

Appraisal
Report
ECNZ
Residual
Records

JULY 2006

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EXECUTIVE SUMMARY

Electricity Corporation of New Zealand Limited commenced trading on 1 April 1987 under the State-Owned Enterprises Act 1986. On 1 April 1999 ECNZ was formally disestablished and its generation assets were sold to three new electricity generation State Owned Enterprises (SOEs) - Meridian Energy Limited, Genesis Power Limited and Mighty River Power Limited

The ECNZ Residual Unit was established to manage remaining hedge¹ and debt obligations, resolve all outstanding issues, and liquidate all remaining assets. The unit is scheduled to finally wind-up its business in 2008. It will continue to create some financial and board related records up until that time.

Most of ECNZ's records and files have been transferred to the three SOEs. This appraisal covers the remaining non-current ECNZ records, which were not transferred to SOEs as part of the ECNZ split. These include records for operational projects for the construction and maintenance of electricity generation facilities, company records of ECNZ and its subsidiaries, and some corporate records including governance, personnel, and systems records. Records still being created by the ECNZ Residual Unit will be covered by a separate retention and disposal schedule.

The date range of records in this appraisal is 1987 - 2001. Many of the earlier records are personnel records of staff whose employment has spanned through from ECNZ predecessor agencies. Closing dates for some of the records covered by this appraisal means that date of transfer to Archives New Zealand falls outside of the planned wind up of ECNZ in 2008. There is no inheriting agency for these records and once remaining business activities have been wound up by the Company it will cease to exist. There will be no staff to coordinate or manage the transfer process of relevant records to Archives NZ and there is a risk that the appraisal recommendations may not be implemented. Arrangements will be made with the Company's current offsite storage provider to manage the destruction of relevant records as per the records statutory requirements, for example, financial records will be scheduled for destruction within the appropriate statutory requirements. ECNZ Residual Unit will be seeking to make an earlier one-off transfer of only those records identified as Public Records in the 2006/2007 financial year.

In total there are approximately 700 linear metres of records. Note that this includes records that will be either destroyed or retained as Public Archives under the GDAs.

Percentage recommended for retention as public archives:	33 %
Percentage recommended for destruction:	67 %

¹ A financial risk management product or contract for sale and purchase of electricity that protects against price risks associated with the spot price of electricity. It sets a price at which a buyer will purchase a specific quantity of electricity at a specified node for a set period. The buyer pays this price regardless of whether the market price is higher or lower than the set price. They are also known as contracts for differences (CFDs).
<http://www.electricitycommission.govt.nz/glossary>

INTRODUCTION

Client Name:	ECNZ (the Residual Company)
Disposal Type	Appraisal
Agency	Residual ECNZ Records
Coverage:	
Scope:	Residual records

1. Agency Information

<i>Agency code</i>	AANU
<i>Agency name:</i>	ECNZ Residual Unit
<i>Year established:</i>	1 April 1987
<i>Year dis-established:</i>	[se below]

Electricity Corporation of New Zealand Limited commenced trading on 1 April 1987 under the State-Owned Enterprises Act 1986. On 1 April 1999 ECNZ was formally disestablished and its generation assets were sold to three new electricity generation State Owned Enterprises (SOEs) - Meridian Energy Limited, Genesis Power Limited and Mighty River Power Limited

The ECNZ Residual Unit was established to manage remaining hedge and debt obligations, resolve all outstanding issues, and liquidate all remaining assets in an economic and timely manner. ECNZ Residual Unit continues to be governed by the State-Owned Enterprises Act 1986 which requires it to produce an Annual Statement of Corporate Intent specifying objectives, planned activities and essential financial performance requirements for the forthcoming year, a Half-Yearly Report and an Annual Report.

ECNZ Residual Unit is run by a Board of three Government-appointed Directors, with day-to-day activities being managed under contract.

ECNZ is scheduled to finally wind-up its business in 2008. It will continue to create some financial and board related records up until that time.

2. Appraisal Circumstances

Most of ECNZ's records and files have been transferred to the three new electricity generation State Owned Enterprises (SOEs); Meridian Energy, Genesis and Mighty River Power. The ECNZ Residual Unit retains only those records that relate to its current activities or do not relate to any activities of any individual electricity generation SOE.

Prior to the enactment of the Public Records Act 2005 there was no statutory requirement for ECNZ to transfer the records it created to Archives New Zealand, but several significant collections of material were transferred under section 11 of the Archives Act 1957 (Deposit of

records that are not public archives) in 1999.² These transfers were not used as precedent for this appraisal.

Holdings for prior transfers to Archives NZ were examined and it appears that the records in this appraisal are not duplicate records.

Records covered by this appraisal have been listed and are stored offsite with an offsite storage company in Wellington. The records are generally well described and are arranged in a logical and systematic manner, allowing context for records to be identified relatively easily. There are not always file references for records.

2.1 Methodology

An initial analysis of the records lists was undertaken to identify which records could be readily assigned disposal decisions from Archives New Zealand's three ratified General Disposal Authorities.

- GDA 1 Human Resources and Personnel Records
- GDA 2 Financial and Accounting Records
- GDA 3 General Housekeeping Records

Initial research was undertaken using the following sources:

- *People, Politics and Power Stations, Electric Power Generation 1880-1998*. Edited by the Historical Branch, Department of Internal Affairs
- ECNZ Annual Reports
- Directory of Official Information 2001
- Archway database , Archive New Zealand

Some file examination was undertaken. The contents of approximately 150 boxes have been examined to clarify contents of files where file titles did not provide adequate context.

2.2 Precedent

Some of the records in this appraisal are concerned with corporate functions and activities. An early draft of GDA 4 for Administration and Corporate Services Records has been used as a reference in recommending disposal for these types of records

Collections already transferred to Archives New Zealand consist of different series of records and so these transfers have not been considered as precedent. Lists examined include:

Series		Period of control
W3093	Electricity Corporation NZ (Napier) Contracts, Agreements, and Schemes	1914 – 1977
569	Multiple Number Subject Files	1987 – 1999
7764	Annual Statistics Returns	1987 - 1999

² <http://www.archway.archives.govt.nz/ViewFullAgencyHistory.do>

2.3 Scope of appraisal

This appraisal covers non-current ECNZ records, which were not transferred to SOEs as part of the ECNZ split. It should be noted that records currently being created by the ECNZ Residual Unit will be covered by a separate retention and disposal schedule.

The date range of records in this appraisal is 1987 - 2001. Many of the earlier records are personnel records of staff whose employment has spanned through from ECNZ predecessor agencies.

2.4 Consultation

Consultation has been undertaken with key representatives of the three SOEs

- Mighty River Power
- Genesis Energy
- Meridian Energy
- ECNZ Residual Unit

3. Criteria

Criteria used for retaining records:

A1	Records provide proof of a particular event or agreement, documents the rights/legal interests/obligations of ECNZ
A2	Records provide evidence of structure, organisation, administration and planning
A3	Records document a substantive function of ECNZ
A4	Records document financial accountability of ECNZ, its financial standing, obligations and its conduct of financial affairs
A5	Records provide evidence of ECNZ perspective or position on, or involvement in significant national events/government initiatives.
A6	Records provide research potential in the areas of power generation and the development of the electricity industry, the construction and maintenance of dams and other energy transmission facilities, the environment.
A7	Records provide information about an event significant to the history of the country or ECNZ

Criteria for destroying records include:

D1	Administration records
D2	Routine operational records
D3	Received information only
D4	Drafts/duplicates
D5	Published material
D6	Summarised or available elsewhere

3.1 *Percentage of Records Recommended for Retention and Destruction*

In total there are approximately 700 linear metres of records. Note that this includes records that will be either destroyed or retained as Public Archives under the GDAs.

Percentage recommended for retention as public archives:	33 %
Percentage recommended for destruction:	67 %

4. Class Information

4.1 MAJOR OPERATIONS

<i>Class Title:</i>	MAJOR OPERATIONS
<i>Class Description:</i>	<p>Records in this class are concerned with activities around the construction and maintenance of dams, power generation plants and electricity supply and transmission facilities.</p> <p>Records include all correspondence, reports, technical and procedural documentation, planning including environmental and engineering studies and investigations, reporting documents including SEED [Safety Evaluation of Dams] reports and operational policies.</p> <p>For related Contracts/agreements (see Contract/Agreements class).</p>
<i>Value:</i>	<p>The majority of the records in this class are recommended for retention as they provide evidence of significant power generation projects in the New Zealand electricity industry including:</p> <ul style="list-style-type: none"> • Clyde Dam Project • Hybrid Link (New Cook Strait Cable) and Hayward Benmore Switchyard Project • Refurbishment of Power Stations, Dam Strengthening, Taranaki Combined Cycle Station Design Project <p>The records provide a valuable overview of the environment where the projects were undertaken. They also have an on-going operational value should any safety issues in relation to the on-going operation of dams and power generation plants arise.</p>

Recommended for retention as public archives

<p>Project records for major works, construction and engineering on dams, power stations, etc, for example</p> <ul style="list-style-type: none"> • ECNZ Waitaki Hydro Group Coleridge Refurbishment Project Stage 1 • ECNZ Arnold Failsafe And Highbank C And I Projects 	A3, A6, A7
<p>Technical and procedural documentation such as dam operating procedures, Flood Rules, Safety Procedures, for example</p> <ul style="list-style-type: none"> • ECNZ Manapouri Power Station Hydraulic Manual February 1996 • Stator³ Winding Instruction Manual • Mangahao Mini Hydro System Arrangement 	A3, A6, A7
<p>Planning records including meeting minutes, risk analyses, contingency planning, resource consent applications, submissions to councils about District Plans and investigations/studies related to construction and</p>	A3, A5, A6, A7

³ Stator: The stationary part of a motor, dynamo, turbine, or other working machine about which a rotor turns.

maintenance of dams and planning, for example <ul style="list-style-type: none"> • Waitaki District Plan Submissions • Works Consultancy Services Coleridge Power Station Redevelopment Prefeasibility Study • ECNZ Environmental Performance Indicators etc 	
Operational policy records, for example, <ul style="list-style-type: none"> • ECNZ Land Rates Policy Decisions On Rates • ECNZ Policy Land And Buildings Volume 2 	A3, A6, A7
Planning records including meeting minutes relating to electricity pricing and market rules, for example, <ul style="list-style-type: none"> • EMCO [Electricity Marketing Company] Wholesale Electricity Market Rules March 1997 • ECNZ Pricing General Long Term 	A1, A2, A3
Records that are responses to boards of inquiry about projects, environmental/engineering reports, safety evaluation reports etc, for example. <ul style="list-style-type: none"> • ECNZ Clyde Power Project Review Panel Report Number Nine Lake Dunstan Landslides February 1993 • ECNZ Contaminated Sites Papers • ECNZ Water Shortage Review Final Report • ECNZ Production Control Generation And Flow Statistics • ECNZ Dam Safety Assurance • Tekapo Electrical Seed [Safety Evaluation of Dams] Examination 	A3, A5, A6, A7

Recommended for destruction

Operational Routine EG. Works orders, shipping documents, job sheets	D2
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4.2 GOVERNANCE

<i>Class Title:</i>	GOVERNANCE
<i>Class Description:</i>	This class covers records of Board and other senior management decision making meetings and includes related registers agendas, and papers presented at meetings; Chief Executive and Board Chair Papers; Minutes and Papers of Decision Making Committees (not covered by GDAs) and Minute books and registers of all Subsidiary Companies.
<i>Value:</i>	These records document key decisions regarding the management and strategic direction of ECNZ and accountability for those decisions and are recommended for retention.

Recommended for retention as public archives

Key decision making records <ul style="list-style-type: none"> • Board Meeting Minutes and Papers • [name removed] (Board Chair) Papers • Audit Committee Papers/Finance Committee Papers/Senior Management Meeting Papers 	A1, A2, A3, A4, A7
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Recommended for destruction

Duplicates where an original already exists	D4
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4.3 MUNDANE ADMINISTRATION

<i>Class Title:</i>	MUNDANE ADMINISTRATION
<i>Class Description:</i>	Records in the class are administrative e.g. Administration for conferences, delegate lists etc. forms, low level correspondence and team administration
<i>Value:</i>	These records are administrative only and of no long term value or interest These records are recommended for destruction

Recommended for retention as public archives

None

Recommended for destruction

Low level Administration, for example, <ul style="list-style-type: none"> • Projects Usages Entry Form • ECNZ Company Secretary Group General Correspondence October 1991/August 1995 	D1
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4.4 CONTRACTS/AGREEMENTS

<i>Class Title:</i>	Contracts/Agreements
<i>Class Description:</i>	<p>This class covers all contracts and agreements and related negotiations not explicitly covered by the following existing Archives New Zealand General Disposal Authorities:</p> <ul style="list-style-type: none"> • GDA 2 4.0 Records relating to the raising of major loans and use of loans funds • GDA 2 10.3 Major contracts and agreements incurring significant expenditure of operational and/or capital funding • GDA 2 10.4 Routine contracts for supply, purchase, services, rentals etc. • GDA 2 10.6 Lease agreements for expensive capital items. E.g. Buildings, land, major plant • GDA 2 10.7 Records detailing sale, transfer, disposal, and /or write-offs of major capital assets. • GDA 1 11.0 Employment contracts and agreements <p>Records covered by this class include:</p> <ul style="list-style-type: none"> • Licence Agreements • Hedge Contracts • Permits • Gas Supply Agreements eg. Maui Gas • Heads of Agreement • Agreement to Grant Easements including Land Schedules, property deeds • Deeds of Covenant • Franchise agreements • Deeds of Novation • Deeds of Assignment • Power of Attorney • Completion Agreements • Large scale contract negotiations eg. Maui Gas • Electric Car Prototype Agreement • Contracts for carrying out Safety Evaluation of Existing Dams (SEED)

<i>Value:</i>	<p>Contracts and agreements recommended for retention include those that relate to significant activities and events in the electricity industry and include negotiations and development of contracts/agreements. These include;</p> <ul style="list-style-type: none"> • Electricity pricing (such as Hedge Contracts for sale and purchase of electricity) • Transfer of contractual requirements to other companies (such as Deeds of Novation.) • Heads of Agreement with other companies or the Crown • Energy supply – such as Maui Gas contract • Land access agreements • Licences for mining exploration • Documentation of the transfer of contractual requirements to other entities • Operational contracts
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Recommended for retention as public archives

<p>Development of contracts/agreements relating to key ECNZ functions, for example</p> <ul style="list-style-type: none"> • Gas Supply Agreements • Heads of Agreement • Large scale contract negotiations e.g. Maui Gas 	A1
<p>Agreements that transfer contractual arrangements from ECNZ to another company, for example,</p> <ul style="list-style-type: none"> • ECNZ And Contact Energy Ltd Deed Of Novation 	A1
<p>Contracts and agreements documenting access to land/property arrangements, for example,</p> <ul style="list-style-type: none"> • Licence To Occupy [name removed] Land At Marsden Point Power Station • Easement Ministry Of Conservation And ECNZ Easement Over Urewera National Park 	A1

Recommended for destruction

None

4.5 LITIGATION and DISPUTES

<i>Class Title:</i>	Litigation and Disputes
<i>Class Description:</i>	<p>This class contains all records relating to litigation and disputes relating directly to ECNZ. This includes court cases, Commerce Commission investigations and dispute and mediation hearings etc.</p> <p>Litigation and disputes include those related to</p> <ul style="list-style-type: none"> • Pricing including hedge contract disputes and Commerce Commission inquiries into gas pricing etc. • Operation and maintenance of dams and power stations • Valuation disputes
<i>Value:</i>	Records in this class are recommended for retention. Records provide ECNZ perspective on energy pricing and environmental concerns and comprehensive litigation records from ECNZ's perspective.

Recommended for retention as public archives

<p>All records related to pricing and ECNZ operations litigation, for example,</p> <ul style="list-style-type: none"> • WEL Energy Versus ECNZ Limited General File Hedge Contract Litigation • WEL Energy Versus ECNZ Limited/Litigation Court Documents • In the Court Of Appeal Of New Zealand CA Number 153/00 Between WEL Energy Group Limited And ECNZ Limited Case On Appeal/Relevant Pleadings • ECNZ Alexandra Flooding Litigation 	A1, A5, A7
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Recommended for destruction

None

4.6 COMMUNICATIONS/PUBLIC RELATIONS/CLIENT OPERATIONS

<i>Class Title:</i>	COMMUNICATIONS/PUBLIC RELATIONS/CLIENT OPERATIONS
<i>Class Description:</i>	<p>Records relate to ECNZ external marketing activities, public relations</p> <p>Records include:</p> <ul style="list-style-type: none"> • ECNZ publications providing information about ECNZ. • Records about advertising and marketing • Client files contain a mixture of marketing information sent to clients (Power Supply Authorities and other companies) by ECNZ and client credit policies and company profile information provided to ECNZ. Specific supply agreements between ECNZ and supply authorities and other companies are covered under the Contract/agreement
<i>Value:</i>	<p>These records are recommended for retention</p> <ul style="list-style-type: none"> • Copies of publications produced by ECNZ for marketing purposes • Records showing how ECNZ managed its advertising and marketing • Records showing the public perception of the organisation <p>Recommended for destruction are</p> <ul style="list-style-type: none"> • Client records contain routine operations communications with clients, which are of no long-term value. Actual contracts and agreements for energy supply to Power Companies are under the Contracts and Agreements class.

Recommended for retention as public archives

<p>One of each publication produced by ECNZ for marketing purposes, for example.</p> <ul style="list-style-type: none"> • Introduction To The Electricity Corporation Of New Zealand Limited • ECNZ Marketing Group Advertising And Promotions • Public opinion surveys, for example, • Marketing Head Office Shortage Survey Of Consumer Behaviour 1992 • The National Grid (video) 	A2
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Recommended for destruction

<p>Client records, for example,</p> <ul style="list-style-type: none"> • ECNZ Auckland Electric Power Board Marketing Client • ECNZ Marketing Clients File/New Zealand Steel Company General Correspondence 	D2
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4.7 SECURITY SYSTEMS

<i>Class Title:</i>	SECURITY SYSTEMS
<i>Class Description:</i>	This class includes building security reports and administration around the management of systems
<i>Value:</i>	These records are administrative only and of no long term value or interest These records are recommended for destruction

Recommended for retention as public archives

None

Recommended for destruction

Low level Administration, for example, <ul style="list-style-type: none"> • Security System Keys And Locks • Security System Reports 	D1, D2
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4.8 OMBUDSMAN ENQUIRIES/OIA REQUESTS

<i>Class Title:</i>	OMBUDSMAN ENQUIRIES/OIA REQUESTS
<i>Class Description:</i>	Records dealing with Ombudsman Enquiries or OIA Request information
<i>Value:</i>	All Ombudsman case files under the Ombudsman Act 1975 and Official Information Act 1982 are scheduled and transferred to Archives New Zealand therefore these records are recommended for destruction.

Recommended for retention as public archives

None

Recommended for destruction

All Ombudsman Enquiries, for example, ECNZ Ombudsmans Inquiry [names removed]	D6
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4.9 PROPERTY MANAGEMENT

<i>Class Title:</i>	PROPERTY MANAGEMENT
<i>Class Description:</i>	This class includes records concerning the administration of accommodation and building services for ECNZ's company offices (see Operations for records related to power generation facilities); holiday accommodation for staff, management of tenancies by ECNZ, administration of childcare facilities.
<i>Value:</i>	All of the records in this class are administrative and of no long term value. They are recommended for destruction.

Recommended for retention as public archives

None

Recommended for destruction

All records relating to the maintenance of ECNZ accommodation and tenanted properties, for example, <ul style="list-style-type: none"> • ECNZ Land And Property April 2001/May 2001 • Holiday Accommodation/Staff /44 Ringakapo Street Turangi • Production Technical And Strategic Development Group Cuba Cook And Main Street Palmerston North • ECNZ Rutherford House Lift Upgrade 	D1, D2
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4.10 INFORMATION SYSTEMS and SERVICES

<i>Class Title:</i>	INFORMATION SYSTEMS and SERVICES
<i>Class Description:</i>	Records in this class document Information systems projects including upgrading and maintaining the information technology systems library services administration, archived file registers, file registers and the ECNZ IP Catalogue
<i>Value:</i>	There no value in retaining records once systems have been disestablished. Registers of archived files will be maintained by Archives New Zealand. These records are recommended for destruction.

Recommended for retention as public archives

None

Recommended for destruction

Records related to the operation and administration of information systems, library management and records management, for example, <ul style="list-style-type: none"> • ECNZ User Guide Financial Management System 1997 • ECNZ Use Of The Loadlink And Loadexpert Software Systems Southpower • New Zealand Electricity Head Office Records File Index Copy • Final Receipt For Archives Transferred on 10 January 2001 • ECNZ Archived Files Register 22/24/24/1 To 23/235/2/3 • ECNZ Request For Proposal Host Computer Platform Wang 	D1, D2
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4.11 TREATY OF WAITANGI/MAORI CLAIMS ISSUES

<i>Class Title:</i>	TREATY of WAITANGI/MAORI CLAIMS ISSUES
<i>Class Description:</i>	This class is concerned with records documenting claims by Maori on land and resources owned or administered by ECNZ; Heads of Agreement with Iwi; right of first refusal on sale of property and also Maori Responsiveness training for ECNZ staff
<i>Value:</i>	Records recommended for retention: All remaining records relating to claims or that show how ECNZ as an organisation has participated in Treaty issues. These records provide a rich source of New Zealand's Treaty settlement history, which will complement other collections of similar material from, other agencies. Records recommended for destruction include: Copies of Waitangi Tribunal reports originated by the Tribunal and provided to ECNZ for their information.

Recommended for retention as public archives

Agreements, heads of agreement, negotiations	A1
Documentation of issues from ECNZ perspective	A5, A6

Recommended for destruction

Duplicates of Waitangi Tribunal reports, for example, <ul style="list-style-type: none"> • Waitangi Tribunal Interim Report WAI 119/201 Claim Loss Of Ngati Kahungunu Land Mohaka River 1864 December 1991 • Waitangi Tribunal Interim Report WAI 119/201 Claim Loss Of Ngati Kahungunu Land Mohaka River 1864 [name removed] December 1991 	D4, D5
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4.12 COMPANY RECORDS

<i>Class Title:</i>	Company Records
<i>Class Description:</i>	<p>This class covers all records required to be kept under the Companies Act 1993 by ECNZ and its subsidiaries but which are not covered by GDAs. Records in this class include:</p> <ul style="list-style-type: none"> • Certificates of registration • Deeds of indemnity for directors • Companies constitution • Certificates of incorporation • Companies office filing • Interests registers • Shares registers • Company details • Shareholders correspondence • Directors particulars
<i>Value:</i>	As a company ECNZ are required to keep records (Companies Act 1993 Part 10. s 189). Once ECNZ winds up its business there is low value in retaining these records. Copies are filed to the Companies Office. It is recommended records in the class are destroyed once ECNZ is finally wound up.

Recommended for retention as public archives

None

Recommended for destruction

<p>Records provided to the Companies Office, for example,</p> <ul style="list-style-type: none"> • Deed Of Indemnity [name removed] • ECNZ Deed Of Modification To ECNZ Trust Deed • EMCO [Electricity Marketing Company] Directors And Constitution July 1996/May 1998 	D6
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4.13 LEGISLATION SUBMISSIONS/LEGAL OPINIONS

<i>Class Title:</i>	LEGISLATION SUBMISSIONS/LEGAL OPINIONS
<i>Class Description:</i>	Records in this class relate to legislation and its impact on the way in which ECNZ does its business, both as a corporate body and operationally. Records in the class include submissions made by ECNZ to the Government on legislative development, legal opinions on legislation and information about various statutes and regulations including presentations to staff about how legislation impacts on their work.
<i>Value:</i>	Records recommended for retention include: <ul style="list-style-type: none"> • Records documenting significant submissions and input regarding legislation that impacts on the organisation; or significant legal opinions relating to the organisation's policies/practices. Records recommended for destruction include: <ul style="list-style-type: none"> • Records of which are informational only • Minor legal opinions.

Recommended for retention as public archives

Significant submissions/legal opinions relating to legislation that impacts ECNZ , for example, <ul style="list-style-type: none"> • Energy Sector Reform Bill A Submission To The Planning And Development Select Committee 	A5
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Recommended for destruction

Information only or minor legal opinions, for example, <ul style="list-style-type: none"> • ECNZ MMP Implications For ECNZ Workshop September 1996 	D1
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4.14 CORPORATE PLANNING AND REPORTING

<i>Class Title:</i>	CORPORATE PLANNING and REPORTING
<i>Class Description:</i>	Records in this class concerns the Company's strategic and business planning records. It also includes delegation records.
<i>Value:</i>	<p>Records recommended for retention include:</p> <ul style="list-style-type: none"> • Consolidated plans and reports which document strategic and business planning and reporting for ECNZ and future options for energy generation. • Meetings minutes that provide evidence of how ECNZ went about planning. <p>Records recommended for destruction include:</p> <ul style="list-style-type: none"> • Planning and reporting which is undertaken at business group level as these records will be consolidated into the high level strategic and business plans and reports. • Delegations as they are operational in nature and of no long term value.

Recommended for retention as public archives

<p>Consolidated principle corporate and strategic financial plans and accountability reporting records, for example.</p> <ul style="list-style-type: none"> • Electricorp productions Capital Investment Strategic Directions April 1991 Report • ECNZ The Genco⁴ Report March 1992 • Strategic Planning Meeting Waiheke Island Resort 12/13 March 1997 	A2, A5
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Recommended for destruction

<p>Business Group Unit level reporting and planning, for example,</p> <ul style="list-style-type: none"> • ECNZ Audit Group Financial Services June 1995 	D6
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⁴ ECNZ's The Genco Report: Developing the ECNZ Generation Company, March 1992. The report is about ECNZ's internal reorientation.

4.15 CORPORATE POLICY AND PROCEDURE

<i>Class Title:</i>	CORPORATE POLICY AND PROCEDURE
<i>Class Description:</i>	This class covers both administrative policy and procedure and minor reviews of the same. There are very few records related to these activities.
<i>Value:</i>	All records in this class are recommended for destruction. They are concerned with minor administrative activities and are of low value/interest.

Recommended for retention

None

Recommended for destruction

Documentation of minor review of corporate policies, procedures and reviews of these, for example, <ul style="list-style-type: none"> • Rutherford House Energy Use Review • ECNZ Official Information Act Administration Guidelines 	D2
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4.16 TRANSPOWER SEPARATION and SALE

<i>Class Title:</i>	TRANSPOWER SEPARATION AND SALE
<i>Class Description:</i>	This class relates to records documenting the separation of Trans Power from ECNZ and subsequent sale to the Crown. This includes all sale and transition documentation, valuations, reports and meetings. Note that related board papers are covered by the Governance class and Heads of Agreement records will be covered by Contracts/Agreements.
<i>Value:</i>	Records recommended for retention include: All records relating to the separation and sale of Trans Power. Board Papers are already covered by the Governance class. The separation of Trans Power was both a major structural change to ECNZ and the subsequent sale followed after only protracted discussions and disagreements with Treasury relating to how to value the company. These records document a significant event in relation to the structure of the company and also the development of how the energy sector would be managed.

Recommended for retention

<p>All records relating to the separation and sale of Trans Power, for example.</p> <ul style="list-style-type: none"> • ECNZ Documents Executed In Relation To Sale Of Transpower 1994 • Transpower Valuation Of Assets Summary Report March 1991 • TransPower Separation 1994 Working Files • Transpower Separation Information Memorandum 1993 • Section 1 Treasury Policy Statement Draft 	A1, A5, A6, A7
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Recommended for destruction

None

4.17 ECNZ SPLIT

<i>Class Title:</i>	ECNZ SPLIT
<i>Class Description:</i>	<p>Records in this class are concerned with the specific activity of splitting ECNZ into separate State Owned Enterprises and winding up the Company. Records include documentation about planning</p> <ul style="list-style-type: none"> • Planning • Administration issues, e.g. IT arrangements, records management arrangements • Processes for managing staffing transition issues • Overview and Project Management • Audits and investigations • Company Valuation • Finance planning
<i>Value:</i>	<p>Records recommended for retention include: All records relating to the final splitting of ECNZ into three separate SOES. This is a large scale and significant project and records document planning and process related to its execution.</p>

Recommended for retention as public archive

<p>All records relating to the separation and winding up of ECNZ, for example,</p> <ul style="list-style-type: none"> • Hydro Energy Limited Bible ECNZ Split/windup/transition Key Documents • ECNZ Bible/ECNZ Split/windup/transition Key Documents • ECNZ Monthly Report Of The Transition Project Team • ECNZ Split Finance Group Minutes Of Meetings July 1998/December 1998 	A1, A5, A6, A7
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Recommended for destruction

None

5. Access Recommendations

[have been removed]

6. 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.

Appendix 1 – Marked up list

Note this list does not include those records which are to be destroyed or transferred to Archives NZ under GDA1, 2, and 3.

[please contact the Appraisal Section if a copy is required of this list]

Appendix 3 – Glossary of terms

Term	Defintion

Appendix 2 – Transfer List

Note this list excludes those records contained in the Appraisal List but lists those records to be transferred to Archives NZ under GDA1, 2, and 3. Because there is no evidence of a register of employees having being already transferred to Archives New Zealand the personnel records will be prepared prior to transfer in accordance with GDA 1 1.5 and 1.6.

[please contact the Appraisal Section if a copy is required of this list]