

DISPOSAL AUTHORITY NUMBER:

SCHEDULE REFERENCE:

THIS AUTHORITY EXPIRES IN:
2012



AUTHORISING AGENCY:

AGENCY COVERAGE:

SCOPE:

TRANSFUND NEW ZEALAND
TRANSFUND NEW ZEALAND
THIS SCHEDULE RELATES TO THE FOLLOWING RECORDS SERIES: 1) ALPHA-NUMERIC FILE CLASSIFICATION SYSTEM (CURRENT) 2) MULTIPLE NUMBER SUBJECT FILES (CLOSED) 3) UNREGISTERED RECORDS (CURRENT AND NON CURRENT)

No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
1.0	ALLOCATION OF FUNDS (AF)			
1.1	Allocation of Funds: by City, District, Region or Head Office	Project files containing Programme Management, Proposal, Evaluation, Monitoring, Competitive Pricing Procedures issues. Documentation is likely to include applications for funding, funding deeds, policy discussion and interpretation, Ministerial briefings, submissions to the Board, consultancy reports, project models, costings, legal opinions on statutory	10 years after date of last action	Retain as public archive

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Destroy = destruction to be carried out in a secure manner.

No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
1.1	Allocation of Funds: by City, District, Region or Head Office (continued)	role/powers, performance based contracts, funding models, Audit Office opinions, correspondence from Members of Parliament business and community groups.		
1.2	Passenger Transport	Patronage Funding by region including approvals, policy, administration costs, Standing Teams. Documentation includes project briefs, steering group minutes, identification of key issues.	10 years after date of last action	Retain as public archive
1.3	Transportation Studies	Studies by region. Documentation includes draft reports with comments by Transfund staff, minutes of inter-agency meetings.	10 years after date of last action	Retain as public archive
1.4	Allocation Database	Transfund Allocation Programme System (TAPS).	Retain as long as system current ¹	Retain as public archive

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
1.5	Case Management	Project and Reporting. Documentation on the development of a Case Management report.	10 years after date of last action	Destroy
1.6	Portfolio Management	Regional Land Transport Strategies. Documentation on strategy development including drafting and commenting on plans, correspondence and submissions from community groups, compliance with legislative requirements.	10 years after date of last action	Retain as public archive
1.7	Maintenance	Working Groups for Road Assessment/Information Management Systems. Documentation includes the evaluation of models/systems, and development of system manuals.	10 years after date of last action	Retain as public archive
1.8	Competitive Pricing Procedures	Manuals – published/complete.	10 years after date of last action	Retain as public archive
		Physical Works/Professional Services/Passenger Transport – Policy and Variations. Documentation includes discussion of clauses in manual, reviews of changes to CPPs with accompanying economic and legal advice.	10 years after date of last action	Retain as public archive

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
1.8	Competitive Pricing Procedures (continued)	Physical Works/Professional Services/Passenger Transport – Complaints. Documentation includes correspondence from the Private Sector. Advice, Local Authority Trading Entities, Cost Adjustment Indices. Documentation includes statistical data giving updates of contract prices, instructions to amend CPP Manual Cost Indices.	10 years after date of last action 10 years after date of last action	Destroy Destroy
1.9	National Roothing Programme Development	Maintenance, Project Review Process (Roading, Alternatives to Roading), Agreements, Block Allocations Development. Documentation includes approvals of specified funding, adjustments to funding recommendations, draft papers on Project Evaluation Review, process for completing Transfund agreements, signed agreements.	10 years after date of last action	Retain as public archive

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
1.10	National Roothing Programme Communications	Publications. Documentation includes media releases, budgets, published reports.	10 years after date of last publication	Destroy
1.11	National Roothing Programme (Ongoing)	Funding, Standards.	10 years after date of last action	Retain as public archive
1.12	10 year Forecasting	Revenue and Expenditure modelling. Documentation on inter-agency financial planning model.	10 years after date of last action	Retain as public archive
1.13	State Highways	Programme Administration.	10 years after date of last action	Retain as public archive
1.14	Local Roads	Financial Assistance – Annual Review.	10 years after date of last action	Retain as public archive
1.15	Non-Case Managed projects covering City, District, County and Regional Councils, Transit New Zealand, and Department of Conservation	Programme Management. Documentation includes minutes of inter-agency meetings on rail projects and integrated traffic services, funding applications for administration costs and investigative reports, annual project reviews, project phase summary sheets, consultancy reports.	10 years after date of last action	Retain as public archive

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
2.0	FINANCE (FI)			
2.1	Assets and Liabilities	Routine financial accounting such as accounts payable, reconciliations, visa accounts, investment documentation and bank statements, payroll information.	7 years after date of last action	Destroy
2.2	Financial Management System	Asset registers. Manual.	Retain as long as system current	Destroy
2.3	Financial reporting and analysis	Forms, documentation advising on financial processes to be followed, e.g., processing invoices.	Retain for as long as system current	Destroy
2.4	Annual Financial Reports	Monthly reporting of revenue/expenditure. Quarterly reporting of revenue/expenditure. Annual financial reports that have been audited and signed off.	Retain for as long as system current 7 years after date of last action 10 years after date of last action 10 years after date of last action	Destroy Retain as public archive Retain as public archive
No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
3.0	GOVERNANCE (GV)			

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3.1	Administration	Consists of delegations made, Board correspondence, membership, monthly schedules (e.g., submissions, action points, Chief Executive reports).	10 years after date of last action	Retain as public archive
		Distribution of papers, travel arrangements and expense monitoring.	10 years after date of last action	Destroy
3.2	Visits	Details of visits to regions including background documentation for Board's consideration before meeting with local authorities.	10 years after date of last action	Retain as public archive
3.3	Meetings	Consists of agendas, minutes, Board papers, submissions to the Board, Board resolutions.	10 years after date of last action	Retain as public archive
No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
4.0	FACILITATING INDUSTRY DEVELOPMENT (ID)			

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4.1	Research	Administration, Programme and Publication/Distribution of Reports. Documentation includes service level agreements for research administration, the selection of consultants, arrangements for distributing reports, etc.	10 years after date of last action	Destroy
		Research Strategy and Policy Formulation. Documentation includes agendas and minutes of meetings, discussion of evaluation processes, strategy management.	10 years after date of last action	Retain as public archive
4.2	Safety	Safety Audits, Audit Methodology, Safety Management Systems Project, Best Practice Guidelines. Documentation includes discussion documents, progress reports, pilot projects.	10 years after date of last action	Retain as public archive
		National Road Safety Committee/ Advisory and Working Groups.	10 years after date of last action	Destroy

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
4.3	Sector Industry Needs	National Traffic Database, Transport Information System ² . Documentation concerning the development and implementation of Road Management electronic systems accessible to other central and local government agencies, and industry.	10 years after date of last action	Retain as public archive
4.4	Industry training and education	Standards New Zealand Committee. Annual Programme – administration details of training, programmes/workshops, e.g. workshop programmes and participant registration. Masters of Engineering. Documentation includes funding agreements with tertiary institutions.	10 years after date of last action 10 years after date of last action 10 years after date of last action	Destroy Destroy Retain as public archive

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
5.0	MEETING ACCOUNTABILITY REQUIREMENTS (MA)			
5.1	Performance Agreements and Performance Measures	Consists of working papers and final versions of performance measures and performance agreements between Minister of Transport and Transfund, Transfund and Transit New Zealand, Transfund and Road Controlling Authorities.	10 years after date of last action	Retain as public archive
5.2	Annual Report, Statement of Intent	Documentation gathered in the development and production of Transfund's Annual Report and Statement of Intent.	10 years after date of last action	Destroy
5.3	Estimates: Government budget cycle	Documentation concerning the development of output classes and measures under which the Minister purchases services from Transfund, of Transfund's operational budget.	10 years after date of last action	Destroy
5.4	E-Government	State Services Commission's initiative for the New Zealand E-government Strategy.	10 years after date of last action	Destroy

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
5.5	Legislation	Documentation recording major input by Transfund into the framing of legislation, or outlining Transfund's legal powers and obligations.	10 years after date of last action	Retain as public archive
6.0	MANAGING TRANSFUND (MT)	Copies of legislation.	10 years after date of last action	Destroy
6.1	Human Resources administration	Documentation relating to recruitment, leave, training and development, salary reviews, staff surveys, remuneration, job evaluations and reviews, performance appraisals, EEO and payroll.	7 years after date of last action	Destroy
6.2	Staff employment documentation	Consists of individual and collective employment agreements, job evaluations and reviews.	10 years after date of last action	Destroy
6.3	Personnel Files	All staff with the exception of Chief Executives.	10 years after departure of staff member	Destroy
6.4	Personnel Files	Chief Executive.	10 years after departure of Chief Executive	Retain as public archive
6.5	Internal management	Management/Steering Group agendas and minutes.	10 years after date of last action	Retain as public archive

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
6.6	Occupational Health and Safety	Accident Compensation Claims, Health and Safety Programme, Employee Assistance Programme, Stress Management, Health and Safety Committee.	10 years after date of last action	Destroy
		Accident files where death has occurred during the performance of duties.	10 years after date of last action	Retain as public archive
6.7	Organisational development	Structure, roles, restructuring.	10 years after date of last action	Retain as public archive
6.8	Quality Assurance	Documentation on the internal control system with its processes (and associated risks and controls).	10 years after date of last action	Destroy
6.9	Information Systems and Information Management	Documentation concerning the planning, development, procurement and maintenance of systems.	Retain as long as system current	Destroy
		External Publications.	Not applicable	Destroy
6.10	Internal procedures	Procedures re legislative and administrative matters (e.g. dealing with other government departments), communications, corporate services manual.	10 years after date of last action	Destroy

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
6.11	Procurement	Documentation dealing with the provision of services, building facilities, office equipment and supplies.	7 years after date of last action	Destroy
6.12	Publications	Documentation concerning the editing, publishing and distribution of corporate bulletins and publications.	7 years after date of last action	Destroy
6.13	Communications	Documentation concerning publicity supplied by Transfund to the media.	10 years after date of last action	Destroy
6.14	Administration	Documentation concerning internal meetings, travel arrangements, staff social events.	10 years after date of last action	Destroy
6.15	Strategic Planning	Documentation dealing with strategic planning at corporate level.	10 years after date of last action	Retain as public archive
6.16	Strategic Planning and Business Planning	Documentation dealing with strategic and business planning for each of Transfund's business groups.	10 years after date of last action	Destroy
6.17	Business Assurance	Risk management policies.	10 years after date of last action	Retain as public archive
		Internal controls, disaster recovery plans.	Retain as long as systems current	Destroy

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No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
6.18	Project Support	Project Management Development.	10 years after date of last action	Retain as public archive
7.0	PERFORMANCE MONITORING (PM)			
7.1	Performance measurement	Key performance indicators. Documentation <i>re</i> discussion and development of performance measurements.	10 years after date of last action	Retain as public archive
7.2	Auditing	Documentation dealing with Transfund's auditing of (individual) territorial authorities, regional councils, Transit NZ, with return input from the latter parties.	20 years after date of last action	Destroy
7.3	Auditing	Case files documenting serious non- compliance with Transfund's administrative and financial procedures.	10 years after date of last action	Retain as public archive

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8.0	POLICY MAKING (PO)			
8.1	Roading Evaluation Procedures	Consists of production of Reviews, Manuals, Analysis and other procedures which provide the necessary standards against which Transfund sets the level of funding for individual projects.	10 years after date of last action	Retain as public archive
		Versions of updates to Project Evaluation Manual.	10 years after date of last action	Destroy
8.2	Roading Financial Assistance	Relating to particular projects (e.g. local roads, Maori roadways).	10 years after date of last action	Retain as public archive
8.3	Passenger Transport Social Services	Total Mobility and Urban school services.	10 years after date of last action	Retain as public archive
8.4	Passenger Transport Community Services	Patronage Funding (various funding initiatives).	10 years after date of last action	Retain as public archive
8.5	Alternatives to Rooding (including pedestrians and cycling)	Correspondence with interested parties, development of evaluation methodology, e.g. cost-savings formulae.	10 years after date of last action	Retain as public archive
8.6	Government Policy development	Documentation concerning the implementation of government transport policy.	10 years after date of last action	Retain as public archive

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8.6	Government Policy development (continued)	Copies of Cabinet Papers.	10 years after date of last action	Destroy
8.7	Major Projects Review	Documentation relating to case management and prioritisation of major projects.	10 years after date of last action	Retain as public archive
9.0	RELATIONSHIP MANAGEMENT AND ADVICE (RM)			
9.1	Central Government (By agency name)	Core agencies and reporting lines such as Minister of Transport. Documentation includes correspondence, briefings, minutes of meetings.	10 years after date of last action	Retain as public archive
9.2	Local Government including Regional Council's, Local Authorities, Special Purpose entities and Regional Land Transport Committees (RLTC))	By region. Documentation includes advice given to local authorities and information sent by Regional Land Transport Committees such as minutes of committee meetings.	10 years after date of last action	Destroy
No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
9.3	Industry and Professional	By name of organisation. Documentation	10 years after date of last action	Destroy

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9.4	Organisations International	includes submissions from organisations on consultative papers and reports prepared by Transfund, presenting a range of opinions from industry's perspective. By name of organisation. Documentation includes conference programmes, travel itineraries, copies of papers presented.	10 years after date of last action	Destroy
10.0	MISCELLANEOUS RECORDS			
10.1	Road Controlling Authorities	Submissions.	10 years after date of last transfer	Retain as public archive
10.2	Project Information	Scheme Assessment Reports, Project Information Sheets.	10 years after date of last transfer	Retain as public archive
10.3	Manuals	Project Evaluation/Programme and Funding/Competitive Pricing Procedures. Documentation includes working papers.	10 years after date of last transfer	Retain as public archive
10.4	Legal papers	Legal opinions, litigation files.	10 years after date of last action	Retain as public archive
No	RECORD CLASS	DESCRIPTION	AGENCY RETENTION PERIOD	DISPOSAL ACTION
10.5	Transfund Meetings	Agendas, minutes and papers.	10 years after date of last action	Retain as public archive
10.6	Papers of the Chief Executive	Correspondence, file notes, etc.	10 years after date of last action	Retain as public archive
10.7	Transfund Publications	Transfund publications, textbooks, magazines.	Not applicable	Destroy

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10.8	Publications	Textbooks, magazines, articles published by other agencies, industry organisations and individuals.	Not applicable	Destroy
10.9	Records produced by other agencies	Annual Reports, business plans, manuals, minutes of meetings, studies.	Not applicable	Destroy
10.10	Duplicates of Transfund records	All duplicates of Transfund documents.	Not applicable	Destroy
10.11	Administrative records	Routine records such as mail registers, orders for stationery and office equipment, visitors' registers.	7 years after date of last action	Destroy
10.12	Conference records	Agendas, papers, notes.	10 years after date of last action	Destroy

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