

1. Standard Information

1.1. Agency Name

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1.3. Retention and Disposal Schedule Created by:

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2. Introduction and Background Information

The Maritime Safety Authority had a retention and disposal schedule created in 1997 for Head Office records in 1997. It now considers it appropriate to enhance its quality processes to have a retention and disposal schedule developed for the National Oil Spill Service Centre (NOSSC).

NOSSC is based in Auckland, and is a division of the Marine Environment Protection Division (MEPD) of the Maritime Safety Authority. (See section 12 for further detail).

Before being 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], National Operations Manager, NOSSC;
[Name Removed], National Pollution response Trainer, NOSSC;
[Name Removed], Oil Spill Equipment Technician; NOSSC [Name
Removed], Oil Spill Equipment Technician; NOSSC [Name
Removed], Administrator, NOSSC;
[Name Removed], Strategic Planner, Marine Environment Protection Division

2.3. Previous appraisal decisions and schedules for this agency

There have been no appraisal decisions for the Maritime Safety Authority prior to the [name removed] appraisal in May 1997, as the Authority only came into existence in 1993.

2.4. Scope of Schedule

This schedule has been developed specifically for paper records and does not include electronic records. Separate agreements for the disposition of electronic records must be negotiated with National Archives.

2.5. Series

Series covered by this schedule are:

Administration
Corporate information
Committees External
relationships Finance
NZ marine oil spills strategy
Pollution control equipment
Training

2.6. Methodology

The approach employed by [name removed] consultant, Dr [Name Removed], is a classbased retention and disposal schedule.

A series-based retention and disposal schedule applies to and is developed from existing records. The schedule developer can therefore actually sight the records to which the schedule will be applied. It will also generally follow series as defined in the file classification system.

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:

- Consistency with other schedules prepared for the Maritime Safety Authority.
- NOSSC has a relatively new filing system and records have only been accumulated over the last year.
- 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.

Classes were initially defined independently of series or formats.

Once draft classes were defined, NOSSC and MEPD 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 NOSSC filing system is separate from Head Office's and the Districts' filing systems. The NOSSC filing system does not mirror the Head Office system in the manner of the District filing system. However, some administrative and planning records naturally duplicate what is held in Head Office. NOSSC is a small, focussed operation, and the filing system is correspondingly small.

The retention and disposal does not have separate retention periods for on-site and off-site storage. The quantity of records is small and NOSSC's storage capacity is such that off-site storage of non-current records is unlikely.

2.7.1. Duplication of records between NOSSC and Head Office

NOSSC has a specific function within the MSA, which is to purchase, loan to agencies, and service oil spill clearing equipment, and to provide training in oil spill response procedures. Records concerning these activities are unique to NOSSC, although MEPD also holds records of training exercises, and holds records concerning the approval of the purchase of equipment. The function of strategic planning for oil spill response and related activities is based in MEPD,

but there is considerable consultation with the National Operations Manager of NOSSC, who also has the position of National On-scene Commander (NOSC), which is in part also a planning role.

The role and functions of NOSSC are still being developed, particularly in the area of coordinating exercises and oil spill response. The Head Office schedule presently sentences MEPD's records of oil spill exercises for retention. This schedule for NOSSC will also sentence NOSSC's records of exercises for retention. Although there will be some overlap of information, there are differences in the information held in the respective records. For example, presently, in-house exercises may be planned in Head Office by MEPD staff and carried out by both NOSSC and other MSA staff. MEPD records will hold the planning information and the actual exercise information; NOSSC records will hold the exercise information and other information about NOSSC's specific role and performance. Equally, exercises may be planned at NOSSC, and thus the NOSSC records will hold the information about the planning process.

An exercise coordinator has just been appointed to NOSSC. It is expected that the planning role will shift to NOSSC, and the Head Office records of exercises will gradually come simply to duplicate the material in NOSSC files. I recommend that MEPD records of exercises be reviewed after a year to ascertain if the disposal sentence for these records should be changed to Destroy. In the meantime, it seems useful to transfer both sets of records, as they provide different perspectives and also may document the shift in responsibilities.

There is also an issue of possible duplication with the records of oil spill incidents, particularly larger incidents such as the recent [Name Removed] grounding. This is the first major incident since the Maritime Safety Authority was established, and all NOSSC staff and some Head Office and District staff were involved. Records have been created both at NOSSC and at Head Office. Processes for ensuring that there is one primary record of major incidents have yet to be fully worked out and established. Both Head Office and NOSSC will create records of such incidents, which may be extensive and comprise many formats (eg. videos, media transcripts, still photographs, as well as conventional paper records).

Although the general Head Office view is that the Head Office record will be the primary record and NOSSC records should simply duplicate what is in Head Office, NOSSC staff are somewhat dubious about destroying their records of major incidents, in the absence so far of an established process. It is clear that the intention is to have a complete record in Head Office, and the Head Office schedule reflects this by scheduling the Head Office records of incidents for transfer to National Archives. Once the work on the incident itself has been complete, attention will be turned to developing procedures to ensure that there is one primary record of an incident.

In the meantime, I have recommended in the schedule that NOSSC records of incidents are retained at NOSSC. At the same time that MEPD's exercise files

are reviewed, the process for managing the records of incidents should also be examined to ensure that there is one primary set of records. At this point the NOSSC schedule could be altered to provide a disposition of destruction for the NOSSC incident records, provided that the primary set is being held in Head Office.

2.7.2. Long-term storage of 'semi-current' files

Records documenting the loan of oil spill equipment to local authorities and other organisations are effectively current until the loan expires or the equipment is decommissioned, although the records may have very few papers added to them. Loan agreements are for an indefinite term, and are not likely to be terminated unless the organisation concerned is disestablished. Thus the records must be kept by NOSSC for a considerable period of time. The same applies to the control information about the equipment - manuals, specifications, maintenance schedules - which must be retained until the equipment is decommissioned. However, this is largely a concern for NOSSC storage as the records are sentenced for destruction once they do become noncurrent.

2.7.3. Transfer to National Archives of training manual updates

The training manuals prepared for the various oil spill training courses are considered in the schedule to be of lasting value. Manuals are to be transferred to National Archives 2 years after being superseded. However, the manuals more often will be updated by having part or all of some chapters amended than they will be completely superseded. Thus the schedule also makes provision for copies of significant updates to be transferred to National Archives in the normal way that updates would be sent out to people holding the manual. The term significant indicates that a whole chapter or more has been altered.

2.7.4. Transfer of records of lasting value to National Archives Head Office

Although NOSSC is in Auckland and therefore its archival records would be expected to go to National Archives Auckland Regional Office, both NOSSC staff and Maritime Safety Authority Head Office staff consider it more appropriate for the NOSSC records to be transferred to National Archives Head Office in Wellington. NOSSC is part of the Marine Environment protection Division which is based in Wellington, and MSA considers it more useful if all the archival records relating to the Maritime Safety Authority are held together. NOSSC staff do not consider that there will be many retrievals of archived material and so the fact that the records are held at some distance from NOSSC should not become a problem for the Government Loans service.

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
Marine Pollution Act 1974

3. Description of Classes

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 Policy:	Concerns policy and the development of policy about internal administrative processes
Administrative Routine:	Concerns routine information to do with administrative functions

Committees - administered/initiated by MSA:	Committees, working parties etc for which the Maritime Safety Authority provides the administrative and secretarial function
Committees - administered/initiated by NOSSC:	Committees, working parties etc for which NOSSC provides the administrative and secretarial function
Committees - not administered/initiated by MSA:	Committees, working parties etc for which another agency provides administrative and secretarial functions.
Contracts:	Contract documents, letters of agreement, revisions and amendments to contract and any related correspondence. This class includes leases and employment records
	Concerns information created by NOSSC in the course of carrying out its specific functions. That is, information that is not to do with internal administrative matters but with the functions performed by NOSSC, such as provision of oil spill response equipment and training
Operational:	Concerns information created by NOSSC in the course of carrying out its specific functions, that is routine in nature. Includes the routine financial information created or received in the process of purchasing oil pollution control equipment, and the routine information gathered and created in the administration of training.
Operational Routine	Concerns information about the development and final versions of policy for NOSSC operations. Includes policy on loan agreements, distribution of equipment and training exercises.
Reference:	Concerns information received for reference purposes either from within the Authority or from external agencies
	A subject-based class concerning the reports and returns made by NOSSC to Head Office
Reports and Returns	Concerns requests for information from individuals and organisations, including ministerials, OIA Act requests, Privacy Act requests and general requests for information.
Requests for Information:	

(See Appendix 3 for fuller descriptions)

5. Disposal Actions

The schedule has three disposal actions. They are:

Archive - transfer to National Archives. Under this disposal the records are legally transferred to National Archives and stored in National Archives facilities. Records which become archives are no longer the property of the Maritime Safety Authority. They can be borrowed back by the Authority but cannot be reactivated (ie have papers added).

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

Retain -do not transfer to National Archives and retain in NOSSC. Agencies are not required to destroy records (except as indicated under the Privacy Act 1993). Some classes of records are not wanted by National Archives for permanent preservation, but may be considered by the agency to be worth long-term retention.

For NOSSC, some records in this category fall somewhere between records or reference material, as in the case of the Oil Material Safety Data Sheets. These sheets are produced by the oil industry for the information of those working with oil and oil products. NOSSC keeps them on file, and they may be accompanied by correspondence. In the event of an oil spill they may be used to determine the hazards of a particular substance. Thus they need to be retained by the agency, and as they are part of the filing system, they must appear in the retention and disposal schedule.

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 indicated are of primary interest to the Authority.

The MSA authority for this schedule is [Name Removed], Manager, Marine Environment Protection Division.

After National Archives has given preliminary approval to the Retention and Disposal Schedule, the NOSSC and MSA staff consulted during the creation of this schedule will have a more in-depth look at the retention periods.

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

[have been removed]

8. File Classification System

A new file classification system was implemented in NOSSC in 1997. It was developed by [Name Removed] of [name removed].

8.1. Structure of the File Classification System

The File Classification System is functionally based and was created using the administrative/operational split as a starting point. Because NOSSC is a small office with focussed activities, the file classification system is not large or complex.

The File Classification System design is appended in Appendix 4.

8.2. File Lists

NOSSC 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 as the result of discussions during the design process and the implementation.

9. Review

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

9.1. One Year - March 2000

After 12 months of functioning the filing practices and file management should 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.

At this point, any alterations to the schedule indicated in section 2.7.1 above, can be made.

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 a relatively new filing system, and some files have yet to have papers added to them, quantities are approximate only. The total quantity of records now held by NOSSC is 7.5 linear meters, with the majority of the records being the pollution control equipment information.

10.1. Destruction

The first destruction of routine administrative material - finance records - could be as soon as this schedule is approved, as some finance records are held for the 1994/95 financial year. This will comprise a small quantity of records - approximately 0.1 linear metre. This level of destruction, or possibly up to 0.2 linear metre, will continue each year from 1999. The first larger destruction will

be in 2003, when equipment distribution and maintenance records, committee records, and newsclippings are destroyed. This destruction may be as large as 0.6 linear metre. The first destruction that is likely to exceed 1 linear metre will be in 2008, when tender information. The destruction in that year may be up to 1.5 linear metres.

Thus, from 2003, the figure for yearly destructions is likely to be 0.6 linear metre per year. From 2008, depending upon how NOSSC manages its tendering process (tendering may not occur each year), the figure may be 1.5 linear metres per year.

10.2. Transfer to National Archives

[have been removed]

11. Implementation of the retention and disposal schedule

NOSSC records are managed by the NOSSC Administrator. The retention and disposal schedule will also be managed by the Administrator.

Implementation guidelines are attached to this report as Appendix 5.

12. Agency Information

The records covered in this schedule were created by the National Oil Spill Service Centre of the Maritime Safety Authority.

12.1. Functions and Outputs

The National Oil Spill Service Centre of the Maritime Safety Authority:

- Provides training in oil spill response;
- Acquires and provides oil spill equipment on loan to other organisations;
- Inspects and services oil spill equipment;
- Assists in oil spill response and clean-up exercises;
- Assists in oil spill response and clean-up incidents.

The National Oil Spill Service Centre is based in Te Atatu, Auckland. It has 6 staff -the National Operations Manager, the National Pollution Response

Trainer, the Exercise Coordinator, two Oil Spill Equipment Service Technicians, and the Administrator. Although it is physically separate from the Head Office of the Maritime Safety Authority, it is effectively administratively part of the Marine Environment Protection Division.

Under the Maritime Transport Act 1994 Part XXIII, the Maritime Safety Authority has responsibility for managing the Oil Pollution Levy and Fund and for using that fund to purchase equipment for the clean-up of oil spills. The equipment may be distributed under loan arrangement to registered authorities and the Authority has responsibility to inspect and service such equipment on a regular basis. NOSSC also holds its own oil spill equipment which may be deployed if an incident occurs.

The Director of the Maritime Safety Authority is responsible for providing oil spill training and for coordinating oil spill responses in NZ. The National Operations Manager of NOSSC is also the National On-scene Commander (NOSC), a role specified in the Act. The NOSC works with Head Office MEPD staff to design and implement the NZ Marine Oil Spill Strategy and Contingency plans.