (this will be system generated)
3. Part/volume number (if printed documents are placed on physical files)
4. File title



5. Entire file name or file path – i.e. all the levels of the classification that make up that file name plus the file title
6. Scope of the file - what kind of information and documents should go on the file
7. Document number – unique to a document in a document management library
8. Document title
9. Link to one of a list of defined triggers for non-current status. This link could be between a file and the trigger, and then inherited by any documents “contained” in the file, or between an individual document and the trigger, although it is preferable that retention be applied at a file or higher level
10. Link to one of a list of defined retention periods that begin when non-current status has been triggered. This link could be between a file and the retention period. In the case of an item being cross-referenced to files/classes with different retention periods, the system should be set up to apply the longest retention period
11. Link to a record class/action (e.g. archive, appraise, destroy, retain) This link could be between a file and the disposal action, and then inherited by any documents “contained” in the file
12. Date of first document – for physical files. If there are electronic documents, each document has a date created and last edited, so the date of the first and last document can be deduced from these
13. Date file opened/made active to receive documents
14. Current physical location (for a physical file). Current electronic repository for electronic documents associated with a file, i.e. in which document management library in what application
15. Date of destruction/deletion. The database should retain the metadata that a document/file did exist even when the content has been destroyed.



8 Using the record classes to apply the Schedule

8.1 Overview of classes

Record classes in this Schedule are based upon

- Functions or activities, such as 'Contract and Lease Management'
- Types of information, such as 'Reference Material'
- Appraisal values, such as 'All records created before 1945' (age-related value – criterion A8)

Some of the record classes are very broad, designed to cover a range of local authority records across many functions. For example, the class 'Local Authority Policy And Procedures' is intended to cover all policy and procedures records, no matter what function they are about, or if they are administrative or operational functions. Therefore policy on cycle lanes, water supply management, communications, records management, parking, etc, is all covered in this class. Other classes are specific to local authority functions, such as 'Waste Management'.

Function specific classes exclude record types that can be covered by broad activity classes. Thus, the 'Waste Management' class does not include policy because it is covered in the 'Local Authority Policy And Procedures' class. Similarly it does not cover the ownership, development and maintenance of waste management assets and property such as landfill or storm water drains, because these records are covered in the 'Local Authority Property And Asset Management' class.

Where records are covered in a broad activity class, there will be a SEE reference in the function specific class directing users to the activity class.

Some classes are simply those from the Local Government Schedule, such as 'All Pre-1945 Records' and 'Central Government Records'. Classes such as these are not based on the function of the local authority or on record type but are 'value-based' classes.

Classes are arranged alphabetically, with record types and descriptions also arranged alphabetically within the classes.



8.2 Discussion of classes

8.2.1 All records created before 1945

Description This class is drawn directly from the LGS. The other Schedule classes should be applied to these records, but the rarity or scarcity of the records should be taken into account, so that more of these records should be retained, even if they of are low informational value.

Because the LGS classes all records created prior to 1945 as protected records, the Chief Archivist will have to explicitly agree to the destruction of any records from this class, through a formal request over and above the notification of use of the Schedule.

If records have been lost in a disaster or other event after 1945, then this class should be applied from the date of the event.

To quote the LGS: 'If your organisation has lost substantial quantities of its records through natural or other disaster, you should not destroy further records predating that event'.

LG Class LGS 20

8.2.2 Bequests, gifts and donations

Description All records relating to bequests, gifts and donations to the local authority. This includes records of the management and disposition of the items donated or gifted, as well as records of financial management of any monies gifted, bequeathed or donated.

LG Class N/A

8.2.3 Cemetery management

Description Burial registers, indexes, databases etc, records of the management of historic cemeteries, war graves management. NOTE: records relating to the acquisition, disposal, maintenance and development of cemetery property are classed under 'Local Authority Property And Asset Management'; records relating to the contracting out of cemetery maintenance, burial and crematorium services are classed under 'Contracts and Lease Management'.

LG Class LGS 12



8.2.4 Central Government records

Description This class corresponds to LGS class 17 and covers all records created and previously maintained by central government agencies of any kind. These records may not be disposed of without an appraisal approved by the Chief Archivist. Such records should be listed and appraised, either by ANZ or another appraisal specialist, and the resulting appraisal recommendations sent to the Chief Archivist for approval.

LG Class LGS 17

8.2.5 Chief Executive's records

Description Chief Executive's correspondence and subject files are often held separately from the main filing system and require appraisal, as they may contain information duplicated in other local authority records as well as original information. Records should be appraised using the criteria provided in Section 5.4.

If Chief Executive's correspondence is not held separately and is managed in the same way as other correspondence, then this class does not apply, and the other classes in the Schedule should be applied.

LG Class May relate to a number of LGS classes

8.2.6 Civic activities

Description The design, planning, management, administration etc of civic functions, such as citizenship ceremonies, Anzac Day commemorations, and the presentation of civic awards, such as Freedom of the City etc.

LG Class LGS 10



8.2.7 Commercial enterprises

Description This class covers the records inherited and created by Local Authority Trading Enterprises and other commercial operations established by local authorities. The records created by a local authority and then taken over by a commercial enterprise are still owned by the local authority. The records created by a commercial enterprise that is owned by a local authority also should be managed and treated as if they are part of the information resource of the local authority.

Because it is not possible to predict the type of operational records these enterprises might create, their operational records should be appraised using the LGS and the appraisal criteria in Section 5 of these guidelines.

Other records should be treated according to the appropriate Toolkit Schedule class.

LG Class LGS 10, LGS 18

8.2.8 Communications

Description This class concerns the communications and public relations functions of local authorities, including media liaison and training, development of logos, style etc, documentation of the management of web-sites and intranets, media releases

Local authority publications are covered in a separate class – ‘Local Authority Publications’.

LG Class LGS 10

8.2.9 Community development

Description This class covers the activities concerning community development – community housing provision, recreation programmes, employment creation programmes, liaison with community groups about community activities, grants to community groups for projects.

Although applications for community housing are covered in this class, any records concerning the ownership, acquisition, maintenance etc of local authority owned or managed housing are classed under ‘Local Authority Property And Asset Management’.

LG Class LGS 10



8.2.10 Community safety

Description Records concerning local authority involvement in crime prevention activities and programmes.

LG Class LGS 10

8.2.11 Contract and lease management

Description This class covers all contract and lease management activities across all local authority functions. This means both the local authority leasing or contracting from other organisations or the local authority leasing or contracting to other organisations. It covers both administrative contracts for services or equipment, such as photocopiers, and operational contracts for services or structure, such as pest management or road building.

All formats of records are covered in this class if they are related to the contracting process –this includes contract plans, blueprints, etc.

A separate list provides a guide to what records of contracted services should be selected for retention. See Appendix T2-B.

This class also covers insurance policies, claims, correspondence and schedules. The schedules of insurance policies (not plant and vehicles) have been recommended for retention because they often provide the only summary documentation of local authority property assets.

Some of the record types and descriptions in this class have been taken from the Archives New Zealand General Disposal Authorities for Human Resources and Personnel Records and Finance Records

LG Class LGS 7, LGS 10



8.2.12 Corporate routine

Description This class covers routine administrative information created in the course of the local authority performing activities to do with internal management, rather than with operational activities. Thus the records covered in this class concern stores and supplies management, routine returns, travel administration and mail management.

Records of corporate activity concerning asset and property management are classed under 'Local Authority Property And Asset Management'. All records of corporate activity concerning contract and lease management are classed under 'Contract And Lease Management'.

Some of the record types and descriptions in this class have been taken from the Archives New Zealand General Disposal Authorities for Human Resources and Personnel Records and Finance Records

LG Class N/A

8.2.13 Cultural and recreation facilities management

Description This class is for records of the activities concerned with the management of cultural and recreation facilities – libraries, botanical gardens, swimming pools, art galleries, museums, zoos, community halls, sports grounds etc. It contains some records types that are generic to all facilities management and some that are specific to the type of facility, such as a library or a botanic garden.

Disposal recommendations for many of the records types in this class are 'select'. This is because it is not possible to predict the content of some of these records, but we can assume that they are likely to contain information of evidential value, if not of informational value.

Records concerning the management of the actual property or land are classed under 'Local Authority Property And Asset Management'.

LG Class LGS 10

8.2.14 District or Regional Plan

Description This class is drawn directly from the LGS and covers the development etc of the District or Regional Plan.

LG Class LGS 6



8.2.15 Economic development

Description This class covers records concerning local authority economic development programmes, initiatives, research and projects.

Records concerning council's relationships and partnerships with other organisations are classed under 'External relationships'.

LG Class LGS 10

8.2.16 Elected representatives

Description Records concerning elected representatives, their training, fees and allowances, conflict of interest declarations, and local authority administrative assistance for elected representatives.

LG Class LGS5, LGS10

8.2.17 Elections

Description This class is drawn directly from the LGS and covers all records concerning elections –the administration and management of elections, production of electoral rolls, voting papers etc.

LG Class LGS 2

8.2.18 Emergency management

Description Records documenting the authority's involvement in emergency management – planning, education and training, emergency responses.

Records concerning emergency management facilities are classed under 'Contract And Lease Management' or under 'Local Authority Property And Asset Management'.

LG Class LGS 14



8.2.19 Environment and property regulation, protection and monitoring

Description This is a large class covering much of the regulatory and environmental work of territorial and regional local authorities. It covers animal control, pest management, regulatory records under the Resource Management Act, land and waterways management, air quality management, etc.

Records from this class comprise a considerable percentage of the records created by local authorities.

The Explanatory Notes for LGS class 8, which covers some of these records, says that records should be retained so as to show 'the full scope of the consents, permits and licenses issued... This means that if there is a register of consents, permits etc, then this needs to be retained along with a selection, of the permit, consent and licence applications, both approved and rejected...'

These records are a valuable source of information both about the local environment, urban and rural, and about how the local authority performed its regulatory role. Therefore some of the record types in this class have the disposal recommendation 'select'. Some also have very specific disposal actions, such as the 'liquor premise licensing' record type, which states that licensing records for premises having continuous occupation as a licensed premise for over 20 years should be retained.

This class also covers activities such as the development of coastal management plans, permits for marine farming etc as well as hazardous substances, contaminated sites etc.

The record type 'cleansing orders – drug preparation' has been created specifically in response to recent cases where records of the fact that houses have been used for drug preparation have not been available to the purchasers. The cleansing orders are not of permanent value, but it is recommended that they be kept for a considerable period of time – 50 years.

LG Class LGS 8, LGS 10

8.2.20 Event management

Description This class covers records that document the authority's role in developing, managing, and promoting events in its area as well as records of specific events projects, liaison with other agencies, development of events calendars. The term 'events' covers all events that are managed by council, excluding civic functions such as Anzac Day etc which are classed under 'Civic Activities'.

LG Class LGS 10



8.2.21 External relationships

Description This class covers records documenting relationships with sister cities and other 'friendship' relationships with other cities, as well as records documenting other types of relationships, such as sponsorship, marketing and promotional, event management, and economic development relationships. It also covers records of specific functional areas' relationships with professional groups related to their function, and records of local authority representation on outside bodies.

Liaison between operational areas of local authority and other bodies concerning particular operational issues or relationships (e.g. Roding's relationship with Transit or Transfund) are classed under the operational function.

LG Class LGS 10

8.2.22 Finance management

Description Records concerning the authority's internal financial management.

Some of the record types and descriptions in this class have been taken from the Archives New Zealand General Disposal Authority for Finance Records.

LG Class LGS 5

8.2.23 Governance and executive management

Description Records concerning the management, decision-making and accountability roles of the local authority – both the elected members and the management team of council. Covers standing orders, local authority meetings and minutes, delegations, development of by-laws and responses to legislation.

LG Class LGS 1, LGS 4

8.2.24 Heritage management

Description A broad class covering all records of activities concerned with heritage protection and management – heritage orders, lists and registers of heritage buildings, trees, etc.

LG Class N/A



8.2.25 Human Resources Management

Description All records concerning human resource management.

Some of the record types and descriptions in this class have been taken from the Archives New Zealand General Disposal Authority for Human Resources and Personnel.

LG Class LGS 11

8.2.26 Information management

Description Records concerning the management of information within the authority, including records of the management of and systems developed for archives and records.

LG Class LGS 13

8.2.27 IT infrastructure

Description Records concerning the management and development of the IT infrastructure of the authority. Includes records of the development, purchase and management of line-of-business systems, as well as of administrative support systems.

LG Class LGS 10

8.2.28 Lakes and waterways management

Description An operational class concerning activities to do with the management of lakes and waterways. Covers licensing of water craft and activities, investigation of water related incidents, management plans for lakes and waterways, flood control schemes.

Records concerning the environmental regulation, protection and monitoring of lakes and waterways (e.g. water quality monitoring or pollution control) are classed under 'Environmental And Property Regulation, Protection And Monitoring'.

LG Class N/A



8.2.29 Local authority planning and reporting

Description A class concerning the activities of planning and reporting within the local authority. Covers the annual plan and report processes as well as business planning and strategic planning, group by group as well as council-wide.

Records concerning the District or Regional Plan are classes under 'District/Regional Plan'. Records concerning specific types of plans such as Emergency Management or Coastal Plans are classed under the appropriate function.

LG Class LGS 5, LGS 10, LGS 14

8.2.30 Local authority policy and procedures

Description This class covers the development of policy and procedures for any function of the authority, administrative or operational. It reflects the LGS class 9.

Some of the record types and descriptions in this class have been taken from the Archives New Zealand General Disposal Authorities for Human Resources and Personnel Records and Finance Records.

LG Class LGS 9

8.2.31 Local authority property and asset management

Description This class covers records of the management of all types of property and assets (e.g. buildings, infrastructure, land, sports grounds, reserves, roadways, etc), including asset management planning and final plans, acquisition and disposal, maintenance etc of property and assets.

It also covers reserve management plans and operational plant and equipment. Office equipment and supplies are covered in 'Corporate Routine'.

LG Class LGS 7

8.2.32 Local authority publications

Description This class covers all publications created by the authority, whether for external or internal audiences.

It reflects the LGS class 15.

LG Class LGS 15



8.2.33 Local authority stakeholding management

Description This class is intended to cover the records concerning the managing of council's stakeholding or interests in a LATE, a trust or other commercial enterprise. This class concerns the governance records of these organisations that are received by a local authority in its role as a stakeholder. The operational records of these organisations are classed under 'Commercial Enterprises'.

LG Class LGS 18

8.2.34 Long Term Community Consultation Plan

Description All records concerning the development, management, review and monitoring of the LTCCP.

LG Class LGS 14

8.2.35 Marketing and promotion

Description Records of the authority's activities concerned with marketing and promoting its city, locality or region, and particular services, including branding and design of signage, development of particular corporate gifts and other merchandising, marketing campaigns, media kits, visitor centre operations.

LG Class N/A

8.2.36 Mayoral correspondence

Description In most local authorities, mayoral correspondence is maintained separately from CEO's correspondence or from the subject files to which the correspondence may relate. These records require appraisal, as they may contain information duplicated in other local authority records as well as original information. Records should be appraised using the criteria provided in Section 5.4.

If mayoral correspondence is not managed separately from other correspondence, then this class does not apply, and the other classes should be consulted.

LG Class May relate to several LGS classes



8.2.37 Rating

Description This class is drawn directly from the LGS and relates to rating and valuation records. However, the LGS is out of date in that it refers to the Rating Powers Act 1988. This Act has been amended by the Rating Valuations Act 1998 and the accompanying Rating Valuations Rules, which specify the information to be maintained in District Valuation Rolls and other registers required to be kept by the Valuer-General.

NOTE: although the Rating Valuations Rules require the registers prescribed by the Valuer General to be held for 5 years, this Schedule recommends that some of these registers are retained as archives, because of their value as summary records.

See Section 7.2 of these guidelines for discussion of the retention of rates and valuation database information.

LG Class LGS 3

8.2.38 Records from preceding agencies

Description This class is drawn directly from the LGS. Records from merged, preceding, abolished or other authorities now in the custody of the authority should have the Schedule classes applied to them, but the rarity of surviving items should be taken into account, making retention as archives the first option.

Record class 1 - 'All local records created before 1945' may also apply to these records.

LG Class LGS 19

8.2.39 Reference material

Description A broad class drawn from the Archives New Zealand GDA for General Housekeeping Records intended to apply to any reference material held by any section, team or department of Council. Includes the plans and policies of other authorities and brochures etc. from other agencies, including suppliers.

LG Class N/A



8.2.40 Risk management and audit

Description Records concerning non-financial audits and reviews, development of business continuity plans and disaster recovery plans, reports of disaster events.

Records of disaster events will include all formats of records – audio (e.g. radio reports), visual (e.g. television coverage, amateur video, still photographs), electronic (e.g. digital photographs, emails) and paper.

LG Class LGS 10

8.2.41 Transportation and roading provision

Description A class concerning the operational records of transportation and roading provision.

Covers transport strategies, roading funding, street signage and furniture, parking management and enforcement, street naming, road legalisation, road safety, etc.

Records concerning the contracting out of services for transportation and roading provision are classed under 'Contract and Lease Management'.

Records concerning the acquisition, disposal, maintenance etc of roading assets are classed under 'Local Authority Property and Asset Management'

LG Class N/A

8.2.42 Visual and sound records

Description This class is drawn directly from the LGS. It relates to visual and sound records of any type that are not already covered by another class in this Schedule.

It is intended to safeguard records that provide 'historical, promotional or interesting information about the authority, its area, local organisations, people, an opening or special event.' This is what is meant by the term 'high informational value'.

This class is also intended to aid the records manager who is inundated with duplicate sets of maps or plans, or unidentifiable photographs.

Where the term 'intrinsic value' is used, it means that the records in and of themselves have some value not reliant upon their context or the information they contain. They may be of great beauty, or, in the case of photographs, an example of a rare photographic process or medium.

LG Class LGS 16



8.2.43 Waste management

Description A class concerning the operational records of waste management. Covers solid waste disposal, stormwater and waste water disposal, operations and management.

The records concerning monitoring and reporting of recycling, and recycling projects and initiatives have been identified as records that should be appraised. This is because they may contain much routine operational material, but will also contain information of research value for the future.

Records concerning the contracting out of services for waste management are classed under 'Contract And Lease Management'.

Records concerning the acquisition, disposal, maintenance etc of waste management assets and property (e.g. reservoirs etc) are classed under 'Local Authority Property And Asset Management'

LG Class N/A

8.2.44 Water supply management

Description A class concerning the operational records of water supply management activities. Covers metering, restrictions, disruptions to supply, reticulation, quality, backflow.

Records concerning the contracting out of services for water supply are classed under 'Contract And Lease Management'.

Records concerning the acquisition, disposal, maintenance etc of water supply assets and property (e.g. reservoirs etc) are classed under 'Local Authority Property And Asset Management'

LG Class N/A



9 Destruction

9.1 Consultation and review before destruction

When records sentenced for destruction have completed their retention periods, they may then be destroyed. As destruction is a very final step, a review of records marked for destruction is appropriate.

1. Monitor the file list/database for records due for destruction
2. Create lists/generate reports of records due for destruction
3. Make them available to appropriate staff for approval

A sample destruction approval form is in Appendix T2-C of this module. This approval form and the destruction lists should be circulated to the appropriate staff. The person in the position designated as the business authority in the Schedule should sign off the authority form.

It sometimes happens that although a record is due for destruction, there may be a legitimate business requirement to keep it longer for specific reference purposes. This is a perfectly acceptable reason for extending the retention period. However, this exercise in gaining approval to destroy records should not be seen as an exercise in which to relitigate the disposal actions assigned to record classes. It is merely about whether or not the records may be destroyed at this time.

Should anyone want to keep a record listed for destruction after the retention period is complete, they must notify records staff within a set time period of the destruction list being circulated for approval. The records staff will then:

- Negotiate with the staff member a new destruction date for the file/documents contained within the file;
- Alter the file destruction date in the list/records database if a new retention period is agreed;
- Annotate the physical file cover and the file list accordingly.

9.2 Destruction lists and paperwork

It is important to keep lists of destroyed records and any destruction certificate provided by the agency that destroyed the records. These lists are evidence that the records were destroyed at a certain date and time, and provide certainty that they were indeed destroyed and are not lost somewhere.

Lists/reports of records to be destroyed do not need to be in any particular format.

However, they must clearly show the following:

- Record class
- RDS reference/code
- File reference (and part number if physical file)
- File title
- Series and sub-series where appropriate (i.e. all levels of classification of the file)
- Date first document
- Date last document
- Date closed (date file made inactive)
- Date of destruction
- Person who authorised the destruction



A records management database will usually tag all records with not only a destruction date, but also with the information about who authorised the destruction.

9.3 Methods of destruction

Physical records

There is no prescribed method of destroying local authority records. However it is prudent to ensure that records are destroyed by the staff of the Council itself or by a contractual agreement with a specialist destruction organisation. See also Archives New Zealand's Continuum Advisory Notice: Methods of Destruction

The most typical forms of destruction of physical records are burning or shredding. It is not appropriate to destroy records by including them in office rubbish removal or simply placing them in paper recycling bins.

Be aware that a paper recycling process may not be the same as a secure paper destruction process. Paper recyclers may hold their material to be recycled in a non-secure waiting area. Secure destruction processes always ensure that there is no unauthorised access to the records at any point before the actual destruction.

Electronic records

Destruction of electronic files is undertaken at the document level, since the file is simply part of the metadata of the record. It is difficult to destroy electronic documents, since they are duplicated onto backup media on a regular basis, and some of the backups may never be over-written. Deleting a document through normal procedures merely removes the map to the document, but leaves the document intact in the storage medium until other data is written over the top. Local authorities with EDRMS will need to employ special processes, such as overwriting, to find and destroy documents where it judges that those documents must not continue to exist. For other documents it will not matter if they continue to exist in backups etc.



10 Transfer to archival storage

While Archives New Zealand has a role in authorising (or not) the destruction of designated classes of local authority records, those local authority records considered to be of archival value cannot be transferred to Archives New Zealand (except if the Chief Archivist requires such a transfer under Section 259 (2) of the local Government Act 1974). Ordinarily, only central government records are held by Archives New Zealand.

Local authorities which have established archives facilities will also have established transfer processes. Those that do not have formal archives will normally be maintaining their archival records in either non-current storage or a specifically designated archival storage area.

As with destruction, transfer lists are most important, wherever the archival records are stored.

They should show:

- Name of transferring department or section of the authority
- Record class
- RDS reference/code
- File reference (and part number if physical file)
- File title
- Series and sub-series where appropriate (i.e. all levels of classification of the file)
- Date first document
- Date last document
- Date closed (date file made inactive)
- Date of transfer

10.1 Transfer of electronic records

Electronic records that are transferred to archival storage may also still exist in their original software and hardware format. It is a part of information management policy and procedures development to determine how electronic records are transferred to archival storage (copied, migrated, or moved), and what may happen to the original formats over time.



11 Review and updating of the Schedule

Any changes to the Schedule that result in adding new record classes or types or changing disposal recommendations must be approved by the Chief Archivist.

Once approved by the Chief Archivist, the revised Schedule will be distributed to toolkit owners.

The method of distribution of the amended and approved Schedule to Toolkit owners will be the standard method used for all updates and enhancements – viz; the Toolkit owners will be sent new paper versions of the Schedule and Guidelines and directed to remove the superseded documents from their Toolkit folders. If the Schedule and Guidelines are published on the ALGIM website, the existing versions will be replaced at the same time the hard copy is sent out.



APPENDIX T2-A: NOTIFICATION TO CHIEF ARCHIVIST TEMPLATE AND PROCEDURES

Notification procedures

Under the Public Records Act 2005 s.40), 'the Chief Archivist may ...declare that a local authority records is a protected record for the purposes of this Act, and 'a local authority must not dispose of a protected record' unless the Chief Archivist has been notified and has authorised the disposal of the record.

This retention and disposal schedule has been approved and can therefore be used to dispose of records, but the Chief Archivist must be notified that the schedule will be used.

The process for notification is as follows:

- Local authorities wishing to apply the Toolkit Schedule to their records must send a notification letter to the Chief Archivist
- The Chief Archivist will respond with an acknowledgement
- Destruction of records may take place at any time not less than 3 months from the date of the notification letter

The template notification letter is as shown on the following page.

Notification Letter

Local authority letterhead

Date

The Chief Archivist
Archives New Zealand
P O Box 12-050
Wellington

Dear Dianne Macaskill

On [date] [Name of local authority] adopted the ALGIM Toolkit T2 Retention and Disposal Schedule for the management of its records. From [date: being not less than 3 months after the date of this letter] [name of local authority] proposes to act in accordance with the disposal recommendation for the specified disposal classes as set out in the ALGIM Schedule.

You are hereby given the notice required by section 40(3) of the Public Records Act 2005 that the local authority intends to implement the disposal instructions including the destruction of classes of local authority records which are protected under s 40(1) of the Act. You are asked to authorise the proposed destruction

Yours

[Authorised officer of the local authority]



APPENDIX T2-B: LIST OF CONTRACTED SERVICES AND SUGGESTED DISPOSAL AND RETENTION PERIODS

This list is for records about contracted services, i.e. records about the process of contracting other agencies to perform certain activities on behalf of the local authority. The first column lists the subject of the contracted work and the second lists the activity to be performed. This list is not a list of subject area files and their recommended disposal – it only concerns the contracting process.

As with all other records in the Schedule, the disposal recommendation and retention period only apply once the records have become non-current or inactive. In the case of contract records, this is normally at the time of expiry of the contract.

Contracted service concerning:	For activity of:	Disposal recommendation	Retention period before disposal
Abattoirs	Management/ operation	Retain as archives	
Accessways	Maintenance	Destroy	7 years
Airports	Management/ operation	Retain as archives	
Arboriculture	Aftercare, maintenance, planting	Destroy	7 years
Artworks	Creation	Retain as archives	
Band rotundas	Construction, reconstruction, renovation of historic band rotundas	Retain as archives	
Band rotundas	Maintenance, cleaning, painting	Destroy	7 years
Beaches	Cleaning	Destroy	7 years
	Sand replacement	Destroy	20 years
	Construction (e.g. Oriental Bay Beach in Wellington)	Retain as archives	
Berms	Maintenance, mowing, stabilisation, planting	Destroy	7 years
Bins – mobile, litter	Collection, emptying, renewal, servicing, supply	Destroy	7 years
Boat ramps	Construction of Council owned	Retain as archives	
	Maintenance, cleaning, painting	Destroy	7 years
Bridges	Construction, reconstruction, renovation of historic bridges	Retain as archives	
	Maintenance, cleaning, painting	Destroy	7 years
Buildings – civic, community, public, heritage, or owned by Council	Construction, renovation, reconstruction, alterations, extensions, restoration, upgrades	Retain as archives	
	Maintenance, cleaning, painting	Destroy	7 years
Bus shelters	Cleaning, erection, graffiti removal, supply	Destroy	7 years
Cables	Installation, relocation	Destroy	7 years
Catchpits	Cleaning	Destroy	7 years
Catchment schemes	All aspects	Retain as archives	
Catering	Services, supply	Destroy	7 years
Caravan parks	Management	Retain as archives	
	Maintenance, cleaning, painting	Destroy	7 years
Car parking areas	Cleaning, extensions, litter removal, maintenance, sweeping, upgrades	Destroy	7 years



Contracted service concerning:	For activity of:	Disposal recommendation	Retention period before disposal
Car parking buildings	SEE Buildings		
	Management/ operations	Destroy	7 years
Carriageways	Repairs, resurfacing	Destroy	7 years
Cemeteries	Management/ operation	Retain as archives	
	Grave restoration	Retain as archives	
	Maintenance	Destroy	7 years
Cesspits	Cleaning	Destroy	7 years
Changing rooms	SEE Buildings		
Channels	Maintenance, reinstatement, repairs	Destroy	7 years
Community centres, facilities	SEE Buildings		
Computer equipment or systems	Supply	Destroy	Life of system
	Maintenance	Destroy	7 years
Courts - e.g. tennis, basketball, etc	Drainage, maintenance, upgrades	Destroy	7 years
Culverts	Construction, maintenance	Destroy	7 years
Cycleways	SEE Facilities and infrastructure		
Domains	SEE Facilities and infrastructure, or Reserves		
Drainage/ drains	Construction	Retain as archives	
	Maintenance	Destroy	20 years
Earthworks	Construction	Retain as archives	
	Maintenance	Destroy	20 years
Equipment	SEE Plant		
Facilities - civic, community, public, heritage or owned by Council	Construction, renovation, reconstruction, alterations, extensions, restoration, upgrades	Retain as archives	
	Maintenance, cleaning, painting	Destroy	7 years
Fencing	Installation, maintenance	Destroy	7 years
Fire detection systems	Installation, servicing	Destroy	7 years
Flood control	All aspects	Retain as archives	
Footpaths	Paving, repairs, renewal, upgrades	Destroy	7 years
Foreshore	Improvements, walls, etc	Retain as archives	
Forestry	Management	Retain as archives	
Fountains	Erection, installation	Retain as archives	
	Maintenance, cleaning, repair	Destroy	7 years
Furniture, office	Supply, repair	Destroy	7 years
Furniture, street	Installation, repair, maintenance, supply	Destroy	7 years
Gardens			
Gates, memorial	Design, erection, supply	Retain as archives	
	Maintenance, cleaning, painting	Destroy	7 years
Graffiti	Removal	Destroy	7 years
Grass	Planting, mowing	Destroy	7 years
Grazing	Lease of land for	Destroy	7 years
Halls	SEE Buildings		
Heritage sites	All aspects	Retain as archives	



Contracted service concerning:	For activity of:	Disposal recommendation	Retention period before disposal
Intersections	Construction, upgrades	Destroy	10 years
Kerbs, kerbing	Maintenance, reinstatement, repairs, resetting	Destroy	7 years
Landfill	Management/ operation	Retain as archives	
	Rehabilitation	Retain as archives	
Landscaping	Concept, design, for community centres and facilities, streets, shopping centres, reserves, public gardens	Retain as archives	
	Maintenance, planting	Destroy	7 years
Libraries	SEE Buildings		
Lighting – amenity, street	Maintenance, repairs, upgrades	Destroy	7 years
Litter	Collection	Destroy	7 years
	Enforcement	Destroy	7 years
Motorways	Construction	Retain as archives	
	Alignments, diversions, interchanges, improvements, re-alignments, reconstruction, reformation, widening, upgrades, shoulder reconstruction	Select	
Museums	SEE Buildings		
Office equipment	Supply, maintenance, repair	Destroy	7 years
Overbridges	Construction	Retain as archives	
	Maintenance, cleaning, upgrades	Destroy	7 years
Pathways	SEE footpaths		
Parks	SEE Reserves		
Parking	SEE Carparking areas or carparking buildings		
Paving	SEE footpaths		
Pedestrian barriers/ crossings/ refuges	Installation, lighting, maintenance, repair, cleaning	Destroy	10 years
Pensioner housing	Management/ operations	Retain as archives	
	SEE Buildings		
Pest control	Operations	Destroy	7 years
Plant and equipment	Supply, maintenance, repairs	Destroy	7 years
Playgrounds	SEE Facilities and infrastructure		
Pumping stations	SEE Facilities and infrastructure		
Pipelines	SEE Facilities and infrastructure		
Quarries	Management/ operations	Retain as archives	
Public conveniences	SEE Buildings		
Reclamations	All aspects	Retain as archives	
Recycling	SEE Refuse		
Refuse, organic and inorganic	Collection, operations	Destroy	7 years
Reserves	Mowing, vegetation control, installation and maintenance of furniture, lighting etc, maintenance, repairs to tracks	Destroy	7 years
Retaining walls	Construction	Retain as archives	
	Maintenance, repair	Destroy	7 years
Roads	Construction	Retain as archives	



Contracted service concerning:	For activity of:	Disposal recommendation	Retention period before disposal
	Maintenance, repair, vegetation control, alignments, diversions, interchanges, improvements, re-alignments, reconstruction, reformation, widening, upgrades, shoulder reconstruction	Select	
Rubbish	SEE refuse		
Sewerage	Management/ operations	Retain as archives	
	Installation of systems covering more than 3 streets	Retain as archives	
	Maintenance, repairs, extensions	Destroy	7 years
Seawalls	Construction	Retain as archives	
	Maintenance, repairs	Destroy	7 years
Security	Operations for buildings, community facilities, sportsgrounds, etc	Destroy	7 years
Shopping centres	SEE Buildings and Facilities and infrastructure		
Signage	Design, supply, erection	Destroy	7 years
Skateparks	SEE Facilities and infrastructure		
Soakholes	Cleaning	Destroy	7 years
Sportsgrounds	SEE Facilities and infrastructure		
Statues	SEE Facilities and infrastructure		
Street lighting	SEE lighting		
Streets	SEE roads		
Stormwater	Installation of systems covering more than 3 streets	Retain as archives	
	Maintenance, repairs, extensions	Destroy	7 years
Town Hall	SEE Buildings		
Tracks	SEE walkways		
Traffic control – lights, roundabouts	Construction, installation, supply, maintenance, repair, upgrades	Destroy	10 years
Traffic intersections	SEE roads		
Trees	Maintenance, planting, removal	Destroy	7 years
Vegetation control	All aspects	Destroy	7 years
Vehicles	Management of disposal, towage, removal	Destroy	7 years
Vehicles – Council owned	SEE Plant and equipment		
Verges	SEE berms		
Walkways	SEE Facilities and infrastructure or Reserves		
Watercourses	Construction	Retain as archives	
	Maintenance	Destroy	10 years
Water mains	Installation	Retain as archives	
	Extensions, renewals, relinings, replacements	Destroy	10 years
Weeds	SEE vegetation control		
Wharves	SEE Facilities and infrastructure		
Zoo	SEE Buildings, Facilities and infrastructure		



APPENDIX T2-C: INTERNAL DESTRUCTION AUTHORITY FORM

ALGIMVILLE DISTRICT COUNCIL DESTRUCTION AUTHORITY

Position _____

Name _____

I authorise the destruction under the ALGIM Toolkit Schedule of the records listed below

Signature _____ Date _____

BRIEF DESCRIPTION OF RECORDS

See attached list of _____ pages



APPENDIX T2-D: FILE CONTENT ANALYSIS SHEET

ALGIMVILLE DISTRICT COUNCIL FILE CONTENT ANALYSIS SHEET

File No: (if applicable)	Part:
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FILE NAME

Series:	
Sub-Series:	
Sub-Sub-Series:	
File:	

Dates:	Box No.:
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File Contents:

Compiled By:	Date:
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ALGIMVILLE DISTRICT COUNCIL FILE CONTENT ANALYSIS SHEET

Record/File Name or Description:

Dates:	Box No.:
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File Contents:

Compiled By:	Date:
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Document No: 320914

File No: 004/004

Report To: Council**Meeting Date:** 10 December 2013**Subject: Progress Report – Communications Strategy Implementation Plan**

Purpose of Report

- 1.1 The purpose of this business paper is to brief Council on progress with various Communications projects identified within the Communications Strategy Implementation Plan as well as those that have arisen during the year.

Local Government Act S.11A Considerations

- 2.1 There are no considerations relating to Section 11A of the Local Government Act in regards to this business paper.

Background

- 3.1 The Communications Strategy Implementation Plan was adopted by Council in November 2012.
- 3.2 The Implementation Plan provides further detail about how Council will implement its Communications Strategy. The focus is on activities and key projects to be undertaken in order to implement the strategic intent.
- 3.3 The Implementation Plan is a 'live' document and a six-monthly review schedule has been implemented to allow for recommended additions or changes to the Plan as required by Council.

Commentary

- 4.1 Actions have been spread over a three year period from 2012 to 2015. Each action has been given a priority and allows for the review, planning and implementation of each action.
- 4.2 ***The following provides a summary of the 'project specific' communications tasks completed to date.***

4.2 Call for Expressions of Interest – Railway Building Revitalisation Project

4.3 In October this year, a communications project was developed to support the public awareness of the Community Space Revitalisation (project 4). This involved several tasks including:

- Preparing an Expressions of Interest document (and application form),
- Publication of a series of advertisements in the Waitomo News.
- Development of a webpage(s) providing an overview of the project.
- Posting of information on Facebook.
- Radio notices during the month of October/ November.
- Poster display in the Community notice (next to the iSITE).
- Posters about the EOI displayed at the Library and WDC Office.

4.4 The second EOI document for Commercial Space Revitalisation (Project 5) has been completed and published. A similar communications plan (as stated above) will be implemented for this project.

4.5 Rora Street Road Works Project

4.6 Following the initial communications around this project, it was brought to WDC's attention that some affected business owners (operating in the vicinity of the planned Rora Street road works) were concerned about the risk of the construction time period lapsing into December 2013, and the potential negative impact on retail businesses that rely on the pre Christmas trade as a key income opportunity.

4.7 Council had previously deferred the start of this important renewal project so that the infrastructure needs of the overall redevelopment of the Te Kuiti Railway Building Revitalisation Project could be taken into account.

4.8 WDC acknowledged the concerns of local business owners and made the decision to undertake this renewal work on a different timeline.

4.9 Project 3: roading renewal has been separated into two separate components and the timeline for the work also separated into two portions. The first piece of work will be the renewal of the existing in-ground services (A) which will take place pre Christmas. And the second portion will be the renewal of the road sub base, surfacing and associated kerb, channel and footpath work (B) will take place post Christmas.

4.10 It is estimated that the in ground services part (A) could be completed in 3 to 4 weeks with work commencing in October 2013 and the rest of the work (B) completed in late January and February 2014.

4.11 WDC's correspondence to affected business owners was re-published in line with this change to the work programme.

4.12 ***The following provides a summary of the 'project specific' communications tasks soon to be undertaken.***

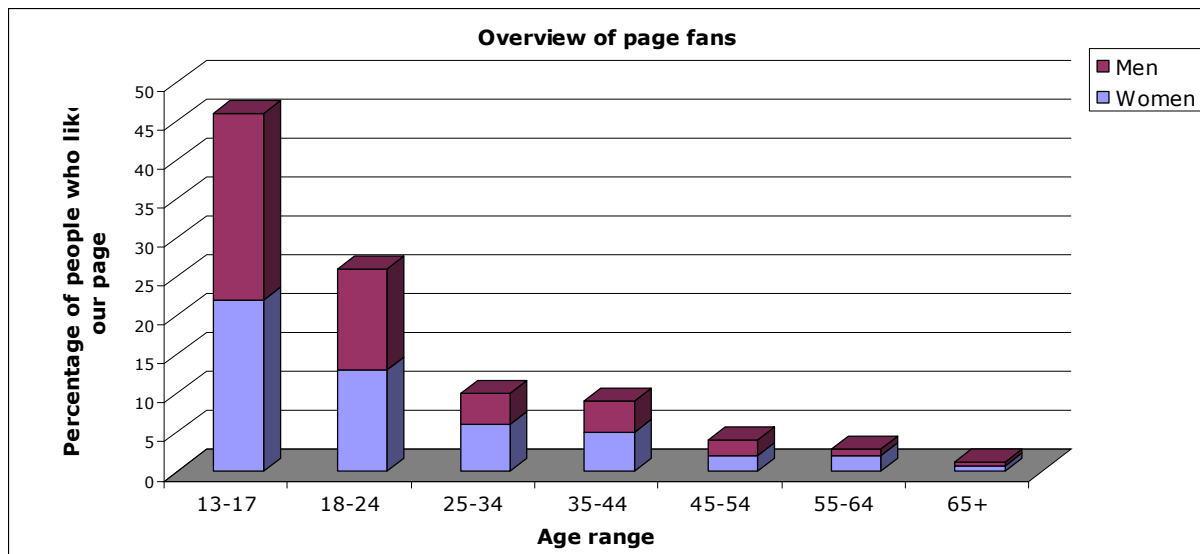
4.13 Promoting Community Pride

4.14 This communications plan (CP) has been developed to promote more pride in the community environment with a focus on improving litter control and reducing fly

tipping. These topics will be based around the Roads and Footpaths activity and will be coupled with a series of communications about what Council is doing to contribute to this goal.

- 4.15 The objective of this CP is to build public awareness of the negative impacts of litter, fly tipping and the cost to the ratepayer of funding this work out of Councils Roads and Footpaths budget.
- 4.16 The communications will focus on community pride and;
- The need to set a **good example** as we work towards achieving Councils vision of a vibrant community.
 - The **negative impact** that a littered street can have on a towns image, tourism and local business.
 - The provisions under the Litter Act 1979 where an **infringement notice** (not exceeding \$400) can be served by a Litter Control Officer if a person is observed committing an infringement offence or has reasonable cause to believe such an offence is being or has just been committed by that person.
- 4.17 **Water Conservation Campaign**
- 4.18 This communications plan (CP) has been developed to promote water conservation attitudes and behaviours within the Waitomo district. This topic is based on previous year's efforts to conserve water during the warm summer months when water supply levels are under pressure.
- 4.19 The objective of this CP is to build public awareness of the need to conserve water during the period December 2013 - March/ April 2014, in the light of potential drought and to ensure that there is enough treated water available to everyone.
- 4.20 The following Water Alert Levels have been approved for use in the campaign:
1. Use sprinklers between 6-8am and 6-8pm
 2. Use sprinklers on alternate days between 6-8am and 6-8pm. Hand held hosing is allowed at any time.
 3. No sprinklers allowed. Hand-held hosing is allowed
 4. No outside use of non-essential water systems allowed
- 4.21 In addition to publishing updates on Water Alerts, information about the actual water usage will be used to educate the public about how much water is consumed across the district.
- 4.22 ***The following provides an overview of the 'online/digital' communications tasks.***
- 4.23 **Facebook**
- 4.24 Waitomo District Council's Facebook page is designed to inform residents and ratepayers of the business of Waitomo District Council. It's a tool used to keep the public updated on decisions made by Council and provide general information on Council activities and services.
- 4.25 WDC's Facebook page has grown since it was first created in December 2012. There are currently 568 likes on the page and has received mostly positive comments and a few information queries. The page is monitored on a daily basis.

- 4.26 As shown in the following graph, 22% of WDC's Facebook fans are female 13-17 years of age and 24% are male of the same age range.



- 4.27 These statistics reflect similar demographics of social media sites, in particular Facebook. **Two out of every three** of the 2.8 million *New Zealanders Over 15* who went online between December 2011 and September 2012 **accessed social networks**, according to a report by e-commerce.org.nz

- 4.28 The following table shows the top social media sites in New Zealand:

Rank	Name	Unique Audience (000)	Population Reach (%) (all people aged 2+)	Active Reach (%) (all people online aged 2+)	Time spent per person
1	Facebook	2,710	63	80	7h 43m 38s
2	Blogger	803	19	24	7m 50s
3	Twitter	431	10	13	23m 27s
4	Tumblr	428	10	13	52m 39s
5	WordPress	394	9	12	12m 39s
6	Google+	365	9	11	4m 31s
7	LinkedIn	309	7	9	23m 5s
8	Wikia	218	5	6	20m 23s
9	Squidoo	192	5	6	1m 56s
10	Pinterest	187	4	6	9m 56s

Source: Nielsen Online Ratings, October 2012

- 4.29 Facebook is now part of most people's web lives, Twitter is where a lot of people are reading the breaking news and if you want to be entertained then just dial into YouTube.
- 4.30 The Te Kuiti Visitor Information Centre i-SITE Facebook page has also become popular over the past few months with 68 likes to date. This page is used to promote events and activities available across the District.

4.31 Waitomo Way newsletter

4.32 This year the newsletter was published quarterly in April (Summary Annual Plan), July and October.

4.33 There are currently 58 people subscribed to the online newsletter.

4.34 Recommendations

4.35 I recommend that the newsletter be published on a two-monthly basis. This would allow for the following improvements:

- The newsletter would include more current Council news and information;
- The content would be concise and easy to read.
- The publication would become more recognised by the community
- This will lead to an increase in subscribers to the newsletter and the growth of the database.

4.36 On this basis, the publication schedule for the Waitomo Way would be:

1. February
2. April
3. June
4. August
5. October
6. December

4.37 The Buzzit Platform

4.38 WDC use an online (or digital) web platform to create the Waitomo Way. This platform has three separate components being:

1. Buzzit Newsletter: A digital newsletter platform that is viewed by an audience online or via e-mail.

Newsletters can include a range of photo albums, video, sound, calendar synchronisation, polls and links to all social media. Newsletters are built completely in HTML5 - this enables them to be viewed easily on all screen sizes (mobile phone, tablet, laptop, desktop) and quickly downloaded even on slow dialup and rural connections.

2. Buzzit Notify: A secure database of customers, residents and/or ratepayers contact information and preferences that you can send customised information directly to. WDC currently have 58 contacts in the database.
3. Buzzit Consult: Online consultation software that enables WDC to capture individual or group opinions and feedback about specific issues.

Buzzit Consult can incorporate polls, surveys, online discussion, questionnaires, detailed submission and question forms.

Powerful reporting functionality gives the administrator easy filtering, evaluation and analysis of results making it perfect for annual planning, long term planning and customer satisfaction surveys.

- 4.39 By utilising these three components, WDC can build a subscriber database and use this information to consult with the community and carry out customer surveys.
- 4.40 In order to utilise these tools to their fullest potential, more focus will be made on increasing the subscriber database.
- 4.41 This can be through using the current communications methods such as publishing messages on Facebook, in the Community Update and on Councils website.
- 4.42 WDC Website**
- 4.43 One of the remaining actions for the website for 2013/14 is the implementation of the ability for ratepayers to pay their rates invoice online, via the website.
- 4.44 This project has been delayed due to other work commitments. It is anticipated that the project will be completed by 30 June.

Recommendation

The business paper Progress Report Communications Strategy Implementation Plan be received.



C.E. (KIT) JEFFRIES
GROUP MANAGER – CORPORATE SERVICES

2 December 2013

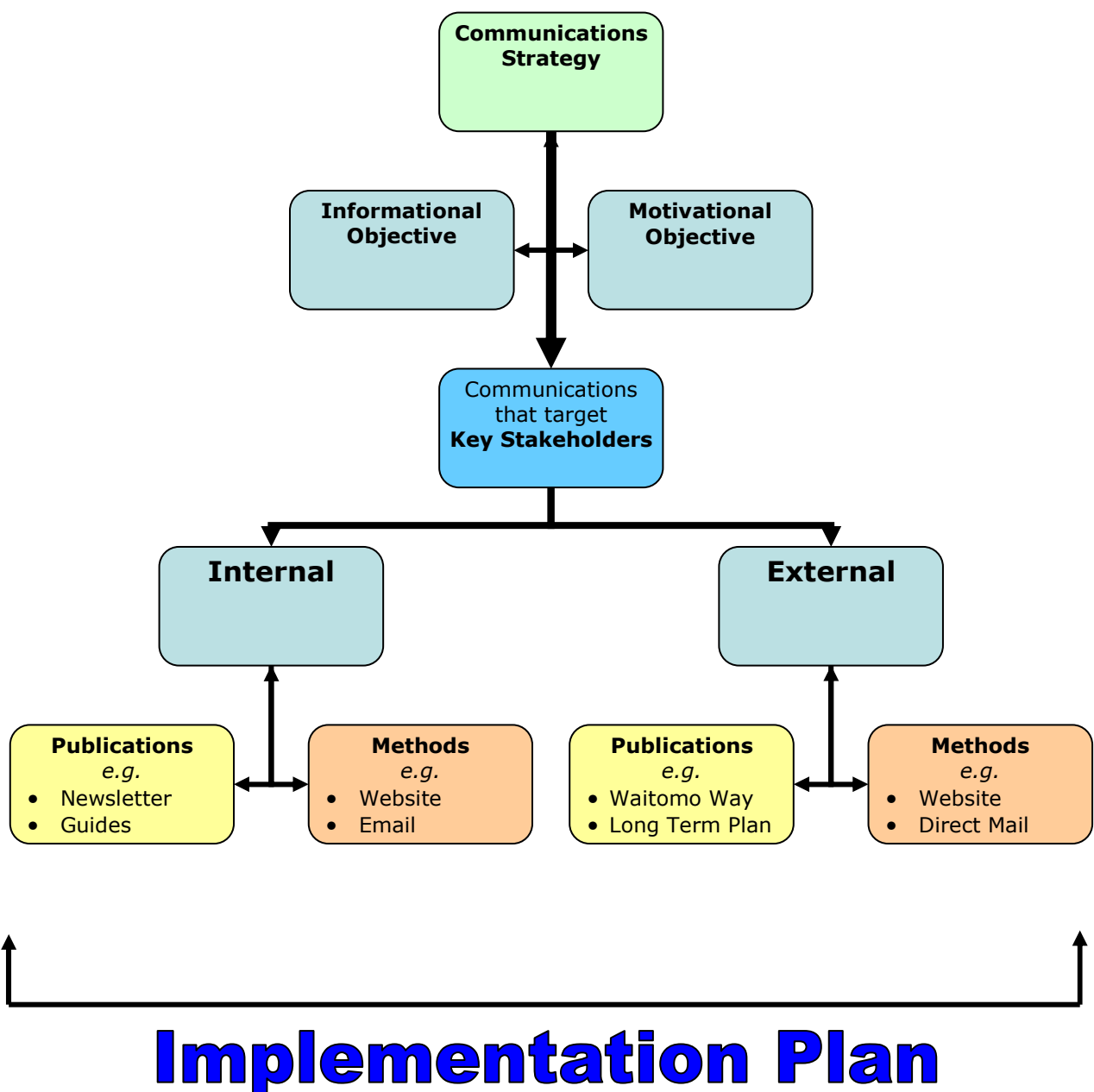


Communications Strategy Implementation Plan

(As at 29 November 2013)

Introduction

- 1.1 WDC's Communications Strategy document (adopted October 2011) gave a picture of why good communication with the community is important and a framework of the types of communications methods that should be used by the organisation in order to communicate effective management and delivery of Council services.
- 1.2 This Implementation Plan provides further details of how Council will implement its Communications Strategy. The focus is on activities and key projects to be undertaken in order to implement the strategic intent.
- 1.3 The following diagram shows the link between communications objectives and the actions that are required to be undertaken in order to achieve those objectives.



Communication Method or Focus Area	Stake-holder Group	2013/14	2014/15	2015/16
Communications Officer Role	Internal & External	<ol style="list-style-type: none"> 1. Review Method used to measure Resident Satisfaction on an Annual basis. 2. Implement approved method for measuring Resident Satisfaction. 3. Develop Communications Protocols/ or standard operating procedure for all communications activities. 	<ol style="list-style-type: none"> 1. Review of WDC Branding 2. Develop Style Guide for publications and communications 	
Technology ✓ Intranet ✓ Website ✓ Social Media ✓ IT Applications	Internal	<ol style="list-style-type: none"> 1. Development of Intranet for Staff and Elected Members 	-	-
	External	<ol style="list-style-type: none"> 1. Develop Social Media site(2) 2. Review Radio Advertising methods and schedule 3. Develop email-distribution list for key projects 4. Implement Online Payment of Rates 	<ol style="list-style-type: none"> 1. Implement Online public access to Rating Information Database 2. Implement Te Reo on the website. 	
Maori Consultation ✓ Printed Correspondence ✓ Advertising ✓ Meetings	Maori	<ol style="list-style-type: none"> 1. Identify Maori stakeholders (in association with Te Puni Kokiri) 2. Develop communications account management plan for each stakeholder 	<ol style="list-style-type: none"> 1. Develop Iwi communication management plan in consultation with Te Wananga O Aotearoa. 	
Public Consultation ✓ Printed Correspondence ✓ Advertising ✓ Summary of Information ✓ Displays at Key Locations ✓ Public Meetings	External	<ol style="list-style-type: none"> 1. Review Key Locations and Displays for public consultation. 2. Review distribution method for Summary of Information. 		

Document No: 321700

File No: 037/043

Report To: Council**Meeting Date:** 10 December 2013**Subject: Motion to Exclude the Public for the Consideration of Council Business****Purpose of Report**

- 1.1 The purpose of this business paper is to enable the Council to consider whether or not the public should be excluded from the consideration of Council business.

Commentary

- 2.1 Section 48 of the Local Government Official Information and Meetings Act 1987 gives Council the right by resolution to exclude the public from the whole or any part of the proceedings of any meeting only on one or more of the grounds contained within that Section.

Suggested Resolutions

- 1 The public be excluded from the following part of the proceedings of this meeting.
- 2 Council agree the following staff, having relevant knowledge, remain in attendance to assist Council with its decision making: ...
- 3 The general subject of each matter to be considered while the public is excluded, the reason for passing this resolution in relation to each matter, and the specific grounds under Section 48(1) of the Local Government Official Information and Meetings Act 1987 for the passing of this resolution are as follows:

General Subject of each matter to be considered	Reason for passing this resolution in relation to each matter	Section 48(1) grounds for this resolution
1. Progress Report: Mayoral Forum Work Streams and Regional Shared Service Initiatives	7(2)(i) Enable any local authority holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)	48(1)(a)

This resolution is made in reliance on Section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and the particular interest or interests protected by Section 6 or Section 7 of that Act or Section 6, Section 7 or Section 9 of the Official Information Act 1982 as the case may require are listed above.

A handwritten signature in blue ink, appearing to read "Michelle Higgie".

MICHELLE HIGGIE
EXECUTIVE ASSISTANT