

1. Standard Information

1.1. Agency Name

Maritime Safety Authority
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1.2. Contact Name

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Information Adviser
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1.3. Retention and Disposal Schedule Created by:

Dr [Name Removed]

Principal Consultant
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2. Introduction and Background Information

In 1997, a retention and disposal schedule was created for the Head Office records of the Maritime Safety Authority, following the development of a new file classification system. The Authority now considers it appropriate to develop a retention and disposal schedule for the records of its District Offices. A file classification system for the districts was developed and implemented in 1997.

Before the retention and disposal schedule can be implemented, National Archives must approve the schedule by being part of the review process **and** by official sign-off by the Chief Archivist. A review period is anticipated.

2.1. 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.

To ensure best usage of a restricted resource, a retention and disposal schedule must ensure records are promptly destroyed or transferred to National Archives at the appropriate time.

However the nature of retention and disposal schedules is that records not yet created can be covered by predetermined classes.

This means that the usual series examination of the appraisal report is replaced *by*:

- description of the classes
- the file classification system

These are both discussed in this report and attached as appendices. **2.2.**

Maritime Safety Authority Consultation

Maritime Safety Authority staff consulted during the creation of the Retention and Disposal Schedule:

[Name Removed]

, Divisional Manager, Maritime Operations [Name Removed]

[name removed]

, Manager Port and Flag State Control, [Name
Removed]
, Maritime Safety Inspector, Wellington,

[Name Removed]
, Maritime Safety Inspector, Napier,

[Name Removed]

, Maritime Safety Inspector, Lyttleton, [Name
Removed]

, Maritime Safety Inspector, Invercargill, [Name
Removed]

, Maritime Safety Inspector, Auckland [Name
Removed]

, Maritime Safety Inspector, Auckland, [Name
Removed]

, Maritime Safety Inspector, Auckland, [Name
Removed]

, Maritime Safety Inspector, Timaru, [Name
Removed]

, Maritime Safety Inspector, New Plymouth,
[Name Removed]
, Maritime Safety Inspector, Dunedin,

[Name Removed]

, Maritime Safety Inspector, Whangarei, [Name
Removed]

, Maritime Safety Inspector, Tauranga, [Name
Removed]

, Maritime Safety Inspector, Tauranga, [Name
Removed]

, Maritime Safety Inspector, Nelson. [Name
Removed]
, Information Adviser

2.3. Previous appraisal decisions and schedules for this agency

There have been no appraisals for the Maritime Safety Authority District Offices. The Authority only came into existence in 1993.

2.4. Scope of Schedule

This schedule covers the current file classification system of the District Offices. This schedule has been developed specifically for paper records and does not include electronic database records. Separate agreements for the disposition of electronic records must be negotiated with National Archives.

The schedule does not cover the previous paper filing system(s) used by the District Offices.

2.5. Series

Series covered by this schedule are:

Administrative Series

Finance

Port State Control

Operational Series

Accidents and investigations

Breaches of acts and prosecutions

Burials at Sea

Corporate information

Coastal and inland waters

External relationships

Flag state control
IMO
Legislation
Maritime products
MSA organisation and structure
NZ Marine oil spill response system
Navigation aids
NZ marine oil spills strategy
Public relations Port state
control Rules
Salvage and wrecks
Seafarers Seafarer
licensing Search and
Rescue Ship safety
Small boats
Submarine Cables and Pipelines Protection

2.6. Methodology

The approach employed by [name removed] consultant, Dr [Name Removed]

, is a classbased retention and disposal schedule.

A class-based schedule is not tied to a specific file classification system with specific series and file titles.

The reasons we chose to develop a class-based schedule were:

- The schedule should be in the same format as the schedule developed in 1997 for Head office records, and resemble that schedule closely.
- The schedule should be able to be applied to other than files and series; ie to individual documents.
- The schedule can still apply even if the file classification system has changed.

The retention and disposal schedule created for Head Office records was considered in developing the schedule for District Offices, as many District files may mirror Head Office files, and information flows from District Offices to Head Office; thus much of what is on District Office files may be duplicated at Head Office level.

Classes were initially defined independently of series or formats.

Several classes specific to the Maritime Safety Authority are based on subject, especially in the operational records.

Once draft classes were defined, Maritime Safety Authority staff were interviewed and legislation and regulations were searched to determine retention periods.

Series were then linked to classes in an effort make the schedule easy for Maritime Safety Authority staff to use. Otherwise the classes could have appeared too broad and vague.

2.7. Points of interest in the development of the schedule

- The District Offices are relatively small offices with clearly defined functions and little administrative autonomy. Maritime Safety Inspectors are assumed to be out in the field most of the time, so most administrative work, such as financial processing, is done by Head Office. Much of the information created or received by the Maritime Safety Inspectors in the course of their operational work also must be processed through Head Office. The Maritime Safety Inspectors are effectively a contact point in the regions for MSA. Thus there is very little information held in District Office files that is both of permanent value and not duplicated at Head Office.
- Some time after the implementation of the filing system the District Offices decided that they wanted their filing system as much as possible to duplicate the numbering of the Head Office system. Thus, when they received a document from HO, the file number on it should reflect the file number that they would give the document. Because many of the Head Office files to do with administration of the District Offices are under the series Port State Control (the Manager of Flag and Port State Control has responsibility for the Districts), the Districts decided that their administrative files should also come under this heading.
- There are some items in the schedule which are noted for destruction as soon as they are superseded. These items are mainly instructions, copies of agreements and quality manual updates. The immediate destruction of superseded material such as this is required by MSA's quality procedures and mandated in the agency's quality manual.
- When the filing system was implemented approximately a year ago, some District Offices decided that they would file onto the new files information from their old filing system. Thus information in the new files may date back to 1993. However, some Maritime Safety Inspectors have their new files but have yet to file any papers onto them, citing lack of time. This is a concern in terms of implementing the retention and disposal schedule, and will be addressed in MSA's quality procedures.
- Because most of the District Offices are small (often consisting of only one Maritime Safety Inspector) and are situated in cities or towns where the large reputable off-site storage companies do not operate, retention periods

in the schedule have not been divided into on-site and off-site periods. The quantity of records in most District Offices is such that retaining non-current records on-site does not present a storage problem.

2.8. References used

Introducing the Maritime Safety Authority
Maritime Safety Authority
Maritime Safety Authority Customer Service Charter
Maritime Transport Act 1994: Your Guide to the Legislation

Legislation

Includes:

Archives Act 1957
Tax Administration Act 1994
Limitation Act 1950 State
Sector Act 1988
Public Finance Act 1977, 1985 and amendments
Privacy Act 1993
Maritime Transport Act 1994
Harbours Act 1950
Submarine Cables and Pipelines Protection Act 1966

3. Description of Classes

Administrative Reporting: Concerns reporting on internal processes

3.1. Classes and series

The classes are as follows:

Administrative Planning:

Any class with administrative in the title indicates that the information in the class is concerned with the Maritime Safety Authority internal administrative process and functions (that is, its management of itself, such as Human Resources). Thus administrative planning concerns information about planning for the organisation of the Maritime Safety Authority, not planning for the 'operational' work that is done by the Authority

Administrative Routine:	Concerns routine information to do with administrative functions
Applications:	<p>Describes specific records which are records of applications under a particular act, regulation or rule. Much of the MSA's regulatory role has to do with approving applications and issuing maritime documents for the suitability and safety of vessels and of persons operating as ships surveyors or as seafarers. Some of these documents are issued for one voyage only; some are issued for a particular time period, after which they must be renewed. Applications under the Resource Management Act are also included in this class. In the Head office schedule they were included in a subjectbased class entitled Coastal Planning. Since the primary function of the Maritime Safety Inspectors in regard to this information is to send applications to Head Office for processing and to retain a record sufficient only for answering later enquiries, it was considered more appropriate to include the applications in this class.</p>
Appointments	<p>Under the Harbours Act, which is at present under review, MSA has oversight over the appointment of harbour officers, and appoints honorary officers in harbours, mainly launch wardens. Appointments are processed through Head Office, but Districts receive information about appointments, and answer general enquiries.</p>
Case files	<p>Concerns specific records that are individual case files - either concerning individual seafarers or maritime accidents and incidents. District Offices report on and investigate accidents and incidents, but the substantive records are held in Head Office.</p>
Committees - administered/initiated by MSA District Offices:	<p>Committees, working parties etc for which the Maritime Safety Authority District Office provides the administrative and/or secretarial function.</p>

Committees - not administered/initiated by MSA	Committees, working parties etc for which another agency provides administrative and secretarial functions. This class includes those committees etc upon which the Maritime Safety Inspector may be the only representative of a government agency.
Complaints:	Complaints about the MSA's performance of its functions, or about the activities or safety of vessels.
Contracts:	Contract documents, letters of agreement, revisions and amendments to contract and any related correspondence. This class includes leases and employment records
Detentions	A subject-based class covering the records MSA maintains of its detention of both NZ and foreign ships. Ships may be detained if they do not comply with safety standards.
Inspections	A subject-based class concerning the records of MSA's regulatory role in inspecting vessels for compliance with safety standards.
Legislation, Regulation and Rules	A major part of MSA's function is developing the rules that document the maritime safety standards it promotes and monitors. These rules form the main body of maritime safety practices. MSA also participates in developing legislation in the area of its function.
Memoranda of Understanding	This class covers agreements that do not have the legal status of contracts, and therefore cannot be described as contracts, but which are nevertheless important to MSA. The Maritime Safety Authority has memoranda of understanding with both NZ-based Classification Societies and also with other countries in regard to port state controls.
Operational:	Concerns information created by the Authority in the course of carrying out its functions. That is, information that is not to do with internal administrative matters but with the functions performed by the Authority, such as developing oil spill strategy, developing and monitoring safety codes, administering legislation and rules.

Reference:	Concerns information received for reference purposes either from within the Authority or from external agencies
Reports and Returns	A subject-based class concerning the reports and returns made by district Maritime Safety Inspectors to Head Office, within Head Office, and by MSA to external organisations.
Requests for Information:	Concerns requests for information from individuals and organisations, including ministerials, OIA Act requests, Privacy Act requests and general requests for information.
Reviews	Concerns reviews and audits of MSA functions, activities and offices, and any subsequent records of corrective or other action on the review. Relates mainly to quality audits, either internally or externally produced.

Under each of these classes the following series can appear:

All Series
Finance
Corporate information
MSA organisation and structure
Accidents and investigations
Breaches of acts and prosecutions
Burials at sea
Coastal and inland waters
External relationships Flag
state control IMO
Legislation
Maritime products
NZ marine oil spills strategy
Port state control Rules
Salvage and wrecks
Seafarers
Search and Rescue
Ship safety Small
boats
Submarine cables and pipelines protection

The details of each class, the series related to it, the description of the records and information are appended.

3.2. Records Not Included In The Classes

An 'Appraise' "class" has been included to indicate records that must be appraised before destruction or transfer.

Retention and disposal schedules are most suited to records with a predictable informational content. Although the new filing system has been in use for almost a year, the rate of accumulation in districts is slow, and some records have very few papers on them. This is compounded by the fact that in some districts, although they have the files made up, MST's have not yet added any papers to the files. Although the operational file titles may suggest the eventual disposal of the record, we decided that where the future contents were uncertain, it was safest to recommend an appraisal.

This is particularly so in the case of the District Offices' External Relationships series. Some of these records may contain significant information about the MSA's relationships with other organisations. They may also contain information more substantively available from other agencies, or information of only short term value. They are the most likely of any of the District series to contain information that is not duplicated at Head Office.

District Offices may also hold the records of committees on which they are the only Government representative. Recently, meetings of launch wardens have been instituted, and these are the records most likely to fall into this category. There may also be other local meetings attended by MST's. It is not possible to predict the content of these records or their historical or evidential value.

4. Disposal Criteria

The disposal criteria were drafted on those from
Dr [Name Removed]

appraisal of Maritime Safety Authority records in 1997.

The disposal criteria are:

- Legal
- Administrative
- Performance of function
- Policy development
- Financial
- Significant Events/Government Initiatives
- Interaction/Influence Royal Commissions of Enquiry Research
- Historical Events
- Notable persons
- Add to existing archives

Routine Administration
FYI Material
Drafts/Duplicates
Publications Summarised
elsewhere Routine
operations

(See Appendix 3 for fuller descriptions)

5. Disposal Actions

The schedule has one disposal action. It is:

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

6. Authorities

6.1. Maritime Safety Authority authorities

A Retention and Disposal Schedule has slightly different requirements from an appraisal in terms of authorisation, approval and sign-off from the Maritime Safety Authority.

Because more of the schedule relates to records management, National Archives is specifically approving the disposal of records, whereas the retention periods and the on-site and off-site storage periods indicated are of primary interest to the Authority.

The MSA authority for the decisions in the District Office retention and disposal schedule is the Manager of Flag and Port State Control.

After formal acceptance by the Maritime Safety Authority, National Archives will formally approve the schedule with sign-off by the Chief Archivist.

As the records system at the Authority evolves, changes and additions to the schedule are inevitable. Any such changes or additions must be signed-off by the Chief Archivist.

Transfers of public records to National Archives under a schedule which has not been approved by the Chief Archivist will not be accepted.

Destruction of public records under a schedule which has not been approved by the Chief Archivist or which is not included in an approved schedule is illegal and contravenes the Archives Act 1957.

7. Restrictions

There are no restrictions specifically decided for District Office records, because most of the records will be destroyed. Records requiring appraisal will have restrictions, if any, decided upon at the time of appraisal.

8. File Classification System

A new file classification system is was implemented in the Maritime Safety Authority District offices in September - October 1997. It was developed by [Name Removed]

and [Name Removed]

of [name removed] and [Name Removed]

of [name removed].

8.1. Structure of the File Classification System

During the creation of the new system, the consultants endeavoured to separate out policy information from routine operational information. The File Classification System is functionally based and was created using the administrative/operational split as a starting point. However, as noted in section above, many of the District administrative records are now filed within an operational series.

The File Classification System design is appended in Appendix 4.

8.2. File Lists

The Maritime Safety Authority currently has a file list in Excel spreadsheet format

Scope notes (ie, what should go on a file) are considered essential for the success of the Retention and Disposal Schedule. The file creation process must clearly define the information, records, documents etc which belong in a particular file or record.

Currently, the file classification system has some scope notes appended during both the design process and the implementation process.

9. Review

We recommend reviewing the Retention and Disposal Schedule at the following point:

9.1. One Year - November 1999

There should be sufficient information accumulated in the District office files after 24 months of operation for filing practices and file management to be reviewed in conjunction with the schedule. Filing practices should include ensuring that records destined for destruction are not being put on the same files as those destined for transfer to National Archives.

Any decisions to alter the disposal status of records described in the schedule must be discussed with National Archives and approved by the Chief Archivist.

10. Quantities for retention and destruction

Because this is a relatively new filing system, which is not yet being fully used by all the Maritime Safety Inspectors, it is difficult to predict exactly quantities for destruction or transfer. Quantities of either are not likely to be large.

Files, except those for the inspections of vessels, fill slowly. For example, it seems likely that the Burials at Sea application files will not be closed after 10 years. Most of the District Offices have approximately 0.1 - 0.5 linear metre of files in the new system, after approximately a year of accumulation.

10.1. Destruction

The first destruction of administrative planning material will be as early as 2000; however it will comprise a small quantity of records - approximately 0.2 linear metre nationwide. Thereafter destructions of approximately this quantity will continue until 2004 when fishing vessel inspection records and accident investigation reports will be destroyed. This will increase the quantity to 0.5 - 0.7 linear metre nationwide annually, depending upon the number and type of accident investigations that have been performed.

10.2. Transfer to National Archives

Under this schedule no records will be transferred to National Archives.

11. Implementation of the retention and disposal schedule

Implementation guidelines are attached to this report as Appendix 5.

11.1 Management of the retention and disposal schedule

MSA Head Office will manage the implementation of the schedule. At present, the Information Adviser maintains the District filing list, makes up new files as requested and sends them to the Maritime Safety Inspectors. The Districts are

responsible for filing papers onto the files and notifying the Information Adviser of first and last dates of files.

The Information Adviser will monitor the file list, create lists of records due for destruction and send them to the Districts for approval. Once approval for destruction has been received, a final list of files for destruction will be sent to the Districts through the Manager of Flag and Port State Control, together with an instruction to Maritime Safety Inspectors to proceed with destruction. The Maritime Safety Inspectors will be required by their quality procedures to forward to Head Office notification that the records have been destroyed. The same process by the Information Adviser will apply to records scheduled for appraisal. Head Office will arrange appraisal and any subsequent destruction or transfer; the Maritime Safety Inspectors will carry out the destruction or transfer once instructed by Head Office.

12. Agency Information

These records were created by the Maritime Safety Authority District Offices.

12.1. Functions and Outputs

The Maritime Safety Authority:

Develops and monitors maritime safety and environmental protection standards;
Ensures the provision of safety support services;
Investigates and analyses the causes of shipping accidents;
Prevents and responds to marine pollution incidents in New Zealand waters;
Registers ships;
Licenses seafarers.

District Offices of the Maritime Safety Authority are established in the following ports:

Whangarei
Auckland
Tauranga
Napier
New Plymouth
Wellington
Nelson
Lyttleton
Timaru Dunedin
Invercargill

District Offices are usually staffed by one Maritime Safety Inspector (only Auckland, with three, and Tauranga and Nelson with two, have more than one

officer). They are administered by the Maritime Operations Division of Head Office, and managed by the Manager of Flag and Port State Control.

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

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

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

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

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