Appendix 2: RDS Implementation Guide

- Version 5-

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1   What is a Retention and Disposal Schedule?

A retention and disposal schedule identifies classes of records with similar retention and disposal requirements.

It enables retention decisions to be made quickly over a range of records, reducing the need for appraisal of each individual record series, and assisting in the efficient management of records once they have become non-current.

Retention periods and disposal decisions only become effective once the record is non-current.

2   What Records Are Covered by the Schedule?

This schedule applies to all records electronic and hardcopy created and held by the Ministry of Transport (MoT) once they are closed or are non current.

The schedule incorporates decisions from the Archives New Zealand General Disposal Authorities. These Authorities (known as GDAs) are issued by Archives New Zealand and apply to corporate records that are common to all government agencies.

3   Terms used in the schedule

3.1   What is meant by Disposal?

Disposal (or disposition) is a decision. It does not mean destruction - it is the final decision made by MoT and Archives New Zealand about the permanent preservation or otherwise of the record.

Retain as Archive: Transfer to Archives New Zealand custody at end of the retention period

Destroy: Do not transfer to Archives New Zealand. Able to destroy records in an approved manner at the end of the retention period (Note: there may be a business requirement to retain records for longer than the recommended retention period)

3.2   What is the Retention period?

Retention period is the period of time between the record becoming non-current and the action of the final disposal; archive, destroy etc.

Some records have legal requirements for retention. Some of those legal requirements may be specific to MoT; others are generic to government departments or all organisations.

Retention periods and disposal decisions only apply to *closed or non-current* files; therefore the schedule should only be applied to *closed or non-current* files.

3.3   When is a record closed or non current?

The **Total Retention** field in the schedule indicates when the record becomes closed or non current. Examples include a set number of years from the date of last action or once the file is no longer administratively required.

4   What is the Format of the Schedule?

The Schedule has the following fields

ID	Numeric reference. Purpose is to allow easy application to the organisation's file classification structure.
Record Class Description	High level class title
Examples of Records	Describes types of records covered by the class and specific sub-classes. In some cases will also document records excluded and refer to relevant class. *Note: examples given are not an exhaustive list of records*
Total Retention	The total period of time from when the record becomes non-current until the disposal action
Disposal Action	The disposal action for records in the class or sub-class.
Legislation	Describes any legislation that governs the retention period or disposal action

Corporate Records
Retention and disposal decisions for corporate records have been taken for the most part from the General Disposal Authorities (GDAs). The GDAs are issued by Archives New Zealand and are designed to cover general corporate records created and held by government agencies. There are four GDAs covering the following areas:

GDA/1   Human Resources and Personnel Records
GDA/2   Financial and Accounting Records
GDA/3   General Housekeeping Records
GDA/4   Administration and Corporate Services Records

The GDAs are included in their entirety in the MoT schedule.

4.1   About the MoT Specific Classes

The following table provides a brief overview of the Ministry specific records classes:

Class	Overview
MoT/1.0 – Policy, Legislation, Rules and Regulations	Records in this class are concerned with the Ministry's role in research for, and development and review of policy, legislation, rules and regulations under the Ministry's mandate; developing standards and frameworks related to the transport sector and contributions to transport sector related policy; reviewing and commenting upon legislation, rules and regulations developed by other agencies.
MoT/2.0 – Sector Leadership and Support	These records relate to the Ministry's role to provide leadership and support to the transport sector by developing strategies and work programmes to meet the goals of the New Zealand Transport Strategy, coordinating work programmes of transport sector agencies and Crown Entities. The records also relate to the advice and guidance that the Ministry provides to regions in regard to championing the development and/or establishment of

	Regional Land Transport Strategies and to the work the Ministry undertakes with Land Transport NZ, Transit NZ and regional councils related to RLTS. They are generally arranged by regional council although there are a number of broader more generic files based on Region as opposed to specific councils.
MoT/3.0 – Funding and Revenue Management	Records related to the Ministry's responsibilities of administering the National Land Transport Fund (NLTF) and collecting revenue through motor vehicle registrations and relicensing, road user charges and fuel and heavy vehicle taxes/duties.
MoT/4.0 – Airport and Air Services	These records relate to the high level operation and management of the Milford Sound/Piopiotahi airport, owned by the Ministry, and to joint venture, partly or formerly owned airports. Records in this class also relate to the development and management of Air Service Agreements, licensing and certifications with international air service providers operating between New Zealand and other countries. These include operators running both scheduled and non-scheduled (eg chartered) services into and out of New Zealand. The Ministry is the licensing authority for scheduled international air services performed by foreign international airlines serving New Zealand.
MoT/5.0 – Transport Sector Crown Entity Monitoring and Reporting	Records in this class relate to the Ministry's role of negotiating, monitoring and reporting on performance agreements and work programmes that work towards the goals of the New Zealand Transport Strategy with transport sector Crown Entities and other agencies set up by the Government. These records also relate to the Ministry's role in the management of the Crown Entities' Board appointment processes and ongoing support and assistance for the Boards.
MoT/6.0 – Transport Sector Research and Analysis	Records in this class relate to the research and analysis that the Ministry conducts to provide information and support for the transport sector and general public at large. The Ministry also provides various transport related data and statistics to Statistics New Zealand.
MoT/7.0 – Coastal Cargo Authorisations	These records related the Ministry's consideration of companies' requests to carry out regulated commercial activities.
MoT/8.0 - Medical Convener records	The convener and deputy convener are appointed by the Minister of Transport to review medical certification decisions made by the Director of Civil Aviation as allowed under Section 27J of the Civil Aviation Act 1990. The convener or deputy has two functions: • To review certain decisions in relation to a medical certificate and, • To advise the Director of Civil Aviation on applications for a medical certificate as a result

	of a joint referral by the applicant and the Director
	Records in this class relate to the administration and support services that the Ministry provide to the convener in the application and review process.
MoT/9.0 – Corporate Governance, strategy and policy records	These records related the Ministry's statutory and management reporting and planning activities and attendance at cabinet and/or select committees.

5 Steps for Implementing the Schedule

5.1 Coverage of the schedule

This schedule covers all formats i.e. hard copy and electronic/digital records.

5.2 Applying the schedule

The schedule can be applied retrospectively to existing files.

Applying the schedule to files as they are created from this point on will assist the Ministry to manage the disposal process as part its regular records management activities.

Each class has an identifier code which relates to the retention class and thus the retention period to be applied once a file becomes non-current. Codes can be applied to file covers to indicate retention requirements.

5.3 Identify the appropriate retention and disposal class

To determine which class applies to a file ask the following questions:
• What is the file title?
• What is the purpose of the records or file, what are they about?
• What processes or activities caused the record or file to be created?
• Who is using or will use the record?

In general corporate functions and activities are covered by the 4 GDAs and the Ministry's core functions and activities will be covered by the MoT section of the schedule.

5.4 Determine whether records are ready for destruction or transfer

If records are to be destroyed, are they eligible for destruction at this date? Note that the date should be taken from the last action on the file, or from when the file was officially closed and NOT from the date that the file was created or opened.

If the records are to be transferred to Archives New Zealand, check the schedule to see what period of time MoT must retain the records before transferring them to Archives New Zealand.

5.5 Obtain Internal Approval to Implement Disposal Decisions

Records marked for destruction should be offered for review by appropriate staff. If staff do wish to keep a record listed for destruction after the retention period is complete, then a new destruction date should be negotiated and the physical file cover and file list or database amended accordingly.

Should anyone wish to permanently keep a record that has been sentenced to destruction, the records staff will consult with other users and may revise the disposal from destroy to retain. Note that retain does not mean transfer to Archives but rather that the Ministry will retain the record. The records database/file list must be amended and if it is a physical file, the cover must be amended.

Approval from Archives New Zealand is required before the disposal can be changed from Destroy to Retain As Archive, as this implies future transfer to Archives New Zealand.

5.6   Destroy and/or Transfer Eligible Records

SEE sections 6 and 7 below for instructions for destruction and transfer.

6   Destruction of eligible records

6.1   Destruction lists and paperwork

Always keep a list or report of records that have been destroyed. Lists/reports of records to be destroyed do not need to be in any particular format. However, they must clearly show the following:

- Disposal class (ie Class ID)
- File reference (and part number if physical file)
- File Title
- Series and sub-series where appropriate
- Date first document
- Date last document
- Date closed (date file made inactive)
- RDS reference
- RDS number (Archives New Zealand reference)
- Date of destruction

A copy of the list/report should be kept by the Ministry. This becomes a vital record, because it is evidence of what records have been destroyed and when they were destroyed.

6.2   Methods of destruction

Records must be destroyed by either personal supervision or a contractual agreement with a specialist destruction organisation.

DO NOT destroy records by including them in office rubbish removal or simply placing them in paper recycling bins.

Archives New Zealand has issued advice on destroying records (see F/5: Fact Sheet: Disposal Process) and this should be referred to prior to destroying records.

7   Transferring Eligible Records

7.1   Method of transfer of Physical Files

Records for permanent retention that are transferred to Archives New Zealand must be packed in Archives New Zealand boxes, which are supplied free of charge.

Archives New Zealand also supplies instructions for making up, packing and labelling the boxes.

Once records have been packed and listed (see section 7.3 below), it is MoT's responsibility to transport the records **safely** to Archives New Zealand. Archives New Zealand has a planned transfer programme, and MoT should contact Archives New Zealand's Arrangement and Description Section in order to book the transfer into the programme.
Please refer to the Archives New Zealand publications, *Transfer Process Fact Sheet (http://www.archives.govt.nz/continuum/rkpublications.php)*

7.2 Method of transfer of electronic records

At the time of writing this guideline the method of transfer has yet to be determined, as Archives New Zealand is revising its transfer standards for electronic records.

7.3 Transfer documentation

Records for permanent retention that are being transferred to Archives New Zealand must be listed in a prescribed Archives New Zealand format.

Please refer to the Archives New Zealand publication, *Preparing Records for Transfer: A Guide to Listing and Boxing.*

Retain for your own records a copy of the transfer list and any correspondence with Archives New Zealand about the transfer.

7.4 Deferral of Transfer

Under the Public Records Act, Public records (identified in the RDS as having archival value) that are older than 25 years must be transferred to Archives New Zealand unless a transfer deferral request is made by the Ministry. Transfer deferral is usually requested when records that have been identified for transfer to Archives are still referenced by the Ministry and as such more appropriately retained with the Ministry.

Please refer to the Archives New Zealand website for further information on Deferral of Transfer.

Changes to the Filing System and the Schedule

As the records system at the Ministry evolves and changes, additions to the schedule are inevitable. New classes of series may be needed where no appropriate class exists in the current schedule or the nature of some records may change, which will affect their disposition.

The schedule once signed is legal authority for the destruction or transfer of records to Archives New Zealand, and it must be applied as agreed between the Ministry and Archives New Zealand. Any additions to or alterations of classes, changes to retention periods, disposal criteria and restrictions on access must be approved by the Chief Archivist.