Archives
New Zealand
Te Whare Tohu Tuhituhinga
O Aotearoa

APPRAISAL REPORT: Transfund New Zealand

JOB NO:	**OP 2001/113**	**CONTRACT:**	**213**
AGENCY:	**Transfund New Zealand**		
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1. EXECUTIVE SUMMARY

Transfund New Zealand has requested a retention and disposal schedule for its closed multiple number subject file classification system, its current alpha numeric electronic and paper file classification system, and its unregistered records.

Transfund is a stand-alone Crown entity established in 1996 under the Transit New Zealand Act 1989 and the Transit New Zealand Amendment Act 1995 and is responsible for providing funding for the National Roading Programme. As Transfund is responsible for allocating approximately $1 billion dollars per annum of taxpayers' money appraisal decisions have concentrated on issues of accountability – political, legal and financial.

The records examined cover the entire range of its activities and a class-based schedule has been adopted as best reflecting the records' classification structure, which is organised according to the department's functions. As the electronic record system has been in operation for less than a year many of the electronic files are either empty or contain few documents. This has necessitated a more intensive examination of paper files from the previous recordkeeping system, and appraisal decisions thereby reached have been applied to the present parallel electronic/paper system.

Quantity of paper records recommended for <u>transfer as public archives</u>:	20 lm (20%)

Quantity of paper records recommended for <u>destruction</u>:	80 lm (80%)
Estimated annual transfer rate of paper records to Archives New Zealand:	c. 5 linear metres[1]

2. APPRAISAL CIRCUMSTANCES

In February 2002 Transfund New Zealand introduced a new electronic recordkeeping system and contracted Archives New Zealand's Appraisal Section to produce a retention and disposal schedule for its closed paper records and for its current paper and electronic records. That a considerable number of records are stored offsite and Transfund's onsite storage capacity is very limited were also probably motivating factors in approaching Archives New Zealand.

3. AGENCY INFORMATION

Transfund New Zealand was established on 1 July 1996 under the Transit New Zealand Amendment Act 1995. It was one of two organisations formed by the separation of Transit New Zealand into a funding body (Transfund New Zealand) and a service provider (Transit New Zealand).[2] As well as being responsible for the allocation of funding for the national roading network, Transfund provides advice to Transit New Zealand and Road Controlling Authorities (e.g., regional and city councils) and audits their performance *re* the provision/maintenance of a safe and efficient roading system. Transfund is governed by a Board, which decides upon submissions presented by Transfund's staff on proposed roading projects, research and safety projects, the formulation of strategies and policies, and the like. The Board, in turn, reports to the Minister of Transport with regard to the land transport policy of the government of the day. Transfund's National Office is located in Wellington and it has regional offices in Auckland, Christchurch and Wellington.

The principal objective of Transfund New Zealand is the allocation of resources for the maintenance and development of a safe and efficient roading system. It derives its functions from the Transit New Zealand Act 1989 and receives funding from the Government's National Roads Fund.[3]

Transfund New Zealand's responsibilities include allocating funding consistently on the basis of expected national benefits for a given cost, as well as developing and applying policies that optimise the value of the roading asset, and pursuing efficiency through contestability.[4]

The organisation is currently split into five functional divisions. Policy and Strategy is responsible for writing policies governing Transfund New Zealand's key activities. Planning and Evaluation develops and manages the National Roading Programme.

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[1] The approximate accretion rate is 20 linear metres per annum. We have not attempted to estimate the quantity of electronic records.
[2] Transfund New Zealand, *Directory of Official Information 1997-9* (Wellington: Department of Justice, 1997), 498. See Appendix I, Archives New Zealand's agency documentation for Transit New Zealand, AAZZ for further information. Transfund is not registered as an agency in Archives New Zealand's archival description system, GAIMS, as yet.
[3] Transfund home pages URL http:/www.transfund.govt.nz/intro.html.
[4] Transfund New Zealand, *Directory of Official Information 1997-1999* (Wellington: Department of Justice, 1997), 498.

Operations liaises with regional councils and road controlling authorities on issues including Transfund policy and the monitoring of the National Roading Programme. The Performance and Monitoring Group oversees the performance of land transport outcomes and competition, capital cost and value monitoring, benchmarking performance against key performance indicators and facilitating consensus on industry best practice. The Finance and Information Services Group manages financial stewardship and provides business and strategic information systems. Corporate Services is responsible for Transfund's human resources, communications and administrative activities.[5]

4. METHODOLOGY

The records systems used by Transfund are organised according to the functions performed by that department and are compatible with an appraisal employing a functional analysis approach. A selective examination of the records has been undertaken to determine the type of information recorded, and a schedule based on the file system has been adopted to enable Transfund staff to implement the appraisal recommendations easily, particularly in regard to Transfund's recently established electronic/paper record keeping system.

5. PRECEDENT

As Transfund was established as a separate crown entity in 1996 in line with the prevailing government practice of distinguishing between policy/provider sections of government departments, and as this is the first appraisal of Transfund's records, there is no precedent available.

6. DESCRIPTION, EVALUATION & DISPOSAL RECOMMENDATIONS

This appraisal covers three series of records created by Transfund: 1) Multiple Number Subject File Classification system, 1996-2001; 2) Alpha numeric electronic and paper file classification system, 2001- current; 3) Unregistered routine financial and human resources records, 1980s - current:

6.1 Transfund Head Office Registered Files

Date Range:	1996-2001
Quantity:	C.25 linear metres
System of Arrangement:	Multiple Number Subject Files
Physical Format:	Paper Files
Function:	Document Transfund's fulfilment of its statutory requirements

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[5] Transfund New Zealand, *Directory of Official Information 2001-2003* (Wellington: Department of Justice) 625-6

Value:	These records document the full range of Transfund's functions and activities and therefore vary in value.
Recommendation:	See below

The first series comprises paper records covering the full range of functions: administration, information management, publications, corporate governance, relationships with industry and professional organisations, legislation, financial management, research, human resources, strategic planning and policy, management of roading and passenger projects.

6.2 Transfund Head Office Registered Files

Date Range:	2002 - current
Quantity:	C.10 linear metres
System of Arrangement:	Alpha Numeric Files
Physical Format:	Electronic files/paper files
Function:	Document Transfund's fulfilment of its statutory requirements
Value:	These records document the full range of Transfund's functions and activities and therefore vary in value.
Recommendation:	See below

The second series comprises electronic and paper records covering the above range of functions. The electronic and paper records form a parallel system with both media sharing the same file references. The paper files contain original key correspondence from other agencies.

6.3 Transfund Head Office Various Unregistered Files

Date Range:	1980s – current
Quantity:	C.65 linear metres
System of Arrangement:	Not applicable
Physical Format:	Paper Files, Bound Publications, Pamphlets
Function:	This series contains a wide range of original and published documentation and consequently the archival value of different items varies considerably.
Value:	See below
Recommendation:	See below

The third group comprises a wide array of documents: financial records such as investment portfolios and statements; copies of reports, minutes of meetings, guidelines and standards from predecessor/ allied agencies and industry organisations on subjects such as state highways, road safety, road traffic; Transfund board agendas, minutes and submissions; annual reports and statements of intent; Transfund publications; published research reports and associated research materials; technical audit reports; conference papers; road and transport studies; industry magazines.

Class 1. Allocation of Funds records

Recommended for retention as public archives

- These files contain evidence of Transfund's primary function of providing funding for the National Roading Programme.

The main file sequence deals with individual projects. This typically may include: a) correspondence with other departments such as Ministry of Transport and Transit New Zealand, Road Controlling Authorities such as city, district and regional councils, Ministers and Members of Parliament, industry organisations and community groups; b) applications for funding of projects with accompanying budgetary calculations, consultancy reports and independent peer review, benefit/cost ratios (1.1, 1.15); c) legal opinions on Transfund's statutory role and its legislative responsibilities and powers, especially in regard to the management of risk; project progress updates and costings; tenders and contracts; d) commentary on specific studies (1.3); e) recommendations for adjustments to the National Roading Programme (for the current financial year) or for emergency financial assistance (for example, in cases of storm damage or subsidence); f) internal submissions to the Transfund Board recommending projects eligible for funding and outlining the economic and social benefits to be obtained.

The Transfund Allocation Programme System (TAPS) is a means of monitoring and reviewing allocations under the National Roading Programme and is used to pay claims on all road projects. It is a Jade electronic database that provides an ongoing summary and control of the statistical data for these projects, and its continued maintenance is strongly recommended (1.4). Fields include name of Road Controlling Authority, Output Class, Work Category, Road Type, Options Considered, Development Status, Project Costs, and Project Benefits.

Transfund also plays an important part in development of transport strategies such as the Regional Land Transport Strategy (1.6), Patronage Funding (1.2), and the National Roading Programme (1.9). Documentation includes the minutes of meetings with local authorities and government departments, discussion papers *re* development of draft procedures and identification of key issues, the development of procedural Manuals (1.7,1.8), investigations into Alternatives to Roading funding such as the Patronage Funding Scheme; memoranda and file notes on interdepartmental and internal committees; briefings to ministers and correspondence from ministers outlining government policy; interdepartmental Memoranda of Understanding *re* the development of a financial planning model for the National Transport Fund (1.12).

While some of the funding allocation documentation is likely to be duplicated at the local/regional authority level, the Transfund documentation is the core record and the most accessible source of national information.

Many of the projects funded by Transfund involve millions of dollars of taxpayers' money and the financial and legal responsibilities entailed require an allocation framework that is completely transparent. These records document the entire process in a way that will bear scrutiny for reasons of accountability.

E.g.		
	AF 04 01 01	Allocation of Funds – Auckland City – Non-Case Managed Projects – Programme Management
	AF 04 02 01	Allocation of Funds – Auckland City – Britomart – Proposal

704-08-01	Waitemata Waterfront Interchange
782-08-01	Case File, NRP: Auckland Regional Council – Britomart Project
AF 109 06 02	Allocation of Funds – Transit NZ – Wellington Region – Wellington Inner City Bypass - Evaluation
AF 109 06 03	Allocation of Funds – Transit NZ – Wellington Region – Wellington Inner City Bypass - Monitoring
600-01-01	National Roading Programme Agreements 1997/1998
530-02	Competitive Pricing Procedures – Physical Works
800-08-02	Transit NZ – Head Office – Heavy Vehicle Limits Investigation Project
540-09	Passenger Transport Policy – Patronage Funding
AF 125 04 02	Allocation of Funds – Portfolio Management – Regional Land Transport Strategies – Auckland Regional Council
AF 129 02 01	Allocation of Funds – National Roading Programme Development 2002-03 – Annual Programme – Working Papers
AF 122 01 01	Allocation of Funds - Transportation Studies – Wellington Region – Hutt Corridor
809-08-03	Project – Wellington Inner City Bypass
AF 118 03 02	Allocation of Funds – 10 Year Forecasting – Modelling – Underlying Assumptions
AF 82 01 01	Allocation of Funds – Auckland Regional Council (82) – Non-Case Managed Projects – Programme Management
AF 81 02 02	Allocation of Funds – Northland Regional Council(81) – Marsden Point access (Rail Link from Oakleigh to Port)
AF 117 07 01	Allocation of Funds – National Roading Programme Development 2001-02 – Reviews – Monthly Reviews
510-04-03	Regional Strategies and Plans - Auckland

Recommended for destruction

- Records that document amendments to Transfund Manuals, the updating of statistical data *re* contract prices (1.8), the development of case management reports (1.5); that contain correspondence from Local Authority Trading Entities (1.8, these files deal with the certification of firms in compliance with the Local Government Act 1974 that Transfund requires on a six monthly basis and contain annual reports. Local Authority Trading Entities are also owned by local authorities who will hold the relevant information); and that deal with communication/publication matters (1.10).

E.g.

530-06	Competitive Pricing Procedures – Cost Adjustment Factors
AF 127-07-01	Allocation of Funds – Competitive Pricing Procedures – Cost Adjustment Factors (Cost Indices) - Maintenance
367-01-31	Reports, Statistics, Financial – Local Authority Trading Entities – Wairoa District Council
AF 127 02 02	Competitive Pricing Procedure – Physical Works - Complaints
AF 115 01 04	National Roading Programme Communications 2002-03 – Publication - Distribution
AF 124 01 03	Case Management System Project – User Requirements

Class 2. Financial Records

Recommended for retention as public archives

- Transfund is responsible for dealing with huge amounts of public money. Financial records that provide a summary overview of revenue/expenditure are recommended for retention as Transfund sends quarterly reports to the Minister in compliance with its Performance Agreement (2.3). Annual financial reports that have been audited and signed off are also recommended for retention (2.4).

E.g.

FI 04 01 01	Finance – Financial Reporting – Analysis – Quarterly – 1st Quarter 2002-03
365-02	Reports, Statistics, Financial - Quarterly

Recommended for destruction

- Financial records that document routine financial transactions, provide monthly financial reports (2.3), outline assets and liabilities, expenditure, performance measures, output classes, internal control reviews, balance sheets (2.1), basic administration and accounting controls (2.2) have no long term value and are recommended for destruction.

E.g.

FI 04-01-07	Finance – Financial Reporting – Analysis – Monthly – 2002 Monthly Reports
365-02	Reports, Statistics, Financial - Quarterly
300-01	Finance, Accounting – General
FI 01-02-01	Finance – Assets – Accounts Receivable - Invoices
	Investment Quote Sheets & Data Forms – Dec 1996
	Accounts Payable Batch 010221 to 010330 – Jul 1997 to Dec 1997
	Cashbook Bank Statements – Dec 1996 to Jan1997
	Month End Reports – Jul 1997 to Jun 1998 AR
	Payroll – 13/13/97 to 02/07/98

Class 3. Governance records

Recommended for retention as public archives

- Records that document the appointment of members to the Transfund Board (3.1), agendas and minutes of Board meetings, Board resolutions, Board policy (3.3) are recommended for retention. The Transfund Board considers a wide range of submissions prepared by Transfund staff, especially with regard to proposals for the funding of roading projects presented by road controlling authorities, the formulation of policy on subjects such as research strategy and research programmes, and the approval or signing off of financial reports.

E.g.

201-01-03	Transfund Board Agenda
200-01-04	Board Minutes from Establishment
200-01-06	Corporate Governance – Board Policy Booklet
GV 01-03-02	Governance – Board – Meetings – Minutes
200-04	Corporate Governance Membership –(Board and Advisory Committee)
GV 01 02 01	Governance – Board –Visits –Auckland 2002
	Minutes of Transfund Meeting – 08/08/97
	Board Papers – 12/12/96
	Board Papers – Submission Numbers – 140 to 155

Recommended for destruction

- Records that document routine administrative functions such as the arrangement of travel by Board members (3.1) are recommended for destruction.

E.g.

GV 01-01-08	Governance – Board – Administration - Travel

Class 4. Facilitating Industry Development records

Recommended for retention as public archives

- Records that document the formulation of research policy, the development of safety audit procedures, and the development of the National Traffic Database for which Transfund has responsibility are recommended for retention. Many of these records provide evidence of Transfund's active promotion of industry participation in the research programme and its adoption of best practice guidelines. This class deals with two of Transfund's primary functions: 1) the fostering of research into all manner of transportation such as the improvement of road surfaces, traffic control, investigation into alternative means of transport, development of major roading scenarios taking into account the full range of economic, social and environmental factors, etc. (4.1, 4.4);
2) The development of safety procedures, discussions on methodology, safety strategic plans, safety management systems and associated pilot schemes (4.2). A third function, which is shared with Ministry of Transport, Transit New Zealand and the Land Transport Safety Authority, involves the development of electronic databases for Road Management systems, to which government agencies, local authorities and the industry sector have access (4.3).

E.g.

260-02	Research Strategy Group
550-04-01	National Traffic Database
600-06-02	National Roading Programme: Development, Management Monitoring – Review and Audit Projects, Safety Audits on Existing Roads
240-08-05	Standing Teams - Safety
600-06-20	Safety Benefits of National Roading Programme Road Construction and Improvements
ID 04 02 01	Masters of Engineering – Funding Agreement
ID 01 04 01	Research – Strategy – 2002-03
ID 01 03 01	Research Strategy Group – Meetings
ID 02 08 08	Safety Management Systems Project – Hurunui Pilot
600-06-25	Safety Management Systems for Rodney and Manawatu District Councils[6]
ID 02 09 01	Safety Audit of Traffic Controls of Roadworks Sites – Review Methodology
ID 02 11 02	Best Practice Guidelines - Consultation
ID 03 02 01	Sector Information Needs - National Traffic Database – Road Network
ID 03 02 03	Sector Information Needs - National Traffic Database – Project Management

Recommended for destruction

- Records that document the administrative processes of the research programme such as the appointment of consultants to prepare reports, and the subsequent publication and distribution of reports (4.1), and that deal with administration of industry training and education (4.4), are recommended for destruction as they are of short-term value.
Records that provide evidence of Transfund's participation on inter-departmental committees where another agency is primarily responsible for the establishment, oversight and communication of a particular committee's discussions are recommended for destruction as the information contained is more appropriately sourced at the latter agency (4.2).

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[6] This file deals with pilot projects for the two District Councils.

E.g.

215-04-03	National Road Safety Advisory Group
215-04-05	National Road Safety Committee
265-01	Industry Education and Training - General
260-05	Research – Researchers Projects
ID 01 02 01	Research – Administration – Contract
ID 01 05 01	Research Reports – Reports
ID 02 01 02	National Road Safety Committee – Quarterly Report
ID 02 02 01	National Road Safety Advisory Group - Meetings
ID 03 04 01	Standards New Zealand Committee
ID 04 01 07	Industry Training and Education – Programme 2001-02 – Safety Audit
ID 04 03 01	Scholarships and Grants - Requests

Class 5. Meeting Accountability Requirements records

Recommended for retention as public archives

- Records that document the process of developing Performance Agreements with the Minister of Transport, Transit New Zealand and Road Controlling Authorities are recommended for retention (5.1). These contain substantial input from the Board, members of staff, the relevant agencies and legal representatives. They define each party's legal and financial responsibilities, the outcomes expected from them, and the measures against which their performance is judged. In this connection, files on legislative matters and containing legal advice and interpretation of legislation under which Transfund performs its functions are also recommended for retention (5.5).

E.g.

MA 03-01-01	Performance Agreement – 2001-2002 – Future Development
MA 03 01 03	Performance Agreement 2001-02 – Development of New Agreement
500-05-01	Performance Measures – General
600-01	NRP: Development, Management Monitoring – General (including Agreements)
600-01-01	NRP: Development, Management Monitoring – NRP Agreements 1997/98
225-01	Legal Matters – General

Recommended for destruction

- Records that document the development of Annual Reports and Statements of Intent and Estimates are recommended for destruction (5.2). The final versions of these documents are published and the information they contain is accessible in the performance agreement/measures files, submissions to the Board, and Board minutes. Likewise, records dealing with budgets and estimates, which describe the output classes, under which the Minister of Transport purchases services from Transfund, or which outline Transfund's operational revenue and expenditure (5.3) are recommended for destruction. Records that are concerned with e-government initiatives and as such are the province of the State Services Commission are also recommended for destruction (5.4).

E.g.

185-03	Publications – Annual Report
340-01	Budgets, Estimates – General
MA 07-01-02	e-government – Strategy – Programme
MA 04 01 03	Annual Report – 2001-02 – Financial Statements

MA 04 01 05	Annual Report – 2001-02 – Commentary
MA 01 02 01	Statement of Intent – 2002-03 – Development
MA 05 02 05	Estimates – Govt Budget Cycle – 2002-03 – Maintenance Expensed Road Construction Local Roads
MA 05 02 08	Estimates – Govt Budget Cycle – 2002-03 – Process

Class 6. Managing Transfund records

Recommended for retention as public archives

- Records that document policy decision-making at a high level are recommended for retention, e.g. development of the department's corporate strategy in light of major issues facing Transfund such as Passenger Transport Systems (6.15), risk management planning in line with political and legal requirements (6.17), organisational structure and changes thereto (6.7), deliberations of the Management Team and Steering Group (6.5), Project Management (6.18).

E.g.

MT 16 02 04	Business Assurance – Risk Management – Audit and Risk Management Committee
MT 16 02 02	Business Assurance – Risk Management – Legislative Compliance
100-05	Disaster Recovery
MT 03 01 01	Organisational Development – Structure- Charts
500-05-05	Strategic Planning & Policy – Organisational Review
MT 08 04 02	Internal Procedures – Corporate Services Manual –Policy Development
MT 14 01 01	Strategic Planning – Corporate Strategy – Development
MT 14 01 03	Strategic Planning – Corporate Strategy – Planning
MT 07 01 09	Internal Management – Steering Group – September 2002
MT 17 01 01	Project Management Framework – Project Management Tools

Recommended for destruction

- The following records are recommended for destruction on the basis that they are routine and therefore of short-term value:
1) Human Resource records that document routine employment matters such as salary and leave entitlements, recruitment, job evaluation, employment agreements, staff training, performance appraisals, payroll, section staff requirements (6.1, 6.2, 6.3).
2) Information System/Information Management records documenting the development, acquisition and maintenance of paper and electronic record keeping systems (6.9).
3) Records dealing with the procurement of services, facilities and equipment (6.11).
4) Records dealing with the administration of corporate publications and communications (6.12, 6.13).
5) Administrative records dealing with routine matters such as meetings, travel, timesheets, planning of events (6.14), internal procedures and controls (6.10).
6) Administrative records dealing with business planning and strategic planning by the various sections of Transfund *re* budgets, objectives, key deliverables, quality assurance (6.16)[7].

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[7] Business and strategic planning for the organisation as a whole is covered by subclasses 6.5 and 6.15.

E.g.

MT 06 02 05	Records and Document Management – File Structure Maintenance
MT 01 02 01	Human Resources – Salary Review – Performance Appraisal Guidelines
MT 01 05 03	Human Resources – Collective Employment Agreements - Amendments
MT 01 12 01	Human Resources – Equal Employment Opportunity – Data Collection
MT 15 03 01	Business Planning 2001-02 – Executive – Plan
110-01	Accommodation – General
162-01	Information Systems – General
400-01	Corporate Services Management – General
400-07	Corporate Services Management – National Office Relocation
105-04-01	Administrative Support Services – Telephone Services – External
MT 18 05 01	Business Planning – 2002-03 – Policy and Strategy Group - Plan
MT 18 05 02	Business Planning – 2002-03 – Policy and Strategy Group – Operating Budget
MT 16 02 05	Business Assurance – Risk Management – Insurance
MT 16 03 03	Business Assurance – Internal Controls – Internal Audit
MT 08 01 01	Internal Procedures – Guidelines _ Legislative and Administrative Matters
MT 04 01 01	Quality Assurance – Standing Team – Development
MT 05 03 05	Information Systems – SQL Project (ISSP) – Development
MT 06 04 04	Information Management – Filing System Restructure Project (ISSP) – Framework Development
MT 13 09 02	Administration – Event Co-ordination – Staff Workshop
MT 10 02 01	Internal Publications – Fortnightly Bulletin – Final Issues
MT 11 03 01	Corporate Publications – Transearch – Edition
MT 12 01 01	Communications – Publicity – Feature Articles

Class 7. Performance Monitoring records

Recommended for retention as public archives

- Records that document the development of performance measuring methodology are recommended for retention (7.1) as Transfund has a legal responsibility to monitor the performance of the authorities to which it provides funding. Also recommended for retention are case files documenting serious non-compliance with administrative and financial procedures (7.3).

E.g.

729-05-01	Case File, NRP: Hastings District – Performance Monitoring
759-05-01	Case File, NRP: Selwyn District – Performance Monitoring
PM 01 02 01	Performance Measurement – Competition Monitoring – Physical Works
PM 02 01 61	Auditing – Territorial Authorities – Waimakariri District (61)

Recommended for destruction

- Records that contain details on the appointment and duties of audit teams, audit reports, comments on the reports by the authorities concerned, legal advice on issues such as extensions to contracts, policy discussion on matters such as storm damage requiring additional funding, etc. (7.2). These have short-term administrative value.

E.g.

PM 02 01 01	Auditing – Territorial Authorities – Far North District (01)
PM 02 03 01	Auditing – Theme Audits – Audit Office Reports
PM 02 03 02	Auditing – Theme Audits – Post Construction
PM 02 99 01	Auditing – Transit NZ – Head Office
PM 02 02 89	Auditing – Regional Councils – Wellington Regional Council (89)

Class 8. Policy Making records

Recommended for retention as public archives

- Records that document the formulation of policy concerning Transfund's main functions are recommended for retention. These contain correspondence with interested parties, submissions on draft procedures and discussion papers, investigations *re* the Project Evaluation Manual and the methodology used to determine the models used, information on the political, financial and legal issues involved in what are major decisions affecting the development and maintenance of the nation's infrastructure (8.1 – 8.7).

E.g.

PO 04 01 01	Passenger Transport Community Services - Patronage Funding – Initial Policy Development
PO 01 01 01	Roading Evaluation Procedures – Benefit Parameters Review - Project Management
PO 01 03 01	Roading Evaluation Procedures – Travel Time – Procedures and Values
PO 01 05 01	Roading Evaluation Procedures – Accident Analysis – Procedures
550-03	Policy Projects and Issues – Electronic Tolling
PO 02 01 01	Roading Financial Assistance – Local Roads – Policy Development
560-03-03	Procedures – Costs – Vehicle Operating
560-09	Project Evaluation Procedures: Passing Lanes

Recommended for destruction

- Records that deal with administrative matters such as the appointment of consultants or the filing of the latest versions of updates to the Project Evaluation Manual are recommended for destruction (8.1). Copies of papers produced by other government departments such as Cabinet are also recommended for destruction (8.6).

E.g.

540-09-03	Passenger Transport Policy – Consultant Appointment
PO 01 02 02	Roading Evaluation Procedures – Project Evaluation Manual – 2002 Revisions

Class 9. Relationship Management & Advice records

Recommended for retention as public archives

- Records that document the relationship between Transfund and **high-level core government stakeholders** such as the Minister of Transport, Transit New Zealand and the Land Transport Safety Authority (9.1) are recommended for retention. These provide evidence of policy development, of discussion of the effects of policy on, for example, compliance costs, and of the political, economic and legal implications involved..

E.g.

RM 02 02 04	Relationship Management and Advice – Central Government – Minister of Transport - Correspondence
RM 02 99 01	Relationship Management and Advice – Central Government – Transit New Zealand – Head Office

Recommended for destruction

- Records that document correspondence and advice given to local government roading authorities (9.2), industry and professional organisations (9.3 – 9.4) are recommended for destruction. These contain agendas and minutes of local authority meetings, correspondence with interested community groups, conference programmes and papers presented, invitations to Transfund to attend seminars, discussions between Transfund and industry groups on matters of public policy. Documentation and correspondence on key issues raised by these organisations appears on files in classes 1 (Allocation of Funds), 4 (Facilitating Industry Development) and 8 (Policymaking).

E.g.

RM 03 04 02	Relationship and Management Advice – Local Government – Regional Land Transport Committees (RLTC) - Auckland
RM 03 01 86	Relationship and Management Advice – Local Government – Regional Councils – Hawkes Bay Regional Council(86)
RM 05 16 01	Relationship and Management Advice – Industry and Professional Organisations – Road Transport Forum New Zealand
RM 06 05 01	Relationship Management and Advice – International – Australian Road Research Board
215-06-02	Industry & Professional Organisations – Bus & Coach Association (Circular)
RM 01 01 01	Relationship Management and Advice – Market Surveys – Stakeholder Survey

Class 10. Miscellaneous Records

Recommended for retention as public archives

- Records that document the following are recommended for retention:
1) Submissions from Road Controlling Authorities on the annual Maintenance Programme and the National Roading Programme[8].
2) Scheme Assessment Reports and Project Information Sheets, Technical Reports and Reviews, Assessment Plans.
3) Manuals such as the Project Evaluation Manual/ Programme and Funding Manual/Competitive Pricing Procedures Manual which set out the prerequisites for funding applications/funding allocations, and the working papers dealing with their ongoing development.
4) Papers dealing with legal matters or covering litigation in which Transfund has involvement.
5) Agendas, minutes and papers of Transfund meetings.
6) Correspondence of the Chief Executive.

E.g.

	Submission: Technical Review of Local Roading – Ruapehu District Council – May 1997
	Maintenance Programme Submissions From RCA's 1997/1998 NRP Regions 7 & 8 – Nov 1996
	Project Info Sheets 97/98 NRP: Roberts Line, Finnerty Rd to Andersons, Papatawa Guardrail, Bird Rd Passing Lane, AIS Projects Rd Reconstruction, Bridge Renewal

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[8] Subclasses 10.1 and 10.2 cover submissions and scheme assessment reports that have not been allocated to a particular file number.

	Scheme Assessment
	Project Evaluation Manual – Material Diane Pratt
	Technical Review of Local Roading. Queenstown – Lakes District. Audit: March 2000 Report: Nov 2000
	Transfund Litigation With Road Transport Forum, Section 3D
	Project Evaluation – Development of Project Evaluation manual 8/96 – 11/97
	Minutes of T/Fund meeting – 08/08/97
	Information Report for the Transfund Board – Quarterly Safety Report – Jun 1999
	Chief Executive Correspondence – Jul to Nov 1998

Recommended for destruction

- Records that document the following are recommended for destruction:

7) Transfund publications such as Annual Reports, Statements of Intent, Research Reports, "TransSearch", "TransBrief", "TransSafe" as these are available in the public domain.

8) Textbooks, magazines, articles and other publications produced by other agencies, industry organisations and individuals.

9) Annual Reports/Plans, Manuals, minutes of meetings and studies issued by other agencies.

10) Duplicates of records created by Transfund.

11) Routine administrative records such as mail registers, orders for stationery and office equipment, visitors' registers.

12) Conference agendas, papers and notes.

E.g.

	Transfund NZ Annual Report 2000/2001
	Research Report #216: Weathering Characteristics of Modified Marginal Aggregate
	Statement of Intent – 1996/1997
	Routes Roads Magazine
	Textbook – Engineering Hydrology
	Hawkes Bay Regional Council Annual Plan 1998/1999
	Local Authorities Roading Needs – No.9A Roads District Investigating Teams Report – Mar 1990
	Transit NZ: Authority Visit to Manawatu – Wanganui Region
	Transit Minutes of Meeting – 01/07/98
	Research Material – MOT Discussion Document – The Investigation & Reports of Road Accidents
	Auckland Regional Grants Forum
	LTSA Road & Traffic Guidelines – Jun 1997
	Miscellaneous – Reception Information
	T/Fund Inward Mail & Faxes – 01/05/97 to 28/08/97
	Transfund NZ File Sizes (red folder)
	ASTRA Office Products – Packing Slips & Purchase Orders
	ITE Conference Melbourne - 1996
	NZRF Conference Procedures - 1999

7. ACCESS RECOMMENDATIONS

[Has Been Removed]

8. TRANSFER CONDITIONS

[Has Been Removed]

9. RETENTION AND DISPOSAL PERIODS

The recommendations for destruction in this appraisal are permissive rather than mandatory meaning that, once approved, these records maybe destroyed without further approval from the Chief Archivist.

10. SUMMARY OF DISPOSAL RECOMMENDATIONS

Quantity of paper records recommended for <u>transfer as public archives</u>:	20 lm (20%)
Quantity of paper records recommended for <u>destruction</u>:	80 lm (80%)
Estimated annual transfer rate of paper records to Archives New Zealand:	c. 5 linear metres[9]

Signed: Date:

[Name Removed]
Archivist
Appraisal Section
Archives New Zealand

 (04) 499-5595

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[9] See footnote 1.