

**RETENTION AND DISPOSAL SCHEDULE REPORT:
MARITIME NEW ZEALAND RECORDS**

**INCLUDING
RESCUE COORDINATION CENTRE
AND
NATIONAL OIL SPILL COORDINATION CENTRE
RECORDS**

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Client Name: Maritime New Zealand (MNZ)
Disposal Type Class based retention and disposal schedule
Agency Head Office, District offices, National Oil Spill Coordination Centre
Coverage: (NOSCC), Rescue Coordination Centre of New Zealand(RCCNZ)
Scope: All records generated by MNZ that are NOT covered by Archives New Zealand GDAs

1. Executive Summary

In 1997, a retention and disposal schedule for the Head Office of Maritime New Zealand (then known as the Maritime Safety Authority) was approved by the Chief Archivist. Retention schedules for the District Offices and for the National Oil Spill Coordination Centre (NOSCC) were approved in 1999.

This report is for the revision of the three existing schedules, in order to:

- incorporate the records of new functions
- consolidate the existing three schedules into one schedule
- remove from MNZ schedule classes of records now covered by the three published GDAs and the draft Corporate/Administrative GDA, as MNZ intends to sign up for the GDAs.

Retention and disposal recommendations are substantially the same as those made in the three existing schedules.

Disposal recommendations include the recommendation to appraise record at the end of their retention period, as their content and therefore their value is not predictable. There is also a recommendation that MNZ retain some records that are not considered of archival value, but that the agency wishes to retain in the long-term.

Quantity recommended for retention as public archives: 1-3 linear metres per year¹
Quantity recommended for destruction: 5-6 linear metres per year

2. Appraisal Circumstances

In 1997, a retention and disposal schedule for the Head Office of Maritime New Zealand (MNZ) was approved by the Chief Archivist (SRG 97/47). Retention schedules for the District Offices and for the National Oil Spill Coordination Centre (NOSCC) were approved in 1999 (SRG99/11 and SRG99/13). The Head Office schedule was revised in 1999 and in 2000 (SRG2000/110)

Since these schedules were approved by the Chief Archivist, there have been some changes to MNZ functions. Management of the Rescue Coordination Centre and the function of overseeing maritime security have been added to the agency's remit.

MNZ also intends to sign up to use the Archives New Zealand General Disposal Authorities.

MNZ decided to revise its existing schedules in order to:

¹ The first transfer under this schedule will be in 2007.

- incorporate the records of new functions
- consolidate the existing three schedules into one schedule
- remove from MNZ schedule classes of records now covered by the three published GDAs and the draft Corporate/Administrative GDA

3. Agency Information

<i>Agency code</i>	ABPL
<i>Agency name:</i>	Maritime Safety Authority [now Maritime New Zealand]
<i>Year established:</i>	1993
<i>Year dis-established:</i>	Current

Maritime New Zealand is a Crown entity established in August 1993, as the Maritime Safety Authority. Its principal objective, set out in the Maritime Transport Act 1994, is to undertake activities that promote a safe maritime environment and provide effective marine pollution prevention and an effective marine oil pollution response system, at reasonable cost. On 1 July 2005, its name changed from Maritime Safety Authority to Maritime New Zealand Legislation requiring the change of name was passed in 2004 and is designed to better reflect MNZ's new security and national search and rescue responsibilities, as well as its longstanding marine environmental protection functions.

Maritime New Zealand's board comprises five members appointed by the Governor-General on the recommendation of the Minister of Transport. Persons who will represent the public interest in maritime safety and marine environment protection matters are recommended by the Minister, while two are appointed after consultation with those who represent the maritime industry. MNZ enters into a Performance Agreement with the Minister of Transport each year, reports quarterly and annually on its activities, and is subject to policy direction from the Government.

Maritime New Zealand has a permanent staff of 130, headed by the Director of Maritime Safety - the appointed chief executive, who has statutory powers under the Maritime Transport Act which are independent of both the Minister and the Authority. MNZ's functions are to:

- develop maritime safety rules and marine protection rules
- license seafarers
- register ships
- conduct safety inspections of New Zealand ships and of foreign ships calling at New Zealand ports
- provide and operate lighthouses and other aids to navigation for ships on the New Zealand coast
- provide a coastal maritime safety and distress radio service
- manage New Zealand's ship and port security system
- investigate and analyse maritime accidents and accident trends
- educate the maritime community about safety and environmental standards and best practice
- manage New Zealand search and rescue
- maintain the New Zealand marine oil spill response strategy and national contingency plan
- administer the New Zealand Oil Pollution Fund.

Staff also oversee services provided by organisations under contract or delegated authority, principally in the areas of marine radio services for communicating distress messages and safety

information to and from ships at sea, maintenance of aids to navigation and the Safe Ship Management system which replaced the traditional survey of ships in 1998.

MNZ develops, on behalf of the Minister of Transport, draft maritime and marine protection rules, the form of delegated legislation for technical standards provided for in the Maritime Transport Act 1994. Other Ministerial services include technical advice on maritime safety and environmental protection issues, advice on Ministerial correspondence, parliamentary questions and industry liaison.

3.1 Maritime security

In April 2003, the Minister of Transport prescribed additional functions and duties for Maritime New Zealand which relate to enhancing security in the maritime transport system. The main purpose is to enable MNZ to carry out preparatory work in anticipation of the enactment of the Maritime Security Act.

The functions and duties are:

- To promote security in the maritime transport system by providing maritime security information and advice that is consistent with maritime security information and advice as may, from time to time, be provided by the International Maritime Organization and
- to ensure New Zealand's preparedness for implementing, and the ability to implement, amendments to the International Convention for the Safety of Life at Sea 1974 relating to maritime security, which were adopted on 12 December 2002 and
- for the purpose of performing the functions specified in paragraphs (a) and (b), to undertake any other duties as required.

The role of MNZ is essentially a regulatory one. Regulatory functions in respect of security at port facilities include managing the risk assessment process, setting the operational security level, and approving and auditing the port facility security plan developed by a port operator. Additional functions include the provision and coordination of security information to ships and ports and the exercise of port state control measures in respect of compliance by foreign vessels arriving in New Zealand.

3.2 District offices

District Offices of Maritime New Zealand are established in the following ports:

- Whangarei
- Auckland
- Tauranga
- New Plymouth
- Napier
- Nelson
- Picton
- Lyttelton
- Dunedin
- Bluff

They are administered by the Maritime Operations Division of Head Office.

The District Offices are relatively small offices with clearly defined functions and little administrative autonomy. Maritime Safety Inspectors (MSIs) are assumed to be out in the field most of the time, so most administrative work, such as financial processing, is done by Head Office. Much of the information created or received by the Maritime Safety Inspectors in the course of their operational work also must be processed through Head Office. Thus there is very little information held in District Office files that is both of permanent value and not duplicated at Head Office.

The majority of the work of the District Offices consists primarily of inspection of foreign vessels (Port State Control) and domestic vessels (Flag State Control) to ensure they meet international safety and environmental protection standards. Vessels that do not meet the standards may be detained.

Maritime Safety Inspectors also work closely with local maritime safety organisations and other organisations such as yacht clubs to promote recreational boating safety (small boat safety). MNZ authority is required for the lifting of speed limits and the waiver of other Water Recreation Regulations for regattas etc., and the Maritime Safety Inspectors process such applications for final approval from Head Office.

Under the Harbours Act 1951, Maritime New Zealand has a role in harbour administration, including the approval of all harbour structures such as jetties and boat ramps and approvals of marine farms and marine reserves. The Maritime Safety Inspectors are a contact point for applications for such approvals, which are sent to Head Office for final approval. They also liaise with the local authorities which also have a role in harbour administration.

Maritime Safety Inspectors also report on and investigate accidents to seafarers and other maritime incidents or accidents.

The District Offices are the local contact point for Maritime New Zealand, and the Maritime Safety Inspectors report on or pass on to Head Office complaints about unsafe vessels or unsafe practices, enquiries about maritime charges, pleasure craft pre-departure safety checks (outward yacht reports) and respond to other general enquiries regarding maritime activities.

3.3 National Oil Spill Service Centre

The National Oil Spill Service Centre of Maritime New Zealand is based in Te Atatu, Auckland. Its functions are to:

- Provide training in oil spill response;
- Acquire and provides oil spill equipment on loan to other organisations;
- Inspect and services oil spill equipment;
- Assist in oil spill response and clean-up exercises;
- Assist in oil spill response and clean-up incidents.

Under the Maritime Transport Act 1994 Part XXIII, Maritime New Zealand has responsibility for managing the Oil Pollution Levy and Fund and for using that fund to purchase equipment for the clean-up of oil spills. The equipment may be distributed under a loan arrangement to registered authorities and the Authority has responsibility to inspect and service such equipment on a regular

basis. NOSCC also holds its own oil spill equipment which may be deployed if an incident occurs.

The Director of Maritime New Zealand is responsible for providing oil spill training and for coordinating oil spill responses in NZ. The National Operations Manager of NOSCC is also the National On-Scene Commander (NOSC), a role specified in the Act. The NOSC works with Head Office staff to design and implement the NZ Marine Oil Spill Strategy and Contingency plans.

3.4 Rescue Coordination Centre

The Rescue Coordination Centre of New Zealand (RCCNZ) is based at Avalon in Wellington and is responsible for coordinating major maritime and aviation search and rescue operations in New Zealand's search and rescue region.

Maritime New Zealand has a memorandum of understanding with the Civil Aviation authority that gives MNZ the responsibility for managing the RCC.

RCC coordinate national and international civil and military resources in Class III searches involving any missing aircraft or vessels, the activation of an emergency beacon, and searches that require a greater attention and resources than a Class II search. RCC may assist with Class II searches.

New legislation will be introduced to Parliament this year to enable the Government to transfer the responsibility for Class III search and rescue activity from the CAA to MNZ.

4. Methodology

The existing schedules were reviewed against MNZ's current file lists in order to identify any gaps. They were then reviewed against the Archives New Zealand General Disposal Authorities, including draft GDA 4 – Corporate and Administrative records – so as to remove any classes of records that were covered by the GDAs.

The three existing schedules were then incorporated into one schedule, with a field that identifies which office holds the records. Record classes were redesigned and renamed so as to make the schedule easier for MNZ records staff to use, and amended or added to cover the new functions performed by MNZ.

The schedule has fields for retention period on-site and retention period off-site; however, only the Head Office uses commercial off-site storage.

Retention and disposal recommendations are substantially the same as those made in the three existing schedules.

4.1 Disposal classes

Classes in the schedule are based upon:

- functions, such as Marine protection
- activities, such as Detentions
- information types, such as Reports and returns
- subjects, such as Distress and safety radio

4.2 Disposal actions

There are five disposal actions in this schedule. They are:

Appraise – at the end of the retention period, appraise the records using the criteria in this report. This action applies to records whose content cannot be predicted, namely the External Relationships series and liaison sub-series within other file series. Some of these records will contain significant information about MNZ’s relationships with other organisations. They may also contain information more substantively available from other agencies, or information of only short term value.

Archive - transfer to Archives New Zealand. Under this disposal the records are legally transferred to Archives New Zealand and stored in Archives New Zealand facilities. Records which become archives are no longer the property of Maritime New Zealand. They can be borrowed back by the Authority but cannot be reactivated (i.e. have papers added).

Destroy - do not transfer to Archives New Zealand, and destroy records through a secure process.

Retain -do not transfer to Archives New Zealand and retain in Maritime New Zealand. Agencies are not required to destroy records (except as indicated under the Privacy Act 1993). Some classes of records are not wanted by Archives New Zealand for permanent preservation, but may be considered by the agency to be worth long-term retention. Examples in this schedule are records of registration of EPIRBs (Emergency Position-Indicating Radio Beacons) and the EPIRB database, and copies of Maritime Appeal Authority decisions.

If, in the course of time, Maritime New Zealand decides to evaluate its holdings of records in the ‘Retain’ class, with a view to destruction, Archives New Zealand should be consulted before any destruction. Archives New Zealand may consider transferring some of these records for permanent retention.

Select – this is a particular disposal action for the ‘candidates files’ (see section 7.22 for details). Records of persons of historical interest are to be selected for transfer to Archives New Zealand. The remainder of the records will be destroyed.

4.3 Consultation

Staff from the Maritime Security team and from the Rescue Coordination Centre were consulted to ascertain the nature and the value of their records. Some records were examined. Extensive consultation was done at the time that the original schedules were created, and it was not considered necessary to consult to the same degree, as this exercise was a revision. The draft schedule was circulated to interested parties for comment.

5. Relevant Precedent

This is a revision of existing schedules, and most existing disposal decisions have not altered from those in the existing three schedules. Some precedent in the Head Office schedule was derived from a one-off appraisal in 1997 of records in the custody of MNZ which had been created by its predecessor agencies.

6. Disposal Criteria

The criteria for recommending the permanent retention of records as archives are:

The records:

- A1 Provide proof of a particular event or agreement, document the rights/legal interests/obligations of the Government, Maritime New Zealand or the citizens of New Zealand, or permit the settlement of legal claims
- A2 Provide evidence of the structure, organisation, administration and planning of Maritime New Zealand
- A3 Document the performance of a substantive function of Maritime New Zealand
- A4 Provide evidence of the development of public policy in the area of Maritime New Zealand's substantive functions
- A5 Document the financial accountability of Maritime New Zealand - its financial standing, obligations, and its conduct of financial affairs
- A6 Provide evidence of Maritime New Zealand's position or perspective on, or involvement in, significant national events or government initiatives
- A7 Provide evidence of Maritime New Zealand's interaction with outside groups and their influence on the development of policy and/or procedures
- A8 Provide information that has research potential in the areas of genealogy, maritime history, environmental management, ship construction, search and rescue, seafarer education, and maritime safety in general
- A9 Provide information about a current or past event significant to the history of the country or to Maritime New Zealand
- A10 Provide information about persons of historical interest - persons important in New Zealand's social or political history, or significant in the history of Maritime New Zealand
- A11 Complete, or complement and/or enhance records already held at Archives New Zealand

The criteria for recommending the destruction of records are:

The records:

- D1 Concern routine administrative matters only
- D2 Concern routine operational matters only
- D3 Comprise material received for information only
- D4 Are drafts and/or duplicates of other records

D5 Are published material

D6 Contain information summarised, more complete and/or more readily accessible in other records recommended for retention or elsewhere

The criteria for recommending the retention of the records in the agency are:

R1 Records are not of permanent value but are considered by the agency to be of long-term value

7. Class Information

7.1 Appointments

<i>Class Title:</i>	Appointments
<i>Class number:</i>	1.1 – 1.3
<i>Class Description:</i>	<p>MNZ has oversight over the appointment of harbour officials, and receives information about the appointment of officials. MNZ also appoints honorary officers in harbours, mainly launch wardens. Both the District Offices and the Head Office maintain records of the appointment of honorary officers, with the District Offices sending copies of the appointments they have made to Head Office.</p> <p>Under section 16 of the Submarine Cables and pipelines act, protection officers may be appointed to enforce the Act. MS holds information about the appointment of these protection officers.</p>
<i>Value:</i>	This information is of routine operational value.

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
1.1	Harbour officials	D2
1.2	Honorary officers - DO	D2
1.3	Honorary officers - HO	D2, D4
1.4	Submarine cables and pipelines protection officers	D2

7.2 Asset management

<i>Class Title:</i>	Asset management
<i>Class number:</i>	2.1
<i>Class Description:</i>	<p>This class concerns records of the disposal of minor assets. GDA 2 Finance and Accounting Records class 10.7 covers the disposal of major capital assets but does not contain any other classes covering the disposal of minor assets..</p>
<i>Value:</i>	These records are of routine administrative value only

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
2.1	Disposal of minor assets	D1

7.3 Authorisations

<i>Class Title:</i>	Authorisations
<i>Class number:</i>	3.1 – 3.16
<i>Class Description:</i>	<p>Records of applications for authorisation or approval under a particular act, regulation or rule. Much of MNZ’s regulatory role has to do with either approving applications and issuing maritime documents for:</p> <ul style="list-style-type: none">▪ carriage of cargo▪ the suitability and safety of maritime products▪ exemptions or dispensations from survey, manning or equipment requirements▪ burials at sea▪ removal or installation of navigation aids▪ marine dumping permits▪ registration of safety equipment▪ removal or amendment of speed restrictions▪ approvals of nautical education <p>Some of these documents are issued for one voyage or event only; some are issued for a particular time period, after which they must be renewed.</p>
<i>Value:</i>	<p>Records of exemptions, carriage of cargo, burial at sea, marine dumping, speed restrictions are of short term operational value only.</p> <p>Registration of safety equipment is only of value for the life or period of use of the equipment.</p> <p>Applications to review or amend harbour limits are of evidential value as they may include charts, and discussion of the reasons for extending or reducing limits.</p> <p>Applications for consent to install, alter or remove a navigation aid, or a harbour navigation aid provide the primary information on the location and type of navigational aids. Generally, although a navigation aid may have to be resited, the reason for its use (a rock, a particular land formation) does not ever change or disappear. Files also provide information about the land upon which the aids are situated, whether it is owned by MNZ or leased, and what type of rental arrangements there are. Files also provide information about the consultation process when a navigation aid is moved or decommissioned and the views of interested groups.</p> <p>Approvals of nautical education courses are of evidential and informational value.</p>

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
3.8	Harbour limits	A1, A8
3.10	Navigation aids - harbour	A1, A7, A8
3.11	Navigation aids – open sea	A1, A7, A8
3.14	Seagoing qualifications approvals	A1, A3, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
3.1	Burials at sea – DO	D2
3.2	Burials at sea – HO	D2
3.3	Carriage of cargo	D2
3.4	Exemptions and dispensations – charity regattas	D2
3.5	Exemptions and dispensations - equipment	D2
3.6	Exemptions and dispensations – voyage - DO	D2
3.7	Exemptions and dispensations – voyage – HO	D2
3.9	Marine dumping	D2
3.12	Safety equipment - approvals	D2
3.13	Safety equipment - certificates	D2
3.15	Speed restrictions - DO	D2
3.16	Speed restrictions – HO	D2

7.4 Breaches of Acts and Prosecutions

Class Title: Breaches of Acts and prosecutions

Class number: 4.1 – 4.2

Class Description: Records concerning breaches of Acts and any subsequent prosecutions. MNZ may take a prosecution following an accident investigation, or the breach of an act information and/or prosecution may be in relation to complaints of dangerous activities or to a pleasure craft failing to comply with regulations. Information includes notification of breach, reports, correspondence, pre-trial planning, solicitors' instructions, evidence.

Value: Head Office records provide both evidence of MNZ's performance of its regulatory function, and also information about the particular accident or incident that resulted in a breach notification or prosecution.

District copies of information about breaches of acts and prosecutions are simply duplicates of the Head Office information

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
4.2	Head Office information	A1, A3, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
4.1	District Office information	D4, D6

7.5 Coastal planning

Class Title: Coastal planning

Class number: 5.1 – 5.3

Class Description: MNZ has a role in the approval of applications for marine farming and marine reserves, because of the navigation safety issues that might arise. MNZ is consulted by DOC and territorial local authorities over regional coastal plans and the development of marine reserves, and also must be consulted over the development of coastal works and structures that may have an impact upon navigation.

District Offices receive applications under the Resource Management Act for marine farms, coastal structures and marine reserves. The primary function of the Maritime Safety Inspectors in regard to this information is to send applications to Head Office for processing and to retain a record sufficient only for answering later enquiries.

Value: The Head Office records of coastal works and structures, marine reserves and marine farming provide a record of MNZ's work with other agencies to ensure that coastal navigation remains safe.

Marine farming and reserve application records contain information also held in the records of other government agencies with a more substantive function concerning marine reserves or marine farming. The Head Office of MNZ nevertheless wishes to retain the applications for marine farming for a lengthy period of time following the granting of the consent, for administrative purposes.

District Office records are simply working operational records.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
5.1	Coastal works and structures	A2, A7, A8
5.3	Regional coastal plans	A2, A7, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
5.2	Marine reserves	D6
5.4	Resource Management applications - DO	D4, D6
5.5	Resource Management applications - HO	D6

7.6 Contract management

Class Title: Contract management

Class number: 6.1 – 6.3

Class Description: This class of records concerns contract registers and the records of the management of contracts.

It does not cover the actual contract and agreement documents. These are covered by GDA 2 Finance and Accounting Records, classes 10.3 and 10.4. These GDA classes specifically refer to the actual contract documents and not to the information that is created as a result of managing the contracts, such as reports, correspondence, meeting minutes, other monitoring records.

This information should have the same disposal and be retained for the same period of time as the contract documents themselves.

Value: The same value has been applied to the contract management information as the GDA applies to the contract documents; that is, the records of the management of minor contracts and agreement are recommended for destruction after seven years, and those of the management of major contracts and agreements are recommended for retention as archives. They provide the background and the context for the actual contract documents.

Contract registers are an administrative tool that have no long term value. Internal contracting agreements and processes are also only of routine administrative value.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
6.2	Major contracts and agreements	A5

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
6.1	Contract registers	D1

6.3 Routine contracts and agreements D1

7.7 Detentions

Class Title: Detentions

Class number: 7.1 – 7.4

Class Description: The records MNZ Head Office and District Offices maintain of the detention of both NZ and foreign ships. Ships may be detained if they do not comply with safety standards.

Value: Records are of routine operational value only

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
7.1	NZ vessels - DO	D2
7.2	NZ vessels - HO	D2
7.3	Overseas vessels - DO	D2
7.4	Overseas vessels - HO	D2

7.8 Distress and safety radio

Class Title: Distress and safety radio

Class number: 8.1 – 8.4

Class Description: Records concerning the provision of coastal distress and safety radio services. Some records are simply the records received from other agencies concerning outages, service releases, likely interference affecting the performance and reception of on the distress and safety radio channels. Others are copies of requests for the release of transcripts and voice logs for the purposes of an investigation. The substantive records in this class are the records of the planning for development and maintenance of coastal maritime radio stations.

Value: Routine safety radio reports and request for information releases are of short term operational value only.

Records of the development of coastal maritime radio stations have both evidential and informational value.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
8.2	Maritime radio stations	A3, A5, A8
8.3	Property records	A1, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
8.1	Information releases	D2
8.4	Routine safety radio reports	D2

7.9 Incident reports, investigations and reviews

Class Title: Incident and accident reports, investigations and reviews

Class number: 9.1 – 9.9

Class Description: It is a requirement under the Maritime Transport Act for the master of any vessel (recreational or commercial) to report all boating or shipping mishaps resulting in the death of, or serious harm to, a person, or any accident or incident, to Maritime New Zealand, which then investigates and produces a report.

Investigation records may be relatively brief, or voluminous, depending upon the nature of the incident, accident or mishap. The more serious the incident, the fuller the records will be.

District Offices may be involved in the investigation and reporting, and a record will be kept in the District Office, as well as being transmitted to Head Office. District Offices also keep sets of seafarer accident reports that they have proved to Head Office.

MNZ also reports upon oil spill incidents in New Zealand waters. The records of oil spill incidents include records of the actual event and response, if MNZ was involved, as well as post-incident investigations and reports. In the case of oil spill incident records, the responsibility for maintaining the substantive record has recently been transferred to NOSCC (in 2005).

NOSCC also has a role in assisting in Pacific Rim oil spill incidents, and reports on its involvement.

The RCC produces reports and reviews of Class III search and rescue operations.

All investigation, report and review records, depending upon the seriousness of the incident, may include correspondence, communications, media releases, media transcripts, photographs, videos, newsclippings, technical information, records of interviews, internal memos.

MNZ also publishes monthly summaries of commercial accidents

Value: The investigation of and reporting on maritime and oil pollution incidents, accidents and mishaps and the coordination and review of search and rescue incidents are primary functions of MNZ.

Although commercial accident and incident reports are published and available to the public, these do not contain the wealth of information gathered during the investigation. This information provides evidence not only of the incident itself, but of how the conclusions in the report were reached and of the foundation for the final decision of MNZ, which may be to prosecute, to develop a new safety procedure, or in another way act to prevent a recurrence of the type of incident.

Summaries of commercial incidents are also published and available to the public, but must be requested or downloaded from the web-site.

District Office sets of incident records duplicated at Head Office are not of long-term value.

Head Office sets of records of oil spill incidents are not of long term value; however, care must be taken in assessing the records of the period from 1999-2005 to ensure that it is the substantive record that is retained, as it may be that the Head Office record for this period is the substantive record.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
9.2	Maritime incidents, accidents or mishaps - HO	A3, A6, A8, A9
9.3	NZ oil spill incidents – HO (pre June 2005)	A3, A6, A8, A9
9.4	NZ oil spill incidents – NOSCC (post June 2005)	A3, A6, A8, A9
9.5	Pacific Rim oil spill incidents	A3, A8, A9
9.8	Search and rescue incidents	A3, A7, A8, A9
9.10	Summaries of incidents and accidents - HO	A3, A6, A8, A9

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
9.1	Maritime incidents, accidents or mishaps - DO	D6
9.3	NZ oil spill incidents – HO (post June 2005)	D6
9.4	NZ oil spill incidents – NOSCC (pre June 2005)	D6
9.6	Seafarer accident reports	D6
9.7	Seafarer accident reports	D6

9.9 Summaries of incidents and accidents - DO D6

7.10 Inspections

Class Title: Inspections

Class number: 10.1 - 10.8

Class Description: MNZ has a regulatory role in inspecting foreign vessels (Port State Control) and domestic vessels (Flag State Control) to ensure they meet international safety and environmental protection standards. This is different from the audits and inspections carried out by authorised persons or Safe Ship Management Companies (see Ship Safety). MNZ inspectors also inspect New Zealand recreational boats, yachts and pleasure craft going overseas before they leave, to ensure that the vessel is safe and has the means to summons assistance if required.

As with applications and authorisations, the District Office MSIs send the substantive record to Head Office, but keep a duplicate set in the District Offices.

Value: These records are routine operational records.

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
10.1	Fishing vessels - DO	D2
10.2	Fishing vessels - HO	D2
10.3	Foreign fishing vessels - DO	D2
10.4	Foreign fishing vessels -HO	D2
10.5	Pleasure craft - DO	D2
10.6	Pleasure craft - HO	D2
10.7	Vessels other than fishing vessels - DO	D2
10.8	Vessels other than fishing vessels - HO	D2

7.11 Levies

Class Title: Levies

Class number: 11.1 – 11.2

Class Description: MNZ has responsibility for managing the Marine Safety Charge (MSC) and the Oil Pollution Levy. The MSC is payable by operators of commercial ships that have an International Safety Management Certificate (ISM), a New Zealand Safe Ship Management Certificate (SSM), or a Safe Operational Plan Certificate of compliance (SOP). The MSC is used to help provide the maritime services of MNZ.

Operating on the principle that the polluter pays, all costs from an oil

spill response and subsequent clean up can be recovered from the spiller, under the Maritime Transport Act 1994.

If the spiller can not be identified, the cost of the response can be recovered from the Oil Pollution Fund, a statutory fund which receives its income from an oil pollution levy paid by maritime industries and users.

These records document the development and reviews of the levies, their management and application.

Value: These records have both informational and evidential value.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
11.1	Marine Safety Charge	A1, A5, A8
11.2	Oil pollution levy	A1, A5, A8

7.12 Liaison

Class Title: Liaison

Class number: 12.1

Class Description: Retention and disposal schedules are most suited to records with a predictable informational content. It is not possible to predict what kind of information some of the records will contain.

This is particularly so in the case of the External Relationships series and liaison sub-series within other file series. Some of these records will contain significant information about MNZ's relationships with other organisations. They may also contain information more substantively available from other agencies, or information of only short term value.

Value: These records are recommended for appraisal using the disposal criteria listed in this report.

7.13 Marine protection

Class Title: Marine protection

Class number: 13.1 – 13.15

Class Description: One of MNZ's principal objectives is to provide effective marine pollution prevention and an effective marine oil pollution response system.

It does this through the development of Marine Protection rules, and by

responding to major marine oil spill incidents, maintaining a nationwide level of oil spill response preparedness and dealing with cost recovery and prosecution.

Many of the records in this class are the records created and maintained by the National Oil Spill Coordination Centre (NOSCC), which is responsible for managing the National Marine Oil Spill Contingency Plan, maintaining oil spill response equipment and providing training for people in MNZ and from around the country who are likely to be involved in oil spill response, such as district and regional council staff and port company staff.

Records include information about the development of the NZ Marine Oil Spill Response Strategy, and the development of the National Oil Spill Response system.

NOSCC also holds considerable information about the purchase, maintenance, distribution, loan and hire of pollution control equipment, as well as technical information about the equipment.

The Marine Environment Protection Division at Head Office maintains records of the monitoring and management of pollutants other than oil.

Value: Records of the development of the Strategy and the Response system are of both evidential and informational value.

Most of the information about the pollution control equipment is of routine operational value only. However, information about the development of a process and formal documents concerning the loan of equipment is of evidential value.

NOSCC also maintains a collection of oil material safety data, which it wishes to retain as a current resource.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
13.1	Marine pollutant monitoring	A3, A8
13.3	NZ Marine Oil Spill Response System - NOSCC	A3, A4, A8
13.4	NZ Marine Oil Spill Strategy - Head Office	A3, A4, A8
13.11	Pollution control equipment loans	A1, A3

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
13.2	NZ Marine Oil Spill Response System - DO	D6
13.5	NZ Marine Oil Spill Strategy - NOSCC	D6
13.7	Pollution control equipment	D2
13.8	Pollution control equipment distribution	D2
13.9	Pollution control equipment hire	D2
13.10	Pollution control equipment information masters	D2
13.12	Pollution control equipment maintenance	D2
13.13	Pollution control equipment operating instructions	D2
13.14	Pollution control equipment purchases - HO	D1
13.15	Pollution control equipment purchases - NOSCC	D6

Recommended for retention by the agency

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
13.6	Oil material safety data	R1

7.14 Maritime security

Class Title: Maritime security

Class number: 14.1 – 14.5

Class Description: MNZ sets and maintains standards for the security of ports and hips through its Maritime Security Division. The Port State Control Division carries out any operational duties that result from the standards.

MNZ audits and approves the port security plans of each port, and audits and approves the ship security plans developed by shipping companies. MNZ retains copies of the plans together with the records of audit and approval.

MNZ also receives from NZ Customs copies of the NZ Advanced Notice of Arrival forms.

Value: Correspondence with port and shipping companies regarding security and security plans, and MNZ's copies of the plans themselves, together with assessment, approvals, audit and inspection records, provide a comprehensive view of the management of maritime security in NZ, in

the wake of the 2001 World Trade Centre attacks.

See section 8.1 for discussion of restrictions on access to these records.

The copies of forms from NZ Customs are both routine operational records and duplicates of a more substantive record held elsewhere.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
14.2	Port security correspondence	A3, A8
14.3	Port security plans	A3, A8
14.4	Ship security correspondence	A3, A8
14.5	Ship security plans	A3, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
14.1	NZ Advanced Notice of Arrivals	D3, D6

7.15 Memoranda of understanding

Class Title: Memoranda of understanding

Class number: 15.1

Class Description: This class covers agreements that do not have the legal status of contracts, and therefore cannot be described as contracts, but which are nevertheless important to retain for a period of time or permanently. Maritime New Zealand has memoranda of understanding with other Government agencies in NZ, such as NZ Customs and CAA; with NZ-based Safe Ship Management companies; and with other countries in regard to port state controls. These memoranda and related correspondence provide significant evidence of Maritime New Zealand's relationships with other parties.

Value: These memoranda and related correspondence provide significant evidence of Maritime New Zealand's relationships with other parties

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
15.1	Memoranda of understanding	A1, A7, A8

7.16 Navigation aids

<i>Class Title:</i>	Navigation aids
<i>Class number:</i>	16.1 – 16.2
<i>Class Description:</i>	Records of the maintenance and repair of navigation aids maintained by MNZ. Property records include information about the land upon which the aids are situated, whether it is owned by MNZ or leased, and what type of rental arrangements there are. MNZ has properties that have been in use since last century; thus some properties are subject to Maori land claims
	Records of navigation aids not maintained by MNZ include information about the construction and siting of these aids.
<i>Value:</i>	Records provide the primary information on the location and type of navigational aids. Generally, although a navigation aid may have to be resited, the reason for its use (a rock, a particular land formation) does not ever change or disappear. Files also provide information about the consultation process when a navigation aid is moved or decommissioned and the views of interested groups.
	Property records are of evidential and informational value
	Records of navigation aids not maintained by MNZ are kept for informational purposes only.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
16.2	Maintenance and repair	A1, A3, A7, A8
16.3	Property records	A1, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
16.1	Aids not maintained by MNZ	D3

7.17 Policy and procedures

<i>Class Title:</i>	Policy and procedures
<i>Class number:</i>	17.1 – 17.9
<i>Class Description:</i>	Records of the development of internal operational procedures, quality manuals, operating standards and benchmarks. Instructions to District Offices regarding the administration, interpretation, or application of an Act, Regulation or Rule.

Records of MNZ input into proceedings of and conventions and protocols developed by the International Maritime Organisation, on which MNZ is NZ's primary representative. NZ maritime policy is often developed from the IMO's protocols and conventions.

Records of the development of maritime policy and of MNZ operational policy.

Records of the development of policy and procedures concerning the distribution of pollution control equipment.

Value: District Office, NOSCC and RCC copies of instructions and manuals etc, are not of long term value as the substantive record is in Head Office.

All other records in this class are of both evidential and informational value.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
17.2	Instructions - HO	A3, A4, A8
17.4	Manuals - HO	A3, A4, A8
17.5	Manuals - NOSCC	A3, A4, A8
17.6	NZ input into IMO conventions and protocols	A3, A4, A8
17.7	Policy formulation	A3, A4, A8
17.8	Pollution control equipment	A3, A4, A8
17.9	RCCNZ standard operating procedures	A3, A4, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
17.1	Instructions - DO	D6
17.3	Manuals - DO	D6

7.18 Port and harbour management

Class Title: Port and harbour management

Class number: 18.1 – 18.3

Class Description: MNZ maintains records concerning the administration of ports and harbours. Records include information about the constitutions and representation of ports and harbour authorities, information about local bylaws relating to harbours and information about harbour land.

Value: The records of harbour land are of enduring historical and legal value. Much of this land is still in public ownership, and some may be the subject of Treaty of Waitangi claims. The files also provide documentation of the development of New Zealand harbours and ports and the changes to the land over time.

Information about the constitution and representation of harbour and port authorities and the local bylaws are of routine operational value only.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
18.3	Harbour land	A1, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
18.1	Harbour and port authorities	D2
18.2	Harbour bylaws	D2

7.19 Reports and returns

Class Title: Reports and returns

Class number: 19.1 – 19.10

Class Description: This class concerns operational reporting, rather than the corporate reporting that is covered in the draft GDA 4 – Administration and Corporate Records.

Reports on activities from the District Offices to Flag State and Port State Control at Head Office are maintained both in Head Office and in the District Offices. Similarly, reports are sent from the District Offices to Head Office regarding small boat safety and are maintained in both locations. NOSCC receives reports from Head Office and sends reports on activities to Head Office.

MNZ reports to the International Maritime Organisation (IMO) are also copied to the District Offices. MNZ also sends ‘deficiency’ reports to the secretariat of the Tokyo Memorandum of Understanding on Port State Control (generally known simply as MOU within MNZ). These deficiency reports concern ships that do not meet international safety and environment protection standards.

Value: Most of the internal reporting records are of routine operational value only, as the statistics they report will appear in MNZ annual report or other MNZ publications.

However, MNZ reports to external organisations are of evidential value in that they document MNZ’s role in representing New Zealand in

international maritime organisations.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
19.3	IMO reports - HO	A3, A7, A8
19.5	Tokyo MOU reports	A3, A7, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
19.1	District reporting - DO	D2
19.2	District reporting - HO	D2
19.4	IMO reports - DO	D2
19.6	NOSCC copies of HO reports	D6
19.7	NOSCC reports - NOSCC	D2
19.8	NOSCC reports - HO	D2

7.20 Requests for information

Class Title: Requests for information

Class number: 20.1

Class Description: MNZ receives many requests for information from the public and from the maritime industry. They tend to fall into two categories – either general enquiries from the public about MNZ or about specific maritime activities, or requests for advice and/or interpretation of rules, standards and procedures about specific activities or practices.

Value: General requests for information from the public are covered by draft GDA 4, class 5.20.

Requests for advice and interpretation are of operational value, but not of long-term value. The records are recommended for retention for 10 years so that they will be available if the advice or interpretation becomes an issue in terms of an incident or accident, or safety investigation. In that case the original advice would be included in the records of the incident.

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
20.1	Advice and interpretation	D2

7.21 Rules, standards, codes of practice

Class Title: Rules, standards, codes of practice

Class number: 21.1 – 21.4

Class Description: A major part of MNZ’s function is developing the rules that document the maritime safety standards it promotes and monitors. These rules form the main body of maritime safety practices. The development of rules includes broad consultation with MNZ’s stakeholders, including what are called ‘pre-rules’ projects, which are run in order to identify the issues before rules are created. MNZ also develops, from the rules, codes of safe practice and guidelines for maritime and river operations, such as guidelines for using waka.

Value: The records of the development of rules etc, document a major function of MNZ and its relationship with its stakeholders in the development of maritime safety rules, practices and guidelines.

Records of consultation – original submissions, survey and questionnaire results – are summarised in the records of the development of the rules, codes and guidelines.

District Office copies of information about codes of safe practice development are duplicates of what exists in Head Office.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
21.2	Codes of safe practice - HO	A3, A7, A8
21.4	Rules development	A3, A7, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
21.1	Codes of safe practice - DO	D6
21.3	Rules consultation	D6

7.22 Seafarer licensing

Class Title: Seafarer licensing

Class number: 22.1 – 22.10

Class Description: This class contains several different types of records.

Records of seafarer examinations:
development and approvals of syllabus, examination results, appointments of examiners.

Seafarers suspension:
Seafarers may be suspended for a variety of reasons, mostly to do with

criminal activity, such as possession of drugs. They may appeal their suspension and have it heard by the Maritime Appeal Authority. These files are the records of individual's suspensions and any ensuing actions.

Files are arranged by name of seafarer. They include notices of suspension, newspaper clippings, correspondence about suspension, copies of police reports, computer printouts from the Law Enforcement System (LES) and its successors, copies of Court records, applications to appeal against suspension, correspondence between MNZ and the Maritime Appeal Authority, and Maritime Appeal Authority decisions.

Seafarers may have more than one suspension over their working lives, and the files are considered to remain open as long as the seafarer is actively employed in a maritime industry. Some suspended seafarers may not appeal the suspension immediately, but seek other employment and then later (often after a period of years) seek to have a suspension lifted so as to return to sea.

The Suspensions Administrator collects information about seafarers suspected of being suspended persons, such as notifications of dismissal, news clippings etc.

Although copies of the Maritime Appeal Authority decisions are kept on the case files, a chronological set is also maintained for ease of reference.

Suspended seafarers must surrender their certificates of competency to MNZ, which holds them until the suspension is lifted.

Seagoing qualifications:

Applications for certificates of competency with accompanying information, normally called 'candidates files'. Files are arranged by name of candidate. They contain applications for certificates, applications to be considered a fit and proper person, correspondence about the application, results of examinations, results of any inquiry into the character of the person (such as LES computer printouts, other police records) and correspondence about lost or suspended certificates. General requests for information about certification is not filed to these records, and MNZ staff file only what they consider to be substantive correspondence. Seafarers often apply over time for more than one certificate of competency, as their careers progress.

Holders of marine qualifications from overseas must apply to MNZ for recognition of their qualifications. MNZ maintains copies of certificates of competency issued overseas, and records of the recognition of foreign qualifications.

MNZ issues NZ seafarers identity cards, and maintains records of applications ,and an index to applications.

Value: Examination results, and appointments of examiners are routine operational records. Examination syllabus records are recommended for retention by MNZ, as they are not of permanent value, but are used as reference points for the development of each new syllabus.

The seafarer suspension records have some value as material for genealogical research. However, they represent only a certain percentage of seafarers. While that percentage may result in a large quantity of records over time, the nature of the 'sample' does not justify their retention for purposes of genealogical research. The records also hold information of a highly personal nature.

Summary records of Maritime Appeal Authority decisions are also kept and have been recommended for retention by the agency. These summary records should be sufficient for research into the work of the Authority and any trends in the suspension of seafarers.

MNZ staff consider that it is appropriate to treat the files as open for a period of 65 years from date of birth of the seafarer. Files may be stored off-site within this period, and if necessary, retrieved and reactivated.

Applications for identity cards are of routine operational value. The index to applications will be retained by the agency as it is a record that does not become non-current.

Candidates' files:

A former schedule for candidates files (M5, approved in 1980), approved application forms for retention and the rest of the file for destruction, unless it concerns a person or event of historical interest. MNZ staff have made use of these applications for various purposes, including ascertaining if claimants for replacement certificates were indeed ever issued with the particular certificate. They consider that it would be more useful for their administrative purposes to retain the whole file, as the correspondence and other information surrounding an application may have a bearing on their work.

The files record all persons in New Zealand who have applied for certificates of competency as deckhands, engineers, mates or master mariners. They are a resource for genealogical research and also for research into the educational qualifications of NZ mariners. They are also a resource for the persons whose careers they concern.

However, the quantity of files is large. Approximately 1500 files are opened per year. Files are generally thin; nevertheless, this is an accumulation rate of approximately 5 -10 linear metres per year.

The information in the files is summarised in the card index formerly used by the Seafarer Licensing section (which will be transferred to

Archives New Zealand), in duplicate certificate books held by Archives New Zealand and in the database the section uses currently.

That database is not in the scope of this schedule. However, at some point, it will be appraised and is likely to be recommended for retention as a public archive.

It is recommended that only closed files concerning persons of historical interest are selected for transfer to Archives New Zealand when closed (65 years after the date of birth of the candidate) , and that the remaining records are destroyed when closed (65 years after the date of birth of the candidate). Criteria for the selection of these records are included in the implementation guide.

Maritime NZ provides a reference service for people requesting information about their own or their relatives' qualifications, war medals etc. Since the records are kept for as long as the seafarer is active, and then for up to 65 years from the date of birth, there is opportunity for genealogical research to be carried out without the records having to be transferred to Archives New Zealand.

Copies of certificates of competency and records of recognition of foreign qualifications are of routine operational value only.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
22.10	Selected seagoing qualifications applications	A10

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
22.1	Examination results	D2
22.3	Examiners appointments	D2
22.4	Seafarers identity cards applications	D2, D6
22.6	Seafarers suspension – suspended certificates	D2
22.7	Seafarers suspension case files	D2
22.9	Seafarers suspension reference information	D2
22.11	Seagoing qualifications copies	D2
22.12	Seagoing qualifications recognition	D2

Recommended for retention by the agency

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
22.2	Examination syllabus	R1
22.5	Seafarers identity cards index	R1

7.23 Search and rescue

<i>Class Title:</i>	Search and rescue
<i>Class number:</i>	23.1 – 23.5
<i>Class Description:</i>	The records in this class are held by the Rescue Coordination Centre. They are: Applications to register EPIRBs (Emergency Position-Indicating Radio Beacons) and information from and about the EPIRB database. Navigation warnings and dangers to navigation messages, including NZDF firing practices. These are regular messages which notify the maritime community of specific dangers to navigation at specific times. Summary sheets of navigation warnings are also maintained, and may be used in the investigation of a Search and Rescue incident. Pleasure craft departing overseas are required under section 21 of the Maritime Transport Act to fill out certain forms and declarations, largely to ensure that the craft are seaworthy and adequately crewed. RCC receives these forms.
<i>Value:</i>	Records are of routine operational value only.

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
23.3	Navigation warnings notices	D2, D6
23.5	Pleasure craft departure forms	D2

Recommended for retention by the agency

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
23.1	EPIRB registration	R1
23.2	EPIRB database	R1
23.4	Navigation warnings summaries	R1

7.24 Ship records

<i>Class Title:</i>	Ship records
<i>Class number:</i>	24.1 – 24.3
<i>Class Description:</i>	Ships registers and ship registration records. Ships registers are divided into two parts - Part A and Part B. Part A is

for vessels over 12 metres, which must be registered. Part B for vessels under 12 metres, which do not have to be registered.

The Ships Registration Act 1992 sets out in detail what must be entered in the registers.

Both registers have a single entry per page. In the case of the Part A register, the entry covers 2 pages, with the second page for entry of mortgage and sale details.

The registers only become non-current once every vessel recorded in a particular volume is out of registry.

Ship registration files are arranged by name of ship. Files contain registration forms, correspondence about registration, tonnage, survey and other certificates, copies of mortgage and sale documents, declarations of ownership, documents authorising signatory powers, and correspondence about change of ownership and transfer of mortgage.

Ship registration files remain active or open for many years as the lifetime of a ship may be over one hundred years. Files may have no activity on them for years and then be re-activated as the ship is restored, or re-registered in New Zealand.

The section in this class relating to ships logs and articles exists for the management of legacy records. Under the Shipping and Seamen Act, masters of ships were required to keep official logs and enter into written articles of agreement with seamen. When the voyage was completed and the articles expired (they are for a six-month period), the logs and articles had to be passed to a Superintendent of Marine. The contents of the logs and articles of agreement were also prescribed by the act. The Maritime Transport Act 1994 repealed the Shipping and Seamen Act, but MNZ District Offices may still hold some ships logs and articles.

Official logs parallel the working logs and constitute a summary of the working logs. Articles of agreement contain lists of crew members and their position (eg deckhand), the nature and duration, or period, of the voyage and any regulations as to conduct.

Both logs and articles are in a pre-printed, prescribed format that was then filled out in the appropriate places by the master of the vessel.

Value:

Registers hold summary information about every NZ vessel required to be registered. They are in effect similar to land title records, since the Part A registers also contain details of ownership of the vessels. The records have both legal and research value. If the registers are retained, then the ships registration files, one for each vessel registered, do not need to be retained.

The information in ship registration files is effectively summarised in the registers. Information about registration details and concerning mortgages and sale is available in the register entry for the particular ship. Survey and other certificates are also filed onto the ships file.

Ship registration files are recommended for destruction as being routine operational records that are summarised in the registers. Because the life of a ship can be a considerable period of time, an uninterrupted inactivity period of 80 years is recommended before destruction should be allowed. If a file is reactivated due to re-registration, the "inactivity" period must be re-calculated from the new "inactive" date whenever that arises.

The report for the one-off appraisal in 1997 recommended the destruction of the ships logs and articles held in MNZ Head Office as they were only of medium term routine operational value to MNZ. This schedule also recommends the destruction of any remaining logs and articles.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
24.1	Registers of ships	A1, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
24.2	Ship registration files	D2, D6
24.3	Ships logs and articles	D2

7.25 Ship safety

<i>Class Title:</i>	Ship safety
<i>Class number:</i>	25.1 – 25.11
<i>Class Description:</i>	<p>Ship safety records include:</p> <ul style="list-style-type: none"> ▪ records of the inspection, survey and audit of ships under various safety management regimes (Safe Ship Management – SSM -, Safe Operational Plans – SOP -, Documents of Compliance – DOC, high-speed craft safety case audits) ▪ records of applications for approval as authorised persons or as ship surveyors, and current and cancelled certificates ▪ records of applications for approval as Safe Ship Management (SSM) Companies and subsequent audits and inspections by MNZ of

the SSM companies

- Records of safety audits of high-speed craft which fall outside the SSM or SOP rules where the potential operator has failed to comply, and records where the potential operator has failed to complete the audit process. (If the process is completed, then the record is included in the records of inspection, survey or audit)
- Applications from overseas vessels for issue of a safety convention certificate
- Complaints about the activities or safety of vessels and subsequent correspondence and reporting. Complaints are normally received by the District MSIs and passed on to Head Office, however, a copy is kept in the District Office to facilitate responding to later enquiries

Value:

One of the primary functions of MNZ is to ensure the safety of NZ shipping and of overseas owned ships in NZ waters.

MNZ's role in ship safety is in part a regulatory and supervisory role, which it perceives as a 'safety partnership' whereby it promotes a safety management regime in which participants take the primary responsibility for managing the risks involved in their activities. The Safe Ship Management (SSM) system (which replaced the annual ships survey in 1998) administered by Maritime New Zealand makes ship owners and operators responsible for the daily safe operation of their vessels so as to ensure that the safety of a vessel and its crew is maintained throughout the year instead of just on the annual 'survey day'.

Ships survey, audit and inspection records provide both evidence of the processes involved in ensuring the safety of shipping, plus information about the particular vessel. The records of Safe Ship Management Companies' applications and subsequent audits and inspections also provide evidence of the processes by which the SSM system is managed in New Zealand.

Authorised person and ships surveyor applications are of routine operational value only.

Records of complaints concerning ship safety or pirate operations are also of routine operational value only. Significant safety issues or dangerous or pirate activities will result in an inspection or audit, an investigation, a breach notification or a prosecution. Therefore the substantive record will be held in the records of those activities. Minor complaints that do not lead to further action are not of long-term value.

Safety audits for high-speed craft where the operator either failed to comply or did not complete the process are also not of long-term value, although MNZ staff consider that the records of failed compliance should be kept longer than those for incomplete process, as the operator may reapply.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
25.3	Safe Ship Management companies	A1, A3, A8
25.11	Ships survey, audit and inspection records	A1, A3, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
25.1	Authorised persons applications	D2
25.2	Authorised persons certificates	D2
25.4	Safety audits - potential operators - failed compliance	D2
25.5	Safety audits - potential operators - process incomplete	D2
25.6	Safety convention certificates	D2
25.7	Ship safety complaints - DO	D2, D6
25.8	Ship safety complaints - HO	D2
25.9	Ship surveyors applications	D2
25.10	Ship surveyors certificates	D2

7.26 Strategy and planning

Class Title: Strategy and planning

Class number: 26.1 – 26.3

Class Description: Records of the Authority's strategic planning for both internal processes and its substantive functions. MNZ considers its role is one of partnership with maritime industry and emphasises communication and consultation in its development of strategies. MNZ regularly carries out surveys and reviews of the sector in order to inform the development of strategies and of Maritime Rules.

Records include the working papers and final documents for strategies, planning, development and reporting of surveys, reviews and other consultation projects, and the raw data collected in the consultation process.

MNZ also participates in wider government strategies such as e-government or the ACC-led workplace injury prevention programme, and maintains records of its involvement in those strategies.

Value: Records of MNZ participation in wider government initiatives provide evidence of MNZ's perspective on these initiatives.

Records of the development of MNZ strategies document the manner in which the agency approached its functional responsibilities.

Records of the development of surveys and reviews and the final reports

provide evidence of the Authority's interactions with stakeholders groups and information about the views of those groups.

Survey and review raw data is of routine operational value only, and is summarised in the final reports.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
26.1	MNZ participation in wider government strategies	A6
26.2	Strategy development - MNZ led	A2, A3, A4, A8
26.3	Survey and review development and reporting	A2, A3, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
26.4	Survey and review raw data	D2, D6

7.27 Training

Class Title: Training

Class number: 27.1 – 27.15

Class Description: The Authority has a major role in providing training for the management of an oil pollution incident and in monitoring the standard of nautical education in New Zealand. It also provides seminars and workshops on ship safety systems. RCCNZ runs regular training programmes for its staff and for other groups.

Records include

- development of training programmes and exercises, including course content, planning, evaluations
- administration of training programmes, seminars and exercises, including registration, speaker correspondence, venue, travel and accommodation arrangements
- presentations about oil spill response
- training manuals

When the earlier schedules were developed, it was unclear as to whether the Head Office or NOSCC records of oil spill training would be the substantive record. At that time it was recommended that both NOSCC and Head Office records be kept, as they would show different perspectives and document the transfer of responsibilities. In 2005, it is NOSCC that holds the substantive record of the development, content and administration of training courses.

Value: Records of the development and content of training programmes, courses, exercises etc have both evidential and information value, as do the training manuals. Head Office copies of oil spill training programmes are not of long term value.

Records of the administration of training are of routine operational value only.

Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
27.1	Oil industry training	A3, A8
27.3	Oil spill response exercises content	A3, A8
27.4	Oil spill response exercises development and planning	A2, A3, A8
27.8	Oil spill response exercises planning - NOSCC	A2, A3, A8
27.9	Presentations - oil spill response	A2, A3, A8
27.11	Search and Rescue training planning and development	A2, A3, A8
27.12	Search and Rescue training programme	A2, A3, A8
27.14	Ship safety education content	A2, A3, A8
27.15	Training manuals - NOSCC	A2, A3, A8
27.16	Training manuals - RCC	A2, A3, A8

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
27.2	Oil spill response exercises administration	D2
27.5	Oil spill response exercises evaluation	D2
27.6	Oil spill response exercises development and content - HO	D2
27.7	Oil spill response exercises planning - HO	D6
27.10	Search and Rescue training administration	D2
27.13	Ship safety education administration	D2

8. Access Recommendations

[have been removed]

9. Transfer Arrangements

[have been 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.

10. APPENDIX 1: RETENTION AND DISPOSAL SCHEDULE CLASSES

[see separate Disposal Schedule]

11. APPENDIX 2: IMPLEMENTATION GUIDELINES

[have been removed]