

Appraisal Report

Appraisal Report for Hurunui / Kaikōura Earthquake

Disposal Authority

Appraisal Report

**Functions, activities and records evaluation for
all Public Offices with public records affected by the
Hurunui / Kaikōura Earthquake and aftershocks.**

File/Document ID	A928370 2017/0879
Agency	All Public Offices with public records affected by the Hurunui / Kaikōura Earthquake and aftershocks.
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Date	01 August 2017

Purpose

On 13th November 2016, New Zealand experienced a significant earthquake in the Hurunui District, the shock of which was widely felt across New Zealand. This earthquake event was followed by numerous aftershocks.

During the earthquake and subsequent aftershocks, a number of public offices suffered damage to records in their offices and storage areas. A number of buildings have suffered significant damage and a few agencies have been unable to access their offices for significant periods.

While we are not aware of any record loss to date, there may be recordkeeping implications of the earthquake. Both physical and digital records may have suffered damage directly. Other records may not be retrievable if the buildings that they are in are designated for destruction.

The proposed Hurunui / Kaikōura Earthquake Disposal Authority is intended to assist public offices, which have records either damaged or irretrievable owing to the Hurunui / Kaikōura Earthquake and its aftershocks, in applying for authorisation for the final destruction or archiving of records under section 20 of the Public Records Act 2005 (PRA).

Three classes of the proposed Hurunui / Kaikōura Earthquake General Disposal Authority have been drawn from the Canterbury Earthquake Disposal Authority DA466 and are intended to authorise the final destruction of records that have either suffered damage as a direct result of the Hurunui / Kaikōura earthquake, and/or that cannot reasonably be salvaged. One class is intended to authorise the transfer of archives to Archives New Zealand.

The Canterbury Earthquake Disposal Authority was chosen as the model for the Hurunui / Kaikōura Earthquake General Disposal Authority as it was the best fit for the spectrum of possible outcomes that the Hurunui / Kaikōura Earthquake could cause for record holdings. At the point of writing this Appraisal Report, it has not been possible for government agencies to determine the full impact on records.

Scope

The use of this Disposal Authority is limited in use to those public offices that have public records that have been destroyed or damaged as a direct result of the Hurunui / Kaikōura Earthquake or its aftershocks. It does not cover any damage or destruction to public records that occurred prior to the earthquake. A valid disposal authority is not a defence or excuse for destroying or otherwise disposing of records for a fraudulent or illegal purpose.

This Disposal Authority applies to both physical and digital records.

Format

Physical and digital records.

Methodology

This Disposal Authority has been based on the following sources:

The Appraisal Statement issued by Archives New Zealand in 2014 has been consulted, and the following statement about the purpose of appraisal in section 5.1 is relevant.

“Appraisal is a process of risk analysis; it involves a balance between the cost of continued retention, maintenance, migration and preservation and the risks that may be incurred if the information and records were no longer accessible or destroyed. Retention of information and records requires more than demonstrating that they have value; that value needs to clearly outweigh the costs of ongoing management.”

Canterbury Earthquake Disposal Authority DA466

- This Disposal Authority covers records damaged during the Canterbury Earthquakes as it was able to use the definition of the Canterbury Earthquakes provided by the Canterbury Earthquake Recovery Act 2011.

Kaikōura Earthquake is defined in the Hurunui/Kaikōura Earthquakes Emergency Relief Act 2016 in Part One, Section 3 (1)

Hurunui/Kaikōura earthquakes or earthquakes—

- (a) means the earthquakes that occurred on 14 November 2016 in Hurunui and Kaikōura; and
(b) includes any earthquake that occurs in, or significantly affects, the earthquake-affected area on or after 14 November 2016

Definitions of damage and destruction are derived from their Oxford Dictionary meanings, i.e.

Destruction: “the action of causing so much damage to something that it no longer exists or cannot be repaired”

Damage: “physical harm impairing the value, usefulness, or normal function of something”

Archives New Zealand’s Methods of Destruction factsheet advises that when destruction is the disposal action for a group of records.

“Destruction in any form should be irreversible, secure and documented.”³

Destruction is therefore defined as the situation where the physical form or carrier of the record

no longer exists or has been damaged to such an extent that none of its information can be retrieved. Damage is defined as the situation where the physical form or carrier of the record still exists and there is a possibility of its information being retrieved.

In adopting the Disposal Authority above it is recognised that it was constructed with reference to the two Australian Disposal Authorities listed below.

National Archives of Australia¹

- General Records Authority 30: Records damaged beyond recovery in a natural disaster, a defined emergency or other unforeseen circumstance.

Queensland State Archives²

- Notification of lost public records
- Application to dispose of damaged public records
- Listing of damaged or lost public records

Using the record class structure identified in the Canterbury Earthquake Disposal Authority DA466 has informed the class structure used in this General Disposal Authority.

¹ National Archives of Australia (2011). *General Records Authority 30 - Records damaged beyond recovery in a natural disaster, a defined emergency or other unforeseen circumstance*. <http://www.naa.gov.au/records-management/keep-destroy-transfer/authorities/GDAs/GRA30.aspx>

² Queensland State Archives (2011). *Disaster recovery for public records*. <http://www.archives.qld.gov.au/flood/default.asp#records>

³ Archives New Zealand (2016). *Methods of Destruction*. <http://records.archives.govt.nz/resources-and-guides/>

Class 1.0 – Records that have been completely destroyed.

Description

This is where the physical form or carrier of the record no longer exists or has been damaged to such an extent that none of the information can be retrieved. This case can include either physical or digital records. These records, despite the possible value of their content are simply unable to be retrieved or recovered.

Retention and disposal recommendation

Document the destruction of these records and provide evidence to inform the Chief Archivist's decision that the Disposal Authority applies.

Evidence of the destruction that should be provided by an agency to obtain confirmation from the Chief Archivist may include but is not limited to:

- Photographs;
- Official reports confirming destruction of records such as:
- Chartered Professional Engineer reports;
- Report from a full member of the New Zealand Conservators of Cultural Materials (NZCCM) association;
- Analysis of value of records (e.g. a current Disposal Authority);
- Records list.

Class 2.0 - Records that are unable to be salvaged due to unreasonable restoration costs.

Description

This is where the physical form or carrier of the record still exists despite damage and it still holds its information. However, the cost of restoring the record to a useable condition outweighs its value as a business or archival record.

Sub-class 2.1

Archival or long term business value as defined by a current Disposal Authority/General Disposal Authority or that have been justified as being of archival or long term business value; Records that are vital for ongoing business activity.
[Use class 4.1 of the schedule if the records can be salvaged and need to be transferred to Archives New Zealand.]

Sub-class 2.2

Medium and short term business value as defined by a current Disposal Authority/General Disposal Authority or that have been justified as being of medium or short term business value; Records close to the end of their minimum retention period; Records not required for ongoing business activity.
While it is a theoretically possible to salvage these records, the cost of doing so outweighs the archival value of the records.

This class includes physical and digital records.

Retention and disposal recommendation

Records in this class may be destroyed after obtaining confirmation from the Chief Archivist.

Sub-class 2.1

Evidence that should be provided by an Agency to obtain confirmation from the Chief Archivist may include but is not limited to:

- Cost Benefit Analysis;
- References to a current Disposal Authority or General Disposal Authority;
- Official status report on condition of high value records by qualified professional;
- Order from Civil Defence Emergency Management Act Group or Controller or similarly appointed official;
- Report from a full member of the New Zealand Conservators of Cultural Materials (NZCCM) Association;
- Report justifying the value of the records;
- Consultation with stakeholders;
- Records List.

Sub-class 2.2

Evidence that should be provided by an Agency to obtain confirmation from the Chief Archivist may include but is not limited to:

- References to a current Disposal Authority or General Disposal Authority;
- Order from Civil Defence Emergency Management Act Group or Controller or similarly appointed official;
- Records list.

Class 3.0 - Records that are reasonably unable to be salvaged because they are deemed permanently inaccessible or irretrievable due to severe hazard or health and safety risk.

Description

This is where the records are unable to be salvaged because the location in which they are stored is deemed permanently inaccessible due to severe hazard or health and safety risks.

This includes undamaged records where it is anticipated that the records will be damaged beyond repair or will become irretrievable in the process of dismantling or destroying the storage location. This class includes physical and digital records.

While it is theoretically possible to salvage these records, value of the content of the records is outweighed by the health and safety risks to staff undertaking the retrieval.

Retention and disposal recommendation

Records in this class may be destroyed after obtaining confirmation from Chief Archivist.

Evidence that should be provided by an Agency to obtain confirmation from the Chief Archivist may include but is not limited to:

- Order from Civil Defence Emergency Management Act Group or Controller or similarly appointed official;
- Legislative or regulatory references e.g.: Health and Safety at Work Act 2015,
- Civil Defence Emergency Management Act 2002,
- Building Act 2004;
- Photographs;
- Records List.

Class 4.0 - Records that are of archival value that are able to be salvaged.

Description

Archival value records as defined by a current Disposal Authority or General Disposal Authority; or that have been justified as being of archival value.

Records in this group can be salvaged and need to be transferred to Archives New Zealand early for preservation reasons. This class can include either physical or digital records.

These records are of sufficient archival value for retention to be considered appropriate. However, the condition that the records are in is such that for preservation reasons it is necessary to transfer the records earlier than the usual timeframe to Archives New Zealand.

This class includes physical and digital records.

Retention and disposal recommendation

Transfer to Archives New Zealand after obtaining confirmation from the Chief Archivist.

Evidence that should be provided by an Agency to obtain confirmation from the Chief Archivist may include but is not limited to:

- References to a current Disposal Authority or General Disposal Authority;

- Report from a full member of the New Zealand Conservators of Cultural Materials (NZCCM) Association;
- Consultation with stakeholders;
- Report justifying the value of the records;
- Records List.

Access Recommendations

[Removed]

Refer to any sentencing guidelines accompanying this report for specific recommendations:

- **records must be kept for the minimum period specified**
- **records may be destroyed at any point once the minimum retention periods have passed. Records do not have to be destroyed; the agency may keep them for longer if required.**

This authority is valid for a period of 10 years from date of signing, unless previously agreed with the Chief Archivist.