

General Disposal Authority

GENERAL HOUSEKEEPING RECORDS

ARCHIVES NEW ZEALAND
TE RUA MAHARA O TE KĀWANATANGA
November 2005





CONTINUUM

create & maintain
tōhuhu te hāpapa me te tūaki

Disposal Authority Number:	DA 102/ GDA 3
Agency Coverage:	All public offices
Expiry Date:	December 2015
Scope:	General Housekeeping Records
Authorised by:	The Chief Archivist, Archives New Zealand

➤ GENERAL DISPOSAL AUTHORITY: GENERAL HOUSEKEEPING RECORDS

The General Housekeeping General Disposal Authority (hereafter GDA) has been developed for the use of public offices wishing to dispose of records legally. Information about using the GDA is contained in the *General Disposal Authorities Implementation Guide*, which should be consulted before the GDA is implemented. The Guide outlines the processes for public offices to follow when implementing the disposal recommendations in the GDA, and gives advice on other recordkeeping issues such as access and transfer of records.

This GDA covers types of records usually disposed of on a daily basis by most staff members and is intended to facilitate organised disposal in agencies. Any other records not included should be covered in your own agency-wide disposal authority.

This GDA does not cover records that relate to a public office's primary duties and responsibilities. For some examples, see section 8 of the Implementation Guide. Before applying this GDA, public offices will need to ascertain which of their records reflecting primary duties or responsibilities fall outside its scope. If you have any queries about this, please contact the Appraisal Section at appraisal@archives.govt.nz.

Please note that if a public office has an agency-specific continuing disposal authority relating to the same records covered by this GDA, then the existing disposal authority should be considered the legal authority. If the public office has no agency-specific disposal authorities relating to such records, then this GDA should be considered the legal authority. If the public office signed up to this GDA under the former Archives Act, then this GDA remains the legal authority. For further information or advice, please contact the Appraisal Section.

This GDA should not be directly applied by general staff. Most agencies will have their own internal rules and practices which can incorporate the provisions of the GDA and be used to create simple staff guides on correct recordkeeping practices. We recommend that familiarisation with such instructions and other

internal rules and practices be a standard part of induction for new staff, and a part of standard training procedures for general staff.

All public offices should produce internal policies and procedures to clarify what is meant by particular GDA terms in their own organisation. For example, "drafts with substantial annotation" may need to be further defined in your business context. Specific retention periods should also be determined for these records.

Please note that:

- Under the Public Records Act 2005 a public record is, briefly, a record created or received by a public office in the conduct of its affairs, while a record is information that is compiled, recorded or stored in any format.
- Agency procedures should clearly define what is meant in each category e.g. what constitutes the corporate recordkeeping system, or what constitutes 'personal' records for that specific agency.
- Agencies should only deploy this GDA where they have clear procedures and staff are aware of correct protocols.
- If you think that a record marked for destruction ought to be preserved permanently, **DO NOT DESTROY IT**. Contact the Appraisal Section of Archives New Zealand to arrange for the records to be assessed.
- The onus is on each agency to establish their specific legal obligations for record retention relating to their particular functions.

Caveats on destruction

- This authority applies to all record types irrespective of format.
- Authority to destroy records does not apply where:
 - (a) any legislation specifically requires its retention; or
 - (b) records are required for a legal case; or
 - (c) where an Official Information Act request has been, or is likely to be made regarding that record.

A valid disposal authority is not a defence or excuse for destroying or otherwise disposing of records for a fraudulent or illegal purpose.

NO.	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS [Note: The examples are only representative of records types, and are not an exhaustive list]	AGENCY RETENTION PERIOD	DISPOSAL ACTION
1.0	<u>ALL FORMATS, PARTICULARLY INCLUDING E-MAIL</u> For most of these record types, agency procedures should ensure that a master copy of e.g. brochures or circulated information is maintained in the recordkeeping system.			
1.1	Personal correspondence	<ul style="list-style-type: none"> Correspondence with family or friends, doctor's appointments, light-hearted banter, lunch dates, etc. 	Until no longer required	Destroy
1.2	Received for information only	<ul style="list-style-type: none"> i.e. circulated information not meant to result in action from the recipient such as bulletins, newsletters, internal circulars etc. 	Until no longer administratively required	Destroy
1.3	Trivial work-related material	<ul style="list-style-type: none"> Routine housekeeping information, meeting notices and arrangements, contact details, reminder notes, copies of minutes, circulated notices, staff movements, copies of publications, room bookings, etc. 	Until no longer administratively required	Destroy
1.4	Incomplete material	<ul style="list-style-type: none"> Messages or memos never completed or shown to anyone else, never sent for comment, approval or to file, seen by no-one except the creator. <p><i>NB This does not include draft material created in any application other than e-mail (see 1.8).</i></p>	Until no longer administratively required	Destroy
1.5	Externally sourced material from a bulletin board or listserv	<ul style="list-style-type: none"> i.e. material not directly addressed to the recipient or their agency. Includes information down-loaded from libraries, databases, or received due to membership in a discussion group or listserv, etc. 	Until no longer administratively required	Destroy



NO.	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS [Note: The examples are only representative of records types, and are not an exhaustive list]	AGENCY RETENTION PERIOD	DISPOSAL ACTION
1.6	<p>Copies of records already in the corporate record-keeping system</p> <p>Does NOT apply to:</p>	<ul style="list-style-type: none"> Copies of email saved into the corporate system. Copies of records distributed for informational purposes. Publications, bulletins or duplicates where the master copy is saved in the recordkeeping system Copies used as basis for further changes, or where the copy has become a different record in its own right due to changes. 	Until no longer administratively required	<p>Destroy</p> <p>Refer to agency-specific disposal authorities or hold for appraisal</p>
1.7	<p>Duplicates Reproductions of records (in whatever format)</p> <p>Does NOT apply where:</p> <ul style="list-style-type: none"> A hardcopy original has been scanned or otherwise imaged. Formal authorisation is required to dispose of the original (see <i>A/3 Advisory Notice: Copying and Digitising Public Records</i>) No Master copy exists (e.g. film or video). <p>Does NOT apply to: Records from outside the agency where one copy should be kept in the corporate recordkeeping system if it affects agency policy or operations</p>	<ul style="list-style-type: none"> Copies of any records already captured, and kept for reference or informational purposes (<i>see exclusions below</i>). Duplicates of external documents and publications (e.g. external annual reports, trade journals and catalogues). Cabinet Papers, Treasury circulars. 	Until no longer administratively required	<p>Destroy</p> <p>Refer to agency-specific disposal authorities or hold for appraisal</p> <p>Refer to agency-specific disposal authorities or hold for appraisal</p>

NO.	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS [Note: The examples are only representative of records types, and are not an exhaustive list]	AGENCY RETENTION PERIOD	DISPOSAL ACTION
1.8	<p>Drafts Preparation of preliminary drafts or outlines of reports, correspondence, etc. prior to production of the final work.</p> <p>Does NOT apply where: there are identified recordkeeping needs to keep drafts due to significance of decisions made, or existence of significant changes not contained in the final form of the records.</p>	<p>Drafts and working papers used to prepare</p> <ul style="list-style-type: none"> • correspondence • file notes • reports • spreadsheets • plans • statistics <p>• Drafts relating to legislation formulation, legislative proposals or amendments.</p> <p>• Drafts relating to policy development, providing evidence of processes involved and/or significantly more information than final versions.</p> <p>• Drafts containing significant or substantial changes or annotations.</p>	Retain until production of the completed version	<p>Destroy</p> <p>Refer to agency-specific disposal authorities or hold for appraisal</p>
1.9	<p>Working papers Papers, background notes, reference materials used to prepare or complete other documents.</p> <p>Does NOT apply where: papers document significant decisions, reasons or actions</p>	<ul style="list-style-type: none"> • Audio recordings of conferences or meetings used to prepare transcripts, papers or minutes. • Calculations. • Rough notes (including notes of meetings or conversations where a formal record is made. • Statistics or figures. <p>• Papers of an investigating officer or case worker, where such papers are the substantive record of an investigation, case or project.</p> <p>• Papers created in an unofficial filing system such as within a Chief Executive's office, where a full record has not been maintained in the centralised system.</p> <p>• Papers required to be retained to account for policies, decisions and actions, or to function as evidence.</p>	Retain until production of the completed version or record.	<p>Destroy</p> <p>Refer to agency-specific disposal authorities or hold for appraisal</p>

NO.	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS [Note: The examples are only representative of records types, and are not an exhaustive list]	AGENCY RETENTION PERIOD	DISPOSAL ACTION
1.10	<p>Received advertising material <i>some advertising material may need to be saved into the corporate system where action such as purchasing has taken place</i></p> <p>Does NOT apply to: Material created by the agency, where a master copy should be kept</p>	<ul style="list-style-type: none"> Advertising flyers, brochures, catalogues, price lists. 	Until no longer administratively required	<p>Destroy</p> <p>Refer to agency-specific disposal authorities or hold for appraisal</p>
1.11	<p>Superseded administrative instructions, Instructions, system procedures, training material, facilitation instructions and guides, user manuals and instructions etc where a master copy is in the corporate recordkeeping system</p>	<ul style="list-style-type: none"> 'How to' instructions, including general procedures Computer operating system-type records User guides and manuals for agency systems Training instructions or handouts from training exercises 	Until no longer administratively required	Destroy
1.12	<p>Non-corporate records Those records, including types listed above, which fall outside the category of a corporate record</p>	<ul style="list-style-type: none"> See Archives New Zealand Fact Sheet F/1 <i>What is a Corporate Record</i> for complete definitions. 	Until no longer administratively required	Destroy



General Disposal
Authority

GENERAL
HOUSEKEEPING
RECORDS

Archives
New Zealand
*Te Rua Mahara
o Te Kāwanatanga*

