

Appraisal Report for Ministry of Education

Prepared by [name removed], Ministry of Education and [name removed], [consultants]

VERSION 2.5

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1 Contact Information

1.1 Agency name

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1.2 Contact names

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1.3 Appraisal report created by:

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2 Agency Information

Agency information is provided for 4 agencies as the records offered for appraisal were either created, or in the custody of one or more of these agencies:

1. Ministry of Education (the transferring agency)
2. Residual Management Unit, Department of Education, Head Office
3. Residual Management Unit, Otago Education Board
4. Department of Education, Head Office

2.1 Ministry of Education

The Ministry of Education was established on 1 October 1989. The primary functions of the Ministry are to:

- Give policy advice to the Government on all aspects of education.
- Implement Government policy, effectively, efficiently and equitably.

- Advise on best possible use of the resources allocated to education.
- Provide an education policy perspective to a range of economic and social policy issues.

Archives New Zealand GAIMS Agency documentation for the Ministry of Education is appended.

2.2 Residual Management Unit, Department of Education, Head Office

With the dis-establishment of the Department of Education, Education Boards and the establishment of the Ministry, provision was made through legislation for the set up of a Residual Management Unit. The Education Residual Management Unit was established on 1 October 1989. The role of this unit was to:

- Administer the Education Act 1964 and associated legislation/regulations.
- Wind up the affairs of the Department of Education and the Education Boards.

Archives New Zealand GAIMS Agency documentation for the Residual Management Unit is appended.

2.3 Residual Management Unit , Otago Education Board,

The Residual Management Unit, Otago Education Board (OEB) was established on the 1 October 1989 (see above). Its role was to wind up the affairs of the Otago Education Board (see outline of Education Board functions below).

Education Boards were established in Auckland 1857 - 1989, Hamilton 1953 - 1989, Hawke's Bay 1878 - 1989, Taranaki 1868 - 1989, Wanganui 1878 - 1989, Wellington 1872 - 1989, Nelson 1856 – 1989, Canterbury 1916 – 1989, Otago 1856 – 1989, Southland 1878 - 1989.

The Education Boards were set up to:

- Establish, maintain and control the state primary, intermediate, special, area and secondary schools, which had been placed under their control.
- Appoint teachers.
- Arrange school transport.
- Establish school districts.
- Supply books, furniture, equipment and materials.
- Establish school committees.

The Boards were responsible to the Department of Education for:

- Maintenance of building and equipment.
- School committee incidental expenses.
- Salaries for teachers and incidental staff.

- Develop plans for buildings, grounds and maintenance works, not only for themselves, but also for other educational institutions. Let and supervise such contracts.

No Archives New Zealand GAIMS Agency documentation was available for the Residual Management Unit, Otago Education Board, or the Otago Education Board, the two primary Education Board agencies whose records are being offered in this appraisal.

2.4 Department of Education, Head Office

The Department of Education was established 1877-1989. The head office was divided into five major areas of responsibility (Administration, Policy and Resources, Schools and Operations, Schools Development and Tertiary) each headed by an Assistant Secretary. Assistant Secretaries were responsible for supervision of their own directorates, and for overall co-ordination of the department's work. The three Regional Superintendents (Northern, Central and Southern) were responsible for all the department's activities in their regions.

The primary functions of the Department were to:

- Administer the Education Act 1964 and associated legislation/regulations under the control of the Minister of Education.
- Administer the Government's policy for the maintenance and development of education.
- Ensure that education standards are maintained throughout the country.
- Act as an agency for the distribution of Government funds.

Archives New Zealand GAIMS Agency documentation for the Department of Education is appended.

3 Introduction and Background Information

The Department of Education and the Education Boards were disestablished in 1989. The Ministry of Education (MoE) inherited responsibility for and custody of, several groups of records from the Residual Management Units, Education Boards and Department of Education.

From 1990 the Ministry has appraised various groups of these records including but not limited to Department of Education, Head Office Records (Accession W4262), Teacher Personal files (Accession W4790), and in June 2001 the destruction of Departmental staff personal files.

In early 2003 the Ministry decided to continue its ongoing initiative to appraise its predecessors non-current records that were now in its custody. The Ministry contracted the [contractors] to list to Archives NZ Standard the contents of approx. 5,000 boxes held at [company]. The decision to list to Archives New Zealand Standard was based on the belief that no content lists existed for these boxes.

It transpired that the majority of the boxes for appraisal contained low level financial material from the Residual Management Unit of the Otago Education Board, and the Residual Management Unit, Department of Education, Head Office.

The remaining boxes contain material from closed Schools, Maori Education Foundation, and non-financial material from the Residual Management Unit, Otago Education Board and the Residual Management Unit, Department of Education, Head Office. This non-financial material is part of the [contractors] listing project but not part of this appraisal report.

In order to deal with the volume of boxes in the most efficient manner this appraisal report covers only the financial records. A further appraisal report will be forwarded for the remainder of the boxes listed by the [contractors] once they have been fully appraised.

This project therefore has been split into several phases. This report encompasses the records offered to Archives New Zealand as phase 1.

- **Phase 1:** Appraisal of financial records.
- **Phase 2:** Appraisal of non-financial records (e.g. Residual Management Units, Staff personal files, Teacher personal files, Maori Education Foundation etc).
- **Phase 3:** Destruction and Transfer.

Before being implemented, Archives New Zealand must approve the appraisal recommendations through sign-off by the Chief Archivist.

3.1 Consultation

Archives New Zealand staff were consulted during this appraisal for technical advice which resulted in several telephone conversations and a meeting with [name removed]. A representative from Archives NZ also made an onsite visit to give advice on the listing process.

Hocken Library staff were also consulted for information regarding their holdings of Otago Education Board records which may have bearing on this appraisal. [name removed], Curator of Archives and Manuscripts advised that no agency documents existed for the Otago Education Board records held at Hocken Library.

Name	Organisation	Position
[name removed]	Archives New Zealand	Government Recordkeeping Group
[name removed]	Archives New Zealand	Arrangement and Description
[name removed]	Archives New Zealand	Appraisal
[name removed]	Hocken Library	Curator of Archives and Manuscripts

No Ministry of Education staff were specifically consulted during this appraisal about these records as they are low level financial records, mostly over 10 years old and are all recommended for destruction. However, finance team staff from the Ministry were consulted to assist with the definitions of what types of financial records should be included in each ‘series’

3.2 Previous appraisal decisions for this agency

The Ministry of Education and the Department of Education have had a significant number of appraisals completed since 1989. The GAIMS Agency and Series documentation for all of the relevant organisations were consulted and confirm that none of the previous appraisals have direct bearing on the records being offered for appraisal in this phase of the project. We therefore have not listed each previous appraisal.

Consultation with the Hocken Library has shown that they do hold some financial records of the Otago Education Board. The OEB financial records offered in this appraisal could be viewed as a continuation of those already held by Hocken. However, it is understood that the Hocken took in those original records without stringent appraisal, which if it had occurred would most likely result in the destruction of such low-level financial records. We therefore, do not believe this constitutes a relevant or legitimate precedent.

3.3 Scope of appraisal

This appraisal covers the financial records only of the Residual Management Unit, Otago Education Board, Residual Management Unit, Department of Education Head Office. This group of records are being appraised as Phase 1 of the 2003 appraisal project.

3.4 Methodology

3.4.1 The approach

The listing exercise of this appraisal project identified and physically separated out the boxes containing solely financial material so this could be easily appraised as one group (Phase 1). This equated to 1764 boxes. An earlier list created by the Department of Education provided summary information showing that most of the records were financial material.

Discussion with [name removed] of Archives NZ Government Record keeping Group clarified that, as all the records were of a similar nature and value, it was not necessary to list to item level, and that establishment of disposal classes covering the various types of records would be acceptable.

A selection of financial files approximately 30 boxes were physically examined to determine dates and confirm that the contents were routine financial material and matched the list provided. The selection included an example of each type/class of financial record offered for appraisal.

3.4.2 Appraisal criteria

The boxes offered for appraisal in phase 1 of this project encompass low level routine financial records only. Therefore, all records are being recommended for destruction, so only destruction criteria have been established.

The criteria for recommending the destruction of records are that the records:

- 1 Concern routine financial administrative matters only;
- 2 Comprise of material received for information only;
- 3 Are drafts and/or duplicates of other records;
- 4 Contain information summarised, more complete and/or more readily accessible in other records recommended for retention or elsewhere.

3.5 Points of interest in the development of the appraisal.

3.5.1 Listing

Initially the Ministry requested the [contractors] to list the contents of the boxes to Archives New Zealand's transfer standard level. This decision was based on MoE staff not being able to locate any content lists for these boxes.

Approximately three weeks into the listing process [name removed], Information Analyst, MoE took on oversight of the offsite storage project from [name removed], Information Analyst, MoE. [name removed] was able to locate paper lists for the following groups of records: Residual Management Unit, Otago Education Board, Residual Management Unit, [Head Office].

It has been assumed that the records from the Residual Management Unit [Head Office] in fact originated from the Department of Education Head Office. This assumption is based on the number of records in the boxes examined that implied they came from Head Office. However the chain of custody was not certain given the changes in the education sector during the time of the records moving from current to non-current status.

[name removed] approached Archives NZ, [name removed] in order to establish that a class appraisal was a viable option. [name removed] looked over the lists provided and felt that a class based appraisal was desirable as the boxes contained low level financial material. She approved in principle the concept of marking up the paper list with "A" & "D's".

As a consequence there are two lists. The first list is the material that has been re-listed by [contractors]. Part way through their listing project discussions with Archives New Zealand led to a change in the listing standard, so the first part of the list is more detailed to item level, and the second part of the list is less detailed as

agreed was appropriate with [name removed]. The second part of the list has included the record 'class'.

The second list, is a paper only list of the records as they were originally listed in the 1980s. This list was located part way through the listing project and with Archives New Zealand's agreement this second list has been marked up to reflect those records recommended for destruction only. All other records on that list should be ignored (they will have a red line through them) as they have been re-listed, and will be covered by the phase 2 appraisal report. Using this approach has saved MoE many hours of re-listing of records that were to be recommended for destruction.

3.5.2 Storage

All of the records offered for appraisal are stored out at [company]'s off-site facility in Grenada North. Given the quantity of boxes, [company] have provided space in their warehouse for the management of the boxes during the listing process. All boxes of records to be listed were removed from the shelves for this project. The Ministry did not wish to have the boxes returned to storage after they had been listed as this was seen as an unnecessary cost. However, [company] is only able to provide the space for the boxes until mid September. Therefore there is a very tight schedule in order to list, appraise, obtain Archives NZ authority and transfer or destroy the records.

In order to optimise the process a decision was made to write two appraisal reports. This report covers the financial records which will enable the prompt destruction of many of the records. The remaining boxes will be covered in the next report which is likely to contain a number of transfer recommendations.

3.6 References used

- Directory of Official Information 1987, 1989, 2001.
- End of an Era NZ Education Boards - 1989.
- The Department of Education 1877-1989 A Guide to Its Development by Susan Butterworth - 1993.
- End of an Era New Zealand Education Boards Edited by John Nimmo - 1989.
- Report of the Commission on Education in New Zealand, Chairman Sir George Currie - 1962.
- Administering for Excellence, Taskforce to Review Education Administration.
- Education in New Zealand, J C Dakin.
- Department of Education Administration Manual Part A - Administration General.

3.7 Legislation referred to

- Education Act 1914.
- Education Act 1964.

4 Records Description and Evaluation

The table below, expresses the various classes/types of financial records encountered during this appraisal.

4.1 Records Description

Most of the records offered in this appraisal were unregistered papers and files, which is fairly typical of many agencies financial operations. On the list therefore, many of the records have been assigned 'sub-series' covering like processes and functions that can then be expressed as a disposal class.

Please note: there is some overlap in the type of information found in both the registered and unregistered series, however, we have expressed each series as a separate class in order to accurately reflect an appropriate description of contents.

All records offered in this appraisal date from 1957 - 1988

Class	Description	Disposal Action
Administration and Accounts	The records in this class correspond with the Correspondence and Accounts Payable and Receivable classes covered below. However this class recognises the fact that these records formed part of an Official filing system and have therefore been retained in the sub-series descriptions.	Destroy
Accounts Payable and Receivable	This class includes all records created and managed through the accounts payable and receivable processes. It includes: <ul style="list-style-type: none"> ○ Invoices and Receipts (creditors and debtors) Credit Notes ○ Debit Notes ○ Bank Deposits ○ Remittance Advice ○ Cheques (copies of, cancelled, lost, unpresented, returned) ○ Grants and Allowances (hardship, student bonds, conveyance) ○ Claims (transport services) ○ Direct Credit Schedules ○ Payment Summary Worksheets ○ Rate Assessments ○ Store Stock and Stationary Records ○ Purchase orders 	Destroy

Asset Management	This class covers records created during the management of assets owned by schools. This includes asset registers and lists covering the disposal of assets.	Destroy
Audit	This class includes records created during the audit process such as: <ul style="list-style-type: none"> ○ Batch audit trails ○ Audit reports and ledgers 	Destroy
Bank Records	This class covers records surrounding contact with banks and the balances of bank accounts. This includes: <ul style="list-style-type: none"> ○ bank statements ○ reconciliation records ○ records of interest bearing deposits ○ stock positions and returns ○ term deposits 	Destroy
Correspondence	This class documents general financial transactions including: <ul style="list-style-type: none"> ○ fax transmissions ○ stocktaking and store reports ○ transportation ○ banking arrangements 	Destroy
Financial Statements and Annual Accounts	This class contains statements of end of year transactions, yearly accounts, profit and loss for various schools. Please note, this does not include the annual records for the parent agencies such as the Education Board or Department of Education Regional Office, rather, it contains school level accounts.	Destroy
Ledgers and Reports	These class contains printouts and summary financial transaction data and reports. It includes miscellaneous financial analysis reports and is a 'catch all class'.	Destroy

Payroll	This class includes records created during the processing of the payroll function. It includes: <ul style="list-style-type: none"> ○ Payslips ○ Printouts and reports from NZ Education Payroll ○ Personnel information forms ○ Severance and overtime records ○ Systems and code manuals 	Destroy
Tax Records	This class covers records created during the various tax processes such as Completed returns and tax deduction certificates for PAYE and fringe benefit tax.	Destroy

4.2 Class Evaluation

All of the records offered for appraisal are lower level financial records comprising of day to day financial transactions for the Otago Education Board, Department of Education, Department of Education RMU, Education Boards RMU. They have no long term value and are very transaction based.

The dates of the records are all outside of any retention period specified in any piece of financial legislation. Summary financial information for the agencies concerned may be found in their respective annual reports for each year.

It is therefore recommended that all of the records offered in this appraisal are approved for immediate destruction.

4.3 Quantity of records

There are approximately 588 linear metres of records (this includes records from both lists).

5 Disposal Actions

Only one disposal action is being recommended for the records offered for appraisal. That is, Destroy. This means that none of these records will be transferred to Archives New Zealand, but rather, they will be destroyed by the Ministry through a secure destruction process.

6 Quantities for Retention and Destruction

- Quantity recommended for transfer: 0 linear metres
- Quantity recommended for destruction 588 linear meters.

7 Appendices

1. Archives New Zealand agency documentation for Ministry for Education, National Office.
2. Archives New Zealand agency documentation for Department of Education, Head Office, Residual Management Unit
3. Archives New Zealand agency documentation for Department of Education, Head Office
4. List one: electronic list of boxes listed by [contractors] of records for transfer or destruction
5. List two: annotated paper list of records for transfer or destruction. The items crossed through in red pen are not part of this appraisal and will be dealt with in phase 2 of the project.