

Retention and Disposal Schedule Report for Creative New Zealand

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Removed] and Creative New
Zealand**

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INTRODUCTION

File/Document ID: 2010/3222

Client Name:	Creative New Zealand – Arts Council of New Zealand
Disposal Type	Retention and disposal schedule
Agency	Arts Council of New Zealand Toi Aotearoa (from 1994 onwards)
Coverage:	ABRL – Head office BBJZ –Northern Office CAXV –Southern Office Formerly: AANV – Queen Elizabeth II Arts Council of New Zealand (until 1994) ABUW Te Waka Toi (until 1994)
Scope:	Hard copy records created by Creative New Zealand in carrying out its functions

1 Executive Summary

Overview

This retention and disposal schedule is for Creative New Zealand records. It covers all hard copy records created by Creative New Zealand in carrying out its functions, as the national agency for the development of the arts.

Percentage of Records Recommended for Retention and Destruction

Based on the estimated 20-30% of records which hold archival value, we predict total transfer to approximate 10 linear meters for each year.

Quantity recommended for retention as public archives:	76lm (30%)
Quantity recommended for destruction:	179lm (70%)
Estimated amount added per year:	40lm per year

2 Appraisal Circumstances

Creative New Zealand has developed a retention and disposal schedule covering its records as part of ongoing improvements to their recordkeeping practices, and to ensure compliance with the Public Records Act 2005.

Whilst there had been records prior to 1994 sent to Archives New Zealand, there has not been an on-going disposal authority for the records created after 1994. A disposal authority is therefore, required and at this point in time it will focus on hard copy records only. Electronic records are not considered as part of this disposal authority and will be dealt with under a separate authority when appropriate.

3 Agency Information

<i>Agency code</i>	ABRL
<i>Agency name:</i>	Creative New Zealand - Arts Council of New Zealand Toi Aotearoa
<i>Year established:</i>	1994
<i>Year dis-established:</i>	Current

Creative New Zealand is the national arts development agency investing in and advocating for the arts. The Arts Council, Creative New Zealand's governing body, is established under the Arts Council of New Zealand Toi Aotearoa Act 1994.

The QEII Arts Council was first established in 1963 under the Queen Elizabeth the Second Arts Council of New Zealand Act 1963, which was subsequently repealed by the Queen Elizabeth the Second Arts Council Act of 1974. Agency descriptions for Queen Elizabeth II Arts Council of New Zealand (AANV) and Te Waka Toi (ABUW) can be found on Archway: <http://www.archway.archives.govt.nz/FullAgency.do> Some records from these predecessor agencies have previously been appraised and transferred.

Under the Crown Entities Act 2004, Creative New Zealand became established as an autonomous Crown entity. Creative New Zealand invests resources in New Zealand Arts for the long term benefit of New Zealanders.

Creative New Zealand receives major funding from the New Zealand Lottery Grants Board and the Government through Vote Arts, Culture and Heritage and its funding decision-making bodies are the Arts Board and Te Waka Toi.

The Ministry for Culture and Heritage monitors the performance of Creative New Zealand in accordance with directions from the Minister for Arts, Culture and Heritage.

4 Methodology

This retention and disposal schedule, assisted by [Name Removed], was developed in consultation with Creative New Zealand staff covering a range of roles and levels of experience in Creative New Zealand. Background research into previous appraisals, and both current and superceded files lists was also undertaken.

Previous records now held by Archives New Zealand were reviewed to determine any precedent for disposal decisions included in this schedule, along with the contents of files held by Creative New Zealand, both on-site and off-site. Disposal schedules for other arts sector agencies, for example the Ministry for Culture and Heritage, DA 281, the New Zealand Film Commission, DA 308, and Sport and Recreation New Zealand, DA226 were also examined.

4.1 Scope of schedule

4.1.1 Inclusions

This covers all hard copy corporate records.

4.1.2 Exclusions

Records retained and managed within the electronic repositories are not included. The collection of images of artists' work is not included as these remain the intellectual property of the individual artists. Images if used by Creative New Zealand for promotional purposes and for inclusion in publications are only with the individual artist's permission.

4.2 Consultation

Staff with knowledge of the agency and the records it creates were interviewed.

Major stakeholders were consulted through mail correspondence prior to the submission of this report (see Appendix 2). Three responses were received and these were largely around points of clarification.

5 Recordkeeping Environment

Creative New Zealand introduced a function based file classification structure in 2009. The file classification structure is used to control files in the shared drive and the hard copy.

A client management database (D'arta) manages the grants funding activities and client information and contains records and information dating back to 1995.

A web-based database (RFOonline) collects and holds contact and submission details, annual budget information, quarterly and annual reports from Creative New Zealand's multiyear funded clients dating back to 2009.

The paper file is the official record for Creative New Zealand and all information contained on the shared drive, D'arta and RFOonline is printed and filed.

All records activities are centralised through the Head Office.

6 Schedule format

ID	Numeric reference. Purpose is to allow easy application to the organisation's file classification structure.
Record Class Description	Class and sub-class titles and descriptions
Examples of Records	Types of records covered by the class and specific sub-classes
Disposal Action	The disposal action for records in the class or sub-class
Minimum Retention Period	The total period of time from the closing of the file until the disposal action
Trigger	Point when total retention period begins
Criteria	Disposal criteria applied to each class

7 Disposal Criteria

The criteria for recommending the retention of records are:

A1	Records provide evidence of the statutory roles, bodies and core functions of Creative New Zealand.
A2	Records provide evidence and accountability in development of policy and the execution of management decisions of Creative New Zealand.
A3	Records provide evidence of structure, organisation, administration and planning of Creative New Zealand.
A4	Records provide research potential in the area of the development of New Zealand's arts sector.
A5	Records provide evidence of Creative New Zealand's position or perspective on, or involvement in significant national or international events

The criteria for recommending the destruction of records are:

D1	Routine administrative records.
D2	Duplicate records or reference material that can be obtained from other sources.
D3	Routine operational records.
D4	Received information only.
D5	Published material.
D6	Summarised in a more accessible format elsewhere.

8 Class Information

8.1 GOVERNANCE

<i>Class Title:</i>	Governance
<i>Class number:</i>	1.0
<i>Class Description:</i>	<p>The Arts Council is the governing body of Creative New Zealand. There are two funding boards, the Arts Board and Te Waka Toi. The Pacific Arts Committee is a committee of the Arts Board. Members of the Council and the two arts boards are appointed by the Minister for Arts Culture and Heritage. Members of the Pacific Arts Committee, including the Chair, are appointed by the Arts Board.</p> <p>Within this class are records related to the establishment of the governance bodies and the policy relating to the way they operate. Included are:</p> <ul style="list-style-type: none"> • governance manuals • appointments and resignations of members • conflict of interest policy • signed minutes • records of the Council, Boards, Committee and Senior Management meetings agendas and papers that provide background to the decision making • collated results of surveys and appraisals of council performance • governance members administration of a routine nature.
<i>Value:</i>	<p>Recommended for retention as public archives are those records relating to the establishment of the governing bodies and the policies that support their operation and decision making. They include:</p> <ul style="list-style-type: none"> • Council, Board and Committee governance manual • appointments and resignations of governors • papers and signed minutes from the governing bodies including the senior management team because although the decisions are summarised in the signed minutes they do not contain the evidential information that supports the decisions. <p>Over time these records have historical and informational value because they accurately report the governance of the organisation.</p> <p>Records of the governing bodies' administration are recommended for destruction because they have no long term informational value. These include those that contain:</p> <ul style="list-style-type: none"> • appraisals of the Council's performance • duplicate copies of information or information that is available elsewhere • routine administration and management of governing bodies background and supporting papers.

Recommended for retention as public archives

Record class no.	Subject	Disposal criteria
1.1	Governance Establishment and Policy	A2, A3
1.2	Governance Appointments and Resignations	A3
1.3	Meeting Agendas, Papers and Signed Minutes	A1, A2

Recommended for destruction

Record class no.	Subject	Disposal criteria
1.4	Reviews of Governance	D3
1.5	Duplicate Sets of Governance Papers and Minutes	D2
1.6	Governance Members Administration	D1
1.7	Background and Supporting Papers	D3, D6

8.2 POLICY DEVELOPMENT

<i>Class Title:</i>	Policy Development
<i>Class number:</i>	2.0
<i>Class Description:</i>	<p>Policy records outline Creative New Zealand's development, implementation and maintenance of operational policy. The policies are developed to enable the organisation to meet its strategic objectives. Records in this class are also concerned with the review of operational policy for Creative New Zealand including funding policy. Policy development records also include:</p> <ul style="list-style-type: none"> • collated stakeholder consultation documents that inform the development of internal strategies for managing external research projects • Creative New Zealand's contribution, as the national arts development agency, to wider Arts sector policy and legislative development.
<i>Value:</i>	<p>Policy development or review and consultation with stakeholder records have historical value because they provide information about the policies supporting Creative New Zealand's core function and purpose. Therefore these records are recommended for retention as public archives.</p> <p>Records recommended for destruction include:</p> <ul style="list-style-type: none"> • published material found elsewhere, eg policy documents that are lodged at the National Library • information summarised elsewhere, eg process and procedure documents that are included in the governance manual • routine operational records, for example working documents and background notes and comments on policy drafted by another agency as they will be retained by the lead agency • reference materials and working papers used to prepare other documents because they are summarised in a more accessible format elsewhere.

Recommended for retention as public archives

Record class no.	Subject	Disposal criteria
2.1	Policy development / review led by Creative New Zealand	A2, A3, A4
2.2	Consultation with stakeholders	A2, A3, A4

Recommended for destruction

Record class no.	Subject	Disposal criteria
2.3	Policy and related process and procedural documentation for Creative New Zealand operational work	D6, D5
2.4	Policy development lead by other agencies	D6
2.5	Working papers / reference materials and background notes used to prepare or complete other documents	D3, D5, D6

8.3 MARKET DEVELOPMENT AND RESEARCH

<i>Class Title:</i>	Market Development and Research
<i>Class number:</i>	3.0
<i>Class Description:</i>	<p>This class of records provides evidence of the organisation's research and market development work that supports and promotes strong and dynamic arts valued in Aotearoa and Internationally. Records in this class are concerned with:</p> <ul style="list-style-type: none"> • research undertaken or commissioned by Creative New Zealand for implementation into policy • promotion and development of artists, the arts sector and arts markets, including workshops, conferences and selection and funding of delegates to attend arts markets • Creative New Zealand's role as an advocate for the arts, emphasising the contribution the arts make to our economic and cultural well-being and making the case for the public value of the arts.
<i>Value:</i>	<p>Records recommended for retention as public archives are:</p> <ul style="list-style-type: none"> • reports and consolidated research in areas, such as the health of Maori and Pacific arts, because they provide evidence of the state of these sectors at the time • selection and funding of delegates to attend arts markets. These records have the same archival value as successfully funded artist's or organisation's project records included in Class 5.1 • those that provide evidence of Creative New Zealand's advocacy role because of the impact it has on the public value of the arts <p>Records recommended for destruction because they are published material or received information only include:</p> <ul style="list-style-type: none"> • research project management of an administrative nature • background documents, working papers and raw data from surveys and research projects that are summarised elsewhere.

Recommended for retention as public archives

Record class no.	Subject	Disposal criteria
3.1	Consolidated Research Reports	A2, A4
3.2	Market Development for Arts Practitioners	A1
3.3	Advocating for the Arts	A5

Recommended for destruction

Record class no.	Subject	Disposal criteria
3.4	Research Programme Management	D1, D3
3.5	Background documents and working papers	D4, D6

8.4 PLANNING AND REPORTING

<i>Class Title:</i>	Planning and Reporting
<i>Class number:</i>	4.0
<i>Class Description:</i>	<p>Records in this class are concerned with strategic planning and compliance reporting undertaken by Creative New Zealand. They include:</p> <ul style="list-style-type: none"> • strategy developed from consultation reports that enable Creative New Zealand to meet its outcomes as identified in its Statement of Intent • consultation documentation relating to cultural matters for the Ministry for Culture and Heritage's reporting to government e.g. Government Administration Committee and Financial Review questionnaires • six monthly and fortnightly reports to the Minister and Ministry of Culture and Heritage • high level corporate planning records e.g. Business Plan and Balanced Scorecard.
<i>Value:</i>	<p>Our statutory purpose is to encourage, promote and support the arts in New Zealand for the benefit of all New Zealanders. The records held within this class provide evidence of our work to achieve this purpose.</p> <p>Records recommended for retention as public archives include those that provide evidence of strategy development including consolidated consultation reports and steering group papers. These records are collated from research projects that give strategic direction to our organisation e.g Health of Maori and Pacific Heritage Arts.</p> <p>Government reporting and corporate planning and reporting records are recommended to be retained by the agency for ten years before destruction. Final reports and major drafts for these reports are contained within the agendas and papers, under Governance class 1.3, and are recommended for retention as a public archive. Background and working papers used to prepare these reports are of a routine operational nature and are therefore recommended for destruction.</p>

Recommended for retention as public archives

Record class no.	Subject	Disposal criteria
4.1	Strategy Development	A1, A2, A3

Recommended for destruction

Record class no.	Subject	Disposal criteria
4.2	Government Reporting	D2
4.3	Corporate Planning and Reporting	D3
4.4	Background and working papers	D3, D6

8.5 FUNDING PROCESS MANAGEMENT

<i>Class Title:</i>	Funding Process Management
<i>Class number:</i>	5.0
<i>Class Description:</i>	<p>This class is concerned with records related to administering the funding processes Creative New Zealand offers. Funds are awarded to individuals, organisations and groups to enable them to produce high quality New Zealand art. Included within this class are records of arts partnerships, where the organisation's specialised knowledge and advice is provided to support arts sector programmes with other organisations.</p> <p>These records cover:</p> <ul style="list-style-type: none"> • applications for funding that are captured as projects attached to clients, organisations or groups. The application file contains the original funding application, a summary of the client's application history and a letter offering or declining a grant. Successful applications contain contracts, payment forms, monitoring reports and project completion reports • partnerships with other organisations, where Creative New Zealand manages the funding process, e g Film Commission • funding advice provided to clients and organisations • assessors and assessment process including summarised assessment recommendations • funding application assessment panel management • Creative Community grants allocated to Local Authorities for funding community arts projects • queries regarding funding from clients and organisations.

<i>Value:</i>	<p>Applications and allocation records for successful applicants are recommended for retention as public archives because they demonstrate a core function of Creative New Zealand. Their value is confirmed by the frequent requests Creative New Zealand receives from art researchers to view client files.</p> <p>Partnerships with other organisations capture our involvement in the funding process. Records relating to Screen Innovation Production Fund Funding, management of bequests, and residencies for artists are held within this class. Students from tertiary institutes request access to partnership records for academic study so these are also recommended for retention as public archives.</p> <p>Records recommended for destruction are:</p> <ul style="list-style-type: none"> • funding application assessment panel working papers because the decisions from these panels provide the record and are captured under the Governance Class 1.3 • funding application assessment panel management, such as nominations, personal information, correspondence, training, payments, fee reimbursements because they are of short term value • unsuccessful applicant's files because decisions on declined applications are summarised in the Board papers to be retained by Archives New Zealand under Governance Class 1.3. • funding administration from the funding process because they have no long term historical value • applications from Local Authorities because they are held by each territorial local authority, and a summary of their allocations are contained within the Board papers under Governance Class 1.3 • general funding queries from the public because they are transitory records
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Recommended for retention as public archives

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
5.1	Funding Applications and Allocation – Successful	A1, A4
5.2	Funding Advice	A1

Recommended for destruction

<i>Record class no.</i>	<i>Subject</i>	<i>Disposal criteria</i>
5.3	Funding Application Assessment Panel Papers	D6
5.4	Funding Application Assessment Panel Management	D1
5.5	Funding Applications and Allocation – Unsuccessful	D3
5.6	Funding Administration	D1, D6
5.7	Funds Applications and Allocation - Local Government	D2
5.8	General Funding Enquiries from Public	D3

9 Access Recommendations

[Removed]

10 Transfer Arrangements

[Removed]

Appendix 1 – Retention and Disposal Schedule

see spreadsheet attached

Appendix 2 - Stakeholder Consultation List

Organisation:	Contact Person:	Position:
Artists Alliance	[Name Removed]	Executive Director
Arts Access Aotearoa	[Name Removed]	Chief Executive
Arts on Tour NZ	[Name Removed]	Director
ARTSPACE NZ	[Name Removed]	Director
Auckland Philharmonia Orchestra	[Name Removed]	General Manager
Auckland Theatre Company	[Name Removed]	General Manager
BATS Theatre	[Name Removed]	Business Manager
BATS Theatre	[Name Removed]	Programme Manager
Black Grace	[Name Removed]	Chief Executive
Booksellers New Zealand	[Name Removed]	Chief Executive
Centrepoint Theatre	[Name Removed]	Artistic Director
Chamber Music New Zealand	[Name Removed]	Chief Executive
Christchurch Symphony Orchestra	[Name Removed]	Chief Executive
Circa Theatre	[Name Removed]	Administrator
DANZ	[Name Removed]	Executive Director
Footnote Dance	[Name Removed]	Director
Fortune Theatre	[Name Removed]	Interim Theatre Manager
Kahurangi Maori Dance Trust	[Name Removed]	Executive Director
MIC Toi Rerehiko	[Name Removed]	Director
National Theatre for Children	[Name Removed]	Theatre Manager
NBR New Zealand Opera	[Name Removed]	General Director
New Zealand Book Council	[Name Removed]	Chief Executive
New Zealand International	[Name Removed]	Executive Director

Festival of the Arts		
New Zealand String Quartet	[Name Removed]	Manager
Choirs Aotearoa NZ	[Name Removed]	Chief Executive
Objectspace	[Name Removed]	Director
Playmarket	[Name Removed]	Director
SOUNZ	[Name Removed]	Executive Director
Southern Sinfonia	[Name Removed]	General Manager
TACT	[Name Removed]	Administrator
Taki Rua Productions	[Name Removed]	Artistic Director
Tautai Trust	[Name Removed]	Trust Manager
The Court Theatre	[Name Removed]	Chief Executive
The Physics Room	[Name Removed]	Director
Toi Maori Aotearoa	[Name Removed]	General Manager
Vector Wellington Orchestra	[Name Removed]	General Manager
Ministry for Culture and Heritage	[Name Removed]	Chief Executive
Department of Internal Affairs	[Name Removed]	Chief Executive
New Zealand Lotteries Grants Board	[Name Removed]	Chief Executive
University of Auckland	[Name Removed]	Deputy Vice-Chancellor (Research)
Auckland University of Technology	[Name Removed]	Pro Vice Chancellor Research
University of Canterbury	[Name Removed]	Vice-Chancellor
Lincoln University	[Name Removed]	Vice-Chancellor
Massey University	[Name Removed]	Deputy Vice-Chancellor (Research)
University of Otago	[Name Removed]	Vice-Chancellor
Victoria University of Wellington	[Name Removed]	Vice-Chancellor
University of Waikato	[Name Removed]	Vice-Chancellor

Appendix 3 - Retention and Disposal Schedule Implementation Guidelines

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