

**General  
Disposal  
Authority for  
New Zealand  
Universities**

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## 1. Introduction

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**Client Name:** New Zealand universities  
New Zealand Vice-Chancellors' Committee

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**Disposal Type** General Disposal Authority

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<b>Agency Coverage:</b>	Auckland University of Technology	ADFW
	Lincoln University	ADHA
	Massey University	ADHB
	University of Auckland	ADGY
	University of Canterbury	ADGZ
	University of Otago	ADHG
	University of Waikato	YCBW
	Victoria University of Wellington	ADHC
	New Zealand Vice-Chancellors' Committee	

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This General Disposal Authority (GDA) covers certain hard copy and electronic records created and received by New Zealand universities and the New Zealand Vice-Chancellors' Committee (NZVCC) and their predecessor agencies.

Subsidiaries of universities will be covered by this GDA for New Zealand universities if the subsidiary is more than 50 percent owned by the University. Other entities wholly owned by a group of universities (for example the New Zealand School of Music) are also covered by this GDA.

**Scope:** The following types of records are **not** included in the coverage of the Public Records Act and are therefore outside the scope of this GDA:

- Teaching materials of staff used to deliver a lecture or other presentation
- Research materials generated by staff or students including (but not exclusively) raw data, analysed data, working notes and publications (i.e. research materials, books, research papers whether published or not)
- Subsidiary companies where the university holds or controls 50 percent or less of the company.

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## 2. Executive Summary

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### 2.1 Overview

This GDA covers certain records created and received by New Zealand universities, the NZVCC and their predecessor agencies.

### 2.2 Background

Under the Public Records Act 2005, Archives New Zealand and the Chief Archivist are able to release general disposal authorities for public records. The Public Records Act 2005 formally covers universities' public records. The NZVCC has decided to develop a GDA for New Zealand universities.

The GDA for New Zealand universities proposes disposal actions and minimum disposal time periods for certain university records. Individual universities will be required to retain records for the proposed minimum retention times and are able to extend those time periods to suit their own needs if required.

The Public Records Act Working Party (PRAW, an ad hoc committee of the NZVCC) had responsibility for the overview of the development and implementation of the proposed GDA. This working party was established by the NZVCC to:

- provide advice and make recommendations as appropriate to Vice-Chancellors and the NZVCC on matters relating to the Public Records Act 2005 (PRA);
- provide the universities with guidance for complying with the requirements of the PRA;
- provide guidance for the development of appropriate policies;
- be the principal contact with Archives New Zealand on behalf of the universities.

PRAW contracted SWIM Limited to undertake the development of a GDA for New Zealand universities. Roles and responsibilities were established for the project and a copy of these is attached in Appendix One.

The GDA was developed after extensive consultation with staff representatives at all of the universities plus NZVCC.

### 2.3 Structure of the Report

The report is divided into the following sections:

**Introduction** – this provides the context for the development of the GDA and discusses the processes undertaken.

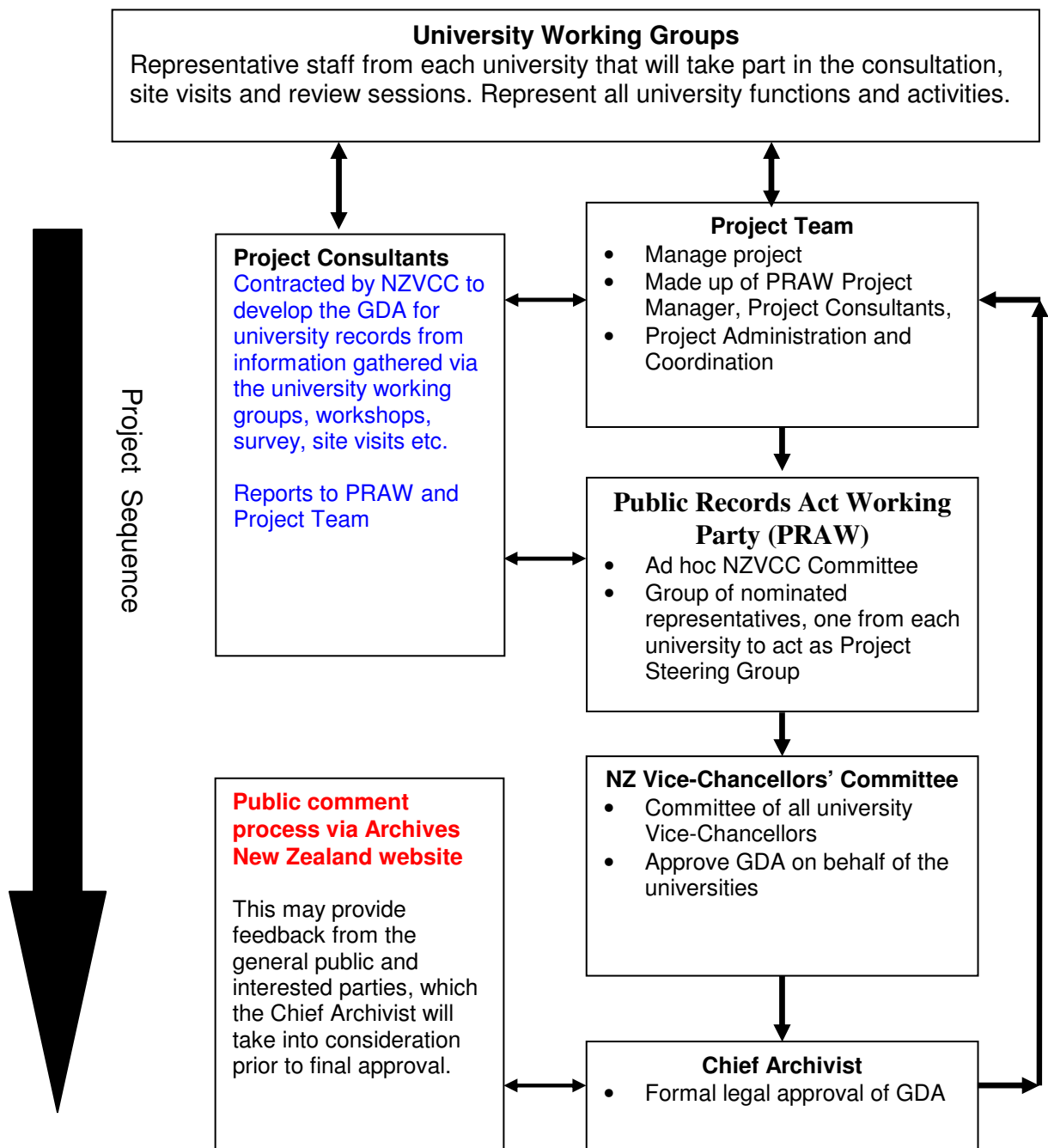
**University Records** – this discusses records created and received by the universities and the NZVCC in detail. It includes criteria for retention and disposal, description of the record creating process, classes of records and disposal recommendations.

**Appendices** – these provide detailed information on areas such as lists of interested parties, and roles and responsibilities for the project and members of PRAW.

### 3. Appraisal Circumstances

The development of a GDA for the universities was a complex undertaking which required a strong management model for the project. The project presented a number of challenges given that this is the first time New Zealand universities have been included in public recordkeeping legislation. Additionally, each university was also in a different state of preparedness in relation to the management of institutional records.

A diagram summarising the oversight and management model used is outlined below. Further details can be found in Appendix One.



## **4. Recordkeeping Environment**

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High level information on the recordkeeping environment was gathered as part of the survey and in discussions during site visits. Some of the general themes that emerged were:

- while the functions and activities are relatively consistent across all universities, the recordkeeping systems vary.
- recordkeeping is largely devolved within individual universities with each school/faculty having its own recordkeeping systems. This can lead to a large amount of duplication.
- there is a general reliance on shared drives within teams though some individual teams have implemented electronic document management systems.
- the recordkeeping for “core functions” of the university, for example student services, are well documented and captured into formal recordkeeping systems. Recordkeeping systems for corporate records tend to be more ad hoc.
- there are well established roles for archivists in a number of universities. Roles and responsibilities for records management are starting to be addressed by the universities.

## 5. Agency Information

The establishment date and previous names and predecessor agencies of each of the universities and NZVCC are outlined below. Where GAIMS codes have been allocated by Archives New Zealand these have been included.

<b>Name</b>	<b>Establishment Date</b>	<b>GAIMS Code</b>	<b>Previously known as/ Predecessor Agency/s</b>
Auckland University of Technology	2000	ADFW	<ul style="list-style-type: none"> <li>• Auckland Technical School 1895</li> <li>• Auckland Technical College 1906</li> <li>• Seddon Memorial Technical College 1912</li> <li>• Auckland Technical Institute 1960</li> <li>• Auckland Institute of Technology 1989</li> </ul>
Lincoln University	1990	ADHA	<ul style="list-style-type: none"> <li>• School of Agriculture (part of Canterbury College) 1878</li> <li>• Canterbury Agricultural College 1896</li> <li>• Lincoln College 1962</li> </ul>
Massey University	1963	ADHB	<ul style="list-style-type: none"> <li>• Massey University Agricultural College (1927-1962)</li> <li>• Wellington Polytechnic (merged with the university in 1999)</li> <li>• Palmerston North College of Education (merged with the University in 1996)</li> <li>• Note: also covers New Zealand School of Music which was formed as a collaboration between Massey University and Victoria University of Wellington in 2005</li> </ul>
University of Auckland	1962	ADGY	<ul style="list-style-type: none"> <li>• Auckland University College (1883)</li> <li>• Auckland College of Education (YCAL) (merged with the university in 2004)</li> <li>• Elam School of Fine Arts (merged with the university in 1950)</li> </ul>

University of Canterbury	1958	ADGZ	<ul style="list-style-type: none"> <li>• Canterbury College (1873-1933)</li> <li>• Canterbury University College (1933-1957)</li> <li>• Christchurch College of Education (merged with the university in 2007)</li> </ul>
University of Otago	1869	ADHG	<ul style="list-style-type: none"> <li>• Dunedin College of Education (merged with the university in 2007)</li> </ul>
University of Waikato	1964	YCBW	<ul style="list-style-type: none"> <li>• Hamilton Teachers College (merged with the University in 1991)</li> </ul>
Victoria University of Wellington	1962	ADHC	<ul style="list-style-type: none"> <li>• Victoria University College 1897-1961</li> <li>• Wellington College of Education (merged with the university in 2005)</li> <li>• Note: also covers New Zealand School of Music which was formed as a collaboration between Massey University and Victoria University of Wellington in 2005</li> </ul>
New Zealand Vice-Chancellors' Committee	1962		<ul style="list-style-type: none"> <li>• University of New Zealand (ADAU) 1870-1961</li> <li>• University Grants Committee (AAMJ) 1962-1990</li> </ul>

## 6. Methodology

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### 6.1 Approach

A team with knowledge of archives management, specifically appraisal practices, developed the GDA. The team worked in close consultation with PRAW and staff from each university.

The following activities were undertaken:

#### *Examination of Previous Disposal Work*

An examination was made of work completed to date by the universities in regard to the disposal of records. There are two key pieces of work in this area:

- Appraisal of Records by Victoria University of Wellington
- Draft Retention and Disposal Schedule from the University of Canterbury.

In addition to this, Massey University undertook a benchmarking survey of records management across the eight universities and this provided background high-level information on recordkeeping across the universities.

#### *Records Survey*

A survey was sent to all of the universities as part of the initial scoping study for the development of the GDA. Universities were asked to identify the types of records they held and provide details on aspects such as dates, formats and expected growth. The information gathered from the surveys was used to determine the classes for the draft schedule.

#### *High-Level Research into Functions, Structures and Business Processes*

The research above provided the template for determining the high level functions undertaken by universities. This information was supplemented by various sources including file classification structures (from Auckland University of Technology) and information posted on individual University websites.

#### *International Precedents*

A review of retention and disposal schedules developed for universities in both the United Kingdom and Australia was undertaken.

Once the research was complete consultation with the universities commenced.

### 6.2 Consultation

Extensive consultation was undertaken with the universities. A summary of the various methods used for consultation is outlined below:

#### *Site Visits to Individual Universities*

A two day site visit was held at each university. Two workshops were conducted during the site visits. The first workshop was largely attended by staff representatives from “corporate” areas; for example finance, human resources, legal, property, project management, communications and library. The second workshop was attended by representatives from university-specific functions; for example student services, student administration, research offices, subsidiaries and Vice-Chancellor’s Office. Workshops at all sites were well attended with an average of 12 to 15 participants in each.

In addition to the workshops, interviews were held with individuals from each university in order to gain an in-depth understanding of university functions and activities. A brief survey of the records holdings and storage conditions was also undertaken at the majority of sites.

A number of academic staff were met with during the course of the visits to the university but given that teaching and research materials are specifically excluded from the GDA the main area of consultation was with those in positions of responsibility for the functions covered by the General Disposal Authority i.e. managerial and corporate staff. Staff unions were also formally notified as part of the communication with interested parties (see below).

A workshop was also held with representatives from the NZVCC.

Following the site visits, an electronic version of the draft GDA was sent to participants and they were asked to submit feedback. Over 60 submissions were received. The comments in those submissions were noted in an issues register and an updated version of the GDA was sent to universities for final comment. A further 24 submissions were received as part of this process.

#### *Communication with Interested Parties*

A communications strategy was developed as part of the initial set up phase of the project and four key audiences were identified. The eight universities and NZVCC were identified as the *key stakeholders*.

The second audience were the *primary interested parties*. These are organisations that have a strong vested interest in the outcome of any disposal decision such as education sector agencies. A letter from the Chair of PRAW was sent out to these parties. Organisations were asked if they would like a meeting to discuss any specific issues. A further communication will be sent out to the primary interested parties when the Chief Archivist has approved an intention to dispose and the GDA for NZ universities is released by Archives New Zealand for public comment. A list of the primary interested parties contacted can be found in Appendix Two.

The third audience were the *secondary interested parties*; i.e. those organisations that, while not directly responsible for creating and storing university records, have a vested interest in the outcome of any disposal decision such as accreditation and registration bodies, historians and educational research organisations. A letter from the Chair of PRAW was sent out at project commencement. A further communication will be sent out to secondary interested parties when the Chief Archivist has approved an intention to dispose and the GDA for NZ universities is released by Archives New Zealand for comment. A list of the secondary interested parties contacted can be found in Appendix Two.

The fourth audience was the *general public* who will be provided with the opportunity to comment as per the requirements of the Public Records Act.

### **6.3 Scope of the General Disposal Authority**

The GDA for New Zealand universities will apply to certain records created and held by the following universities and their predecessor agencies:

- Auckland University of Technology
- Lincoln University
- Massey University
- University of Auckland
- University of Canterbury
- University of Otago
- University of Waikato
- Victoria University of Wellington

Records created and received by the NZVCC will also be covered by the GDA.

Subsidiaries of universities will be covered by this GDA for New Zealand universities if the subsidiary is more than 50 percent owned by the university. Other entities wholly owned by a group of universities (for example the New Zealand School of Music) are also covered by this GDA.

The GDA covers records in both paper and electronic format.

There is some diversity in the types of processes and activities undertaken by different universities and it is unlikely that an individual university will have all of the types of records included in the GDA. However, to ensure comprehensive coverage for all universities and their predecessor agencies, all the relevant records identified through site visits, responses from universities and survey returns are included.

#### **6.4 Records Exempted from the GDA**

The following types of records are **not** included in the coverage of the PRA and are therefore outside the scope of the GDA:

- teaching materials of staff used to deliver a lecture or other presentation
- research materials generated by staff or students including (but not exclusively) raw data, analysed data, working notes and publications (i.e. research materials, books, research papers whether published or not)
- subsidiary companies where the university holds or controls 50 percent or less of the company

#### **6.5 Relevant Precedent**

##### *Legislation and Regulations*

The Education Act 1989 sets out some requirements in relation to recordkeeping for universities including, but not limited to, student records. Recordkeeping requirements in the Act include:

##### *Section 195B Institutions to provide information if required*

- (1) *the secretary may, if he or she has reasonable grounds to believe that an institution may be at risk, by written notice to the Council of an institution require the Council to provide either or both of the following:*
  - (a) *specified information about the operation, management, or financial position of the institution at a given time*
  - (b) *reports at specified intervals on specific aspects of the operation, management, of financial position of the institution.*

##### *Section 225 Records relating to students*

(1) *Each institution shall keep records that show—*

- (a) *The progress of each student at the institution (including the principal results achieved by the student) in his or her course of study or training; and*

*(b) Particulars of any allowances, grants, or other payments received by each student at the institution in respect of his or her course of study or training out of public money appropriated by Parliament.*

Legislative requirements from various Acts (for example the Finance Act, Holidays Act) have been incorporated, where appropriate.

The Tertiary Education Commission details specific recordkeeping requirements for Learner Enrolment Records. It states retention periods for particular records, for example fees and course costs are to be kept for 7 years and qualifications and courses that a learner has studied and final assessment results must be retained permanently. These requirements have been incorporated into the GDA.

#### *Previous Transfers to Archives New Zealand*

Archives New Zealand has received transfers from the predecessor agencies of universities and NZVCC, in particular the University of New Zealand (1870-1961) and its successor agency the University Grants Committee (1962-1990) Records transferred include academic record cards, correspondence files, minute books and architectural drawings.

#### *General Disposal Authorities*

Some class evaluations and disposal recommendations for finance, human resources and corporate and administrative records made in this GDA are based on the existing Archives New Zealand General Disposal Authorities where a match could be made with class descriptions and disposal actions. Some minor amendments have been made, largely to retention periods, and these are noted in the report under the relevant classes.

#### *International Precedent*

Research was undertaken to determine international practices for retaining university-specific records with particular attention paid to New South Wales, Victoria and Queensland. Each of these Australian states has developed a General Disposal Schedule for universities.

## **7. Disposal Criteria**

### **Recommended for retention as public archives:**

- A1. Records providing evidence of significant and unique input and participation in meetings that impact on key university functions and activities
- A2. Records providing evidence of university compliance with and dealings under the Treaty of Waitangi, and university relationships/consultation with Māori
- A3. Records documenting high-level corporate/stakeholder relationship issues. For example discussions, meetings, negotiations, agreements and inquiries
- A4. Records detailing ultimate disposal decisions for university records (both paper-based and electronic)
- A5. Records providing proof of an event or agreement that documents the rights/legal interests/obligations of a university or permits the settlement of legal claims
- A6. Records documenting significant input on legislation that impacts on universities.
- A7. Records documenting the development and providing the final copy of policies and procedures that are key or wide-ranging in nature and that have significant and ongoing business and/or compliance impact
- A8. Records documenting the procedures, planning and reporting of significant processes and activities within a university
- A9. Records documenting strategic planning and funding of trust funds, bequests and donations managed by a university.
- A10. Personnel files of senior personnel
- A11. Personnel files of staff who received significant honours, achieved high distinction etc.
- A12. Records that provide summarised versions of employee information held elsewhere in a less consolidated form
- A13. Significant documents relating to the health, safety and welfare of employees
- A14. Records covering a university's nomination of staff for major honours and awards
- A15. Records documenting the significant development, control and operations of key functions within a university
- A16. Records documenting core information on student attendance and academic performance

**Recommended for destruction:**

- D1. Records documenting routine operational and legal matters
- D2. Records documenting routine administration matters
- D3. Records documenting minor/administrative projects that have low-level effect on university operations and the day-to-day establishment/maintenance/reporting of such projects.
- D4. Records holding information that is summarised in other records in a form recommended for transfer to Archives New Zealand
- D5. General housekeeping records of an administrative and low-level nature
- D6. Records documenting low-level planning and reporting

**Recommended for permanent retention**

A specific disposal is applied to material identified as being of permanent value to the university while not meeting the criteria for transfer to an Archives repository. The retention of this material is the responsibility of the individual institution.

**Retain three copies as archives**

A specific disposal recommendation is applied to official publications to be retained by the university and not transferred to Archives New Zealand. The reason for retaining three copies is so that one may be used for reference, one for copying and the third is a master that is never accessed unless one of the others is damaged, lost or destroyed.

**7.1 Implementing the GDA**

An implementation guide accompanies the report. The guide is designed to assist university staff in applying and implementing the disposal actions, as detailed in the GDA. Please see Appendix Three.

## 8. Classes of Records and Recommendations

### 8.1 Administration Records

*Class Title:*           **Administration**

*Class number:*       1

*Class Description:*   The Administration class covers the “housekeeping” processes associated with corporate functions of the university, such as maintaining address lists. This class is concerned with records that are duplicates of others captured elsewhere in the GDA, or that are purely facilitative or ‘information only’ in nature, such as externally sourced reference information. It is included to assist university staff to manage the disposal of the large quantities of duplicate and informational material that is received and circulated in a large, administratively devolved institution. The minimum retention periods and disposal criteria are taken directly from Archives New Zealand GDA 3/DA102 General Housekeeping Records

*Value:*                The records are of an administrative and low-level nature with no significant ongoing value.

#### Recommended for retention as public archives

- None

#### Recommended for destruction

#### **Criterion D5 General housekeeping records of an administrative and low-level nature**

<i>Ref</i>	<i>Sub- class</i>	<i>Description of Record</i>
1.1.1	Contact and Address Lists	Contact and Address Lists
1.2.1	Housekeeping	Background information
1.2.2	Housekeeping	Copies, Duplicates of Records and their Reproductions
1.2.3	Housekeeping	Drafts (Minor)
1.2.4	Housekeeping	Duplicates of Court and Judicial Records
1.2.5	Housekeeping	Externally sourced material from a bulletin board or listserv
1.2.6	Housekeeping	Incomplete E-Mail Material
1.2.7	Housekeeping	Personal Correspondence
1.2.8	Housekeeping	Received Advertising Material
1.2.9	Housekeeping	Received for Information Only
1.2.10	Housekeeping	Superseded Administration Instructions
1.2.11	Housekeeping	Trivial Work Related Material
1.2.12	Housekeeping	Working Papers (minor)
1.3.1	Administration	Administrative Records

## 8.2 Audit and Quality Management

**Class Title:** Audit and Quality Management

**Class number:** 2

**Class Description:** This class covers records that document all auditing and quality management requirements (both internal and external) relating to university processes.

It also covers the monitoring and management of issues raised within this audit and quality management process.

This class covers records generated or held within universities within the existing Risk and Quality Assurance, or similarly named group structures.

**Value:** Some groups of records have significant informational and evidential value due to the fact that they document high-level corporate management policies and activities. These records document the management of significant issues that the university has had to take action on or respond to and the ongoing monitoring of these issues.

Records relating to the management of the New Zealand Universities Superannuation Scheme are recommended for retention. This scheme was established in 1993. Seven of the eight universities are party to the trust deed and there is provision for associated university companies and bodies to join. The NZVCC services meetings of the Scheme's trustees.

In some instances submissions may be provided to an audit investigation on the basis that they remain confidential and are destroyed following the publication of the report. The key findings of these submissions are summarised in the report and are recommended for destruction.

Most of the other records have low-level/short-term informational value, focusing on the facilitation/administration of activities and processes, or the monitoring of low-level issues.

A specific disposal action of retain permanently by the university has been applied to consent records which remain active and therefore technically cannot be described as archives.

Recommended for retention as public archives

### **Criterion A5 Records providing proof of an event or agreement documenting the rights/legal interests/obligations of the University or permit the settlement of legal claims**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
2.4.2	Fraud and theft	Reports (Significant)
2.11.1	Superannuation and Medical Schemes	Management

### **Criterion A8 Records documenting the policy, procedures, planning and reporting of significant processes and activities within a university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
2.1.4	Audits, Reviews and Evaluations	Major Audits

2.5.3	Issues Management	Incidences (Significant)
2.6.2	Issues Monitoring	Significant Issues
2.7.3	Reporting	Non-financial (significant)

Recommended for destruction

**Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
2.1.2	Audit, Reviews and Evaluation	Confidential submissions
2.3.3	Emergency Planning and Contingency	Final approved plan
2.4.1	Fraud and Theft	Reports (Minor)
2.5.2	Issues Management	Incidences (Minor)
2.9.1	Security and Vetting	Employee Vetting
2.9.2	Security and Vetting	University Surveillance Tapes

**Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
2.2.1	Delegations and Authorities	Written authorities
2.3.1	Emergency Planning and Contingency	Administration
2.5.1	Issues Management	Administration and Facilitation
2.7.1	Reporting	Administration

**Criterion D4 Records holding information that is summarised in other records in a form recommended for transfer to Archives New Zealand**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
2.1.1	Audits, Reviews and Evaluations	Administration

**Criterion D6 Records documenting low-level planning and reporting**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
2.1.3	Audits, Reviews and Evaluations	Minor audits
2.3.2	Emergency Management and Contingency Planning	Planning
2.6.1	Issues Monitoring	Minor Issues
2.7.2	Reporting	Non-financial (Minor)
2.10.1	Standards and Regulations	Monitoring and Administration
2.11.2	Superannuation and medical Schemes	Managed externally

**Records Recommended for Permanent Retention by the University**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
2.8.1	Resource Consents	Consents under the Resource Management Act 1991

### 8.3 Collection Management

**Class Title:** Collection Management

**Class number:** 3

**Class Description:** A number of universities have significant collections of records and archives that relate to the university or have been donated by individuals or organisations. These collections are held by institutions within the university. They are either collections that relate to a particular school of study, such as the Chapman collection in the Political Studies Department at the University of Auckland, art collections such as those held by the Adam Art Gallery at Victoria University of Wellington or institutions that collect archival material, such as the Hocken Library at the University of Otago. Under the scope of this General Disposal Authority, the management of these special collections is covered but the collections themselves are exempt.

**Value:** Some records relating to the management of a collection are integral to the collection itself and in some instances it is difficult to clearly delineate records of the management of the collection from the collection itself, where they add to an understanding of the collection's contents. While some of the management records are of short-term value (for example conservation processes and temporary loan arrangements) others are necessary for the day-to-day management of the collection, for example collection control and acquisition. For this reason it is recommended that a small number of sub-classes of collection management records be permanently retained by the university.

#### Recommended for destruction

##### **Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
3.4.1	Conservation and Preservation	Preservation, protection and maintenance records
3.4.2		
3.7.1	Loans – in	Loan arrangement
3.7.2	Loans – out	Loan arrangement

##### **Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
3.1.1	Access	Access and use
3.6.1	Exhibition Management	Planning and Implementation

##### **Recommend for permanent retention by the university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
3.2.1	Acquisitions	Purchase or Acquisition
3.3.1	Collection control	Cataloguing
3.5.1	Disposal	Deaccessioning and Disposal
3.6.2	Catalogues	Catalogues and brochures

## 8.4 Financial and Accounting Records

**Class Title:** Financial and Accounting

**Class number:** 4

**Class Description:** Financial and accounting records cover all financial and accounting processes and activities within a university, from school/faculty level to university-wide.

**Value:** Many of the universities have trusts that they are responsible for administering. The key documentation relating to these trusts, for example deeds and investment documentation are recommended for retention along with significant financial reports prepared for the university.

Most other records in this class are of low-level/short-term informational value. They cover routine and low-level financial and accounting transactions and administration.

The majority of sub-classes, descriptions, and disposal actions in this class have been taken from the existing Archives New Zealand GDA for Finance records and there are no variations in the proposed retention periods.

Recommended for retention as public archives

### **Criterion A8 Records documenting the policy, procedures, planning and reporting of significant processes and activities within a University**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
4.3.2	Planning and Reporting	Significant financial reports

### **Criterion A9 Records documenting strategic planning and funding of trust funds, bequests and donations managed by the university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
4.6.1	Trusts	Trust deeds
4.6.2	Trusts	Trusts investments documentation

Recommended for destruction

### **Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
4.1.1	Delegations	Financial delegations and authorities

### **Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
4.2.1	Payroll	Administration
4.4.1	Taxation	Administration
4.4.2	Taxation	Employee taxation
4.5.1	Transactions	Administration
4.5.2	Transactions	Banking records
4.5.3	Transactions	General Ledger and Subsidiary ledgers
4.5.4	Transactions	Receipts and expenditure

**Criterion D4 Records relating to information that is summarised in other records in a form recommended for transfer to Archives New Zealand**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
4.3.1	Planning and Reporting	Minor financial reports

## 8.5 Governance Records

*Class Title:* **Governance**

*Class number:* 5

*Class description* The Governance Class covers governance of three areas, firstly the governance of the university itself, secondly the governance of companies that are more than 50 per cent owned or controlled by the university and thirdly the governance of the NZVCC.

### *Governance of the University*

Each of the universities is governed by a Council as set out in section 165 of the Education Act 1989. The functions and duties of the Council are set out in sections 180 and 181 of the Act.

The functions of the Council are:

- (a) to appoint a chief executive in accordance with the State Sector Act 1988, and to monitor and evaluate his or her performance:
- (b) to prepare and submit a proposed plan if the institution is seeking funding under a funding mechanism that provides for funding via plans:
- (c) if the institution has a plan,---
  - (i) to ensure that the institution is managed in accordance with that plan; and
  - (ii) to determine policies to implement that plan:
- (d) to determine, subject to the State Sector Act 1988, the policies of the institution in relation to the management of its affairs:
- (e) to undertake planning relating to the institution's long-term strategic direction.

The duties of the Council are:

To strive to ensure that the institution attains the highest standards of excellence in education, training, and research:

- to acknowledge the principles of the Treaty of Waitangi
- to encourage the greatest possible participation by the communities served by the institution so as to maximise the educational potential of all members of those communities with particular emphasis on those groups in those communities that are under-represented among the students of the institution
- to ensure that the institution does not discriminate unfairly against any person
- to ensure that the institution operates in a financially responsible manner that ensures the efficient use of resources and maintains the institution's long-term viability
- to ensure that proper standards of integrity, conduct, and concern for—
  - The public interest; and
  - The wellbeing of students attending the institutionare maintained.

The chancellor for the University chairs the Council.

*Governance of NZVCC*

The New Zealand Vice-Chancellors' Committee (NZVCC) was established by the Universities Act 1961 which replaced the federal University of New Zealand with separate institutions. It represents the interests of New Zealand's eight universities. The NZVCC secretariat is located in Wellington.

With the 1990 Education Amendment Act, the NZVCC assumed some of the functions of the former University Grants Committee at the interface between government and the universities. Its statutory functions and powers are set out in the Education Amendment Act 1990. The NZVCC has delegated a number of functions to a range of standing committees generally consisting of a representative from each university.

*Governance of Companies more than 50 percent owned by the University*

As noted previously, companies more than 50 percent owned or controlled by a university are deemed to be covered by the Public Records Act and have therefore been included in the scope of this General Disposal Authority.

Many of these companies create company records as required under the Companies Act 1993, such as certificates of incorporation, constitutions, registers of directors and shareholders.

*Value:*

Records recommended for retention have very high informational and evidential value due to the fact that they document high level corporate management strategy, policy and activities that are key to the ongoing management of the university as an organisational entity. They include not only records of the Council itself but also of Committees and Steering Groups reporting to the Council.

The retention recommendations for company records for subsidiaries more than 50 percent owned by the university are based on the guidelines produced by the Institute of Chartered Accountants.

Council electoral rolls are recommended for destruction in line with the regulation of universities concerning council elections.

Correspondence received by the Vice-Chancellor's office is largely from internal groups. It is recommended for destruction as key correspondence will be captured within the Council papers.

Routine operational and administrative papers, for example working papers, minor correspondence to the Council and administration of meetings, is recommended for destruction.

Recommended for retention as public archives

***Criterion A1 Records providing evidence of significant and unique input and participation in meetings that impact on key university functions and activities***

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
5.1.9	Institution or Company Records of those companies covered by the Public Records Act	Board Minutes
5.1.10	Institution or Company Records of those companies covered by the Public Records Act	Board Committee Minutes

5.1.11	Institution or Company Records of those companies covered by the Public Records Act	Resolutions of Board and Board committees
5.2.1	Committees and Working Parties	Committees and working parties of major significance
5.4.4	Council and Management	Minutes, agendas and papers

**Criterion A2 Records providing evidence of university compliance with and dealings under the Treaty of Waitangi, and university relationships/consultation with Māori**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
5.6.1	Treaty Relationships	University compliance with and dealings under the Treaty, and relationships with Māori (significant)

**Criterion A3 Records documenting high-level corporate/stakeholder relationship issues. For example discussions, meetings, negotiations, agreements and inquiries**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
5.4.3	Council and Management	Correspondence (significant)

**Criterion A5 Records providing proof of an event or agreement documenting the rights/legal interests/obligations of the university or permit the settlement of legal claims**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
5.1.1	Institution or Company Records of those companies covered by the Public Records Act	Certificate of incorporation
5.1.2	Institution or Company Records of those companies covered by the Public Records Act	Certificate to commence business
5.1.3	Institution or Company Records of those companies covered by the Public Records Act	Constitution of the Company
5.1.4	Institution or Company Records of those companies covered by the Public Records Act	Trust Deeds
5.1.5	Institution or Company Records of those companies covered by the Public Records Act	Seal Book
5.1.6	Institution or Company Records of those companies covered by the Public Records Act	Register of directories and secretaries
5.1.7	Institution or Company Records of those companies covered by the Public Records Act	Register of shareholdings and share dealings
5.1.8	Institution or Company Records of those companies covered by the Public Records Act	Interests register
5.1.12	Institution or Company Records of those companies covered by the Public Records Act	Memoranda and Articles of Association
5.1.14	Institution or Company Records of those companies covered by the	Directors' Certificates

	Public Records Act	
5.1.15	Institution or Company Records of those companies covered by the Public Records Act	Regulation 17 certificates authorising the distribution of advertisements for securities <sup>1</sup>
5.3.1	Corporate Identity/Brand	Development and Protection
5.3.2	Corporate Identity/Brand	Significant Corporate Objects

**Criterion A8 Records documenting the policy, procedures, planning and reporting of significant processes and activities within a university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
5.1.13	Company Records of those Companies covered by the Public Records Act	Annual Report and Accounts (signed copy)
5.4.6	Council and Management	Reports (significant)
5.7.1	Planning and Reporting	Consolidated high-level governance-related plans
5.8.1	Policies and Procedures	Master set of policies and procedures

Recommended for destruction

**Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
5.5.1	Elections and Appointments	Administration
5.5.2	Elections and Appointments	Electoral Rolls
5.9.1	Vice-Chancellor's correspondence	Correspondence created and received by the Vice-Chancellor's Office

**Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
5.2.2	Committees and Working Parties	Minor Working Parties
5.4.2	Council and Management	Correspondence (Minor)

**Criterion D5 General housekeeping records of an administrative and low-level nature**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
5.8.2	Policies and Procedures	Working papers

**Criterion D6 Records documenting low-level planning and reporting**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
5.4.1	Council and Management	Administration
5.4.5	Council and Management	Reports (Minor)

<sup>1</sup> Securities Act Regulations, 1983

## 8.6 Historical Records

*Class Title:* **Historical Records**

*Class number:* 6

*Class Description:* This class covers records created by universities before a specified date. The 'grandparent date' of 1946 has been selected to align with the existing Archives New Zealand General Disposal Authorities.

*Value:* As previously noted, the GDA for New Zealand universities is designed to cover not only the universities but also their predecessors, and the majority of records created by these agencies have been incorporated into the GDA.

It is likely that those universities that have an on-site archive have identified and transferred to that archive the majority of records prior to 1946 that are still in existence. However, there may be instances in all of the universities where records prior to 1946 are in existence but are yet to be formally identified and listed. It is recommended that the universities be responsible for assessing the condition of these records and determining whether they have any intrinsic value. A set of criteria has been developed to assist universities in appraising such records and is as follows:

### *Selection Criteria*

The records have historical or research value such as:

- they are the sole remaining records of a predecessor agency of the University
- they present evidence of university involvement in or response to significant national and local issues
- they document a prominent person in city/region/country
- they document a significant event for city/region/country
- they are of genealogical or family history research interest
- they are of social or technological history research interest
- they are of environmental history research interest
- they present evidence of public input into significant local issues

It should be noted that these criteria are guidelines only. The authorisation of the Chief Archivist is still required prior to any destruction or retention in a university archive and a dialogue should be entered into with Archives New Zealand prior to the commencement of any appraisal of historical material.

### **Recommend retain for appraisal**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
6.0	Historical Records	Records created or received by the university that are dated prior to 1946

## 8.7 Human Resources and Personnel Records

**Class Title:** Human Resources and Personnel

**Class number:** 7

**Class Description:** This class covers records that relate to the recruitment, monitoring, training, support etc of university employees.

This class covers all records to do with Human Resource Management, regardless of whether they are created by an employee or the HR Department.

**Value:** Many of these records have low-level/short-term evidential value, focusing on the facilitation/administration of processes surrounding association memberships for employees, travel and social functions etc.

A small class of records are recommended for retention due to their documentation of significant or key functions such as international recruitment and employees' attitudes and concerns, and evidential and informational value in summarised form.

Many of the sub-classes and disposal actions in this class have been derived from the existing Archives New Zealand GDA for Human Resources records. The descriptor for senior management personnel files has been amended slightly to ensure that relevant senior personnel from the universities, NZVCC and relevant companies are all covered.

Recommended for retention as public archives

### **Criterion A3 Records documenting high-level corporate/stakeholder relationship issues, For example, discussions, meetings, negotiations, agreements and inquiries**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.12.1	Networks	Employees – significant input

### **Criterion A5 Records providing proof of an event or agreement documenting the rights/legal interests/obligations of the university or permit the settlement of legal claims**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.10.3	Industrial Relations	Negotiations, discussions, disputes with unions (significant)

### **Criterion A8 Records documenting the policy, procedures, planning and reporting of significant processes and activities within a university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.16.2	Recruitment and Selection	EEO recruitment initiatives and programmes
7.16.3	Recruitment and Selection	International recruitment programmes

### **Criterion A10 Personnel files of senior personnel**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.15.1	Personnel files	Personnel files of the Vice-Chancellor and

		those who report directly to the Vice-Chancellor who form part of the tier two senior management structure; the Executive Director of the NZVCC; CEOs or equivalent of entities covered by this GDA
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**Criterion A11 Personnel files of staff who have received significant honours, achieved high distinction etc.**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.15.2	Personnel Files	Employees who received significant honours, achieved high distinction etc.

**Criterion A12 Records that provide summarised versions of information held elsewhere in a less consolidated form**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.9.1	Indices/finding Aids	Employees
7.15.7	Personnel Files	Summaries of employee histories

**Criterion A13 Significant documents relating to the health, safety and welfare of employees**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.15.5	Employees killed or seriously injured while on duty	Records of employees killed or seriously injured while on duty
7.23.1	Surveys of employees	Attitudes and concerns

**Criterion A14 Records covering a University's nomination of staff for major honours and awards**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.5.1	Awards and Honours (Employees)	Nominations

**Criterion A15 Records documenting the significant development, control and operations of key functions within a university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.13.1	Organisational and Staffing structures	Consolidated records

Recommended for destruction

**Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.1.1	Administration	Human Resources transactions, processes, procedures etc
7.2.1	Assistance to Employee Groups	Employer assistance
7.7.1	Grievances, Disputes and Dismissals	By/of individual employee
7.8.2	Health, Safety and Welfare (employees)	Incident, accident, near miss reports Employee health information Employee health monitoring
7.8.3	Health, Safety and Welfare (employees)	Staff exposed to asbestos
7.10.2	Industrial Relations	Administration
7.14.1	Performance Management and	Employee performance

	Employee Assessments	
7.18.1	Routine returns	Routine human resources returns
7.19.1	Occupational groups and positions	Occupational groups and positions

**Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.3.1	Associations	Employee membership (non-financial)
7.4.1	Attendance (Employees)	Attendance records and use of time
7.6.1	Employment Documentation	Standard documentation
7.8.1	Health, Safety and Welfare (Employees)	Administration
7.10.1	Industrial Relations	Administration
7.11.1	Leave	Employees
7.15.4	Personnel Files	Misconduct
7.16.1	Recruitment and Selection	Administration
7.17.1	Rental Payments and agreements	Rental
7.20.1	Social functions	Management and administration (non-financial)
7.21.1	Social/sports clubs	Employees
7.22.1	Superannuation and Medical Schemes	Administration
7.24.1	Training and Career Development (Employees)	Administration
7.25.1	Travel (Employee)	Administration (financial)
7.25.2	Travel (Employee)	Administration (non-financial)

**Criterion D4 Records relating to information that is summarised in other records in a form recommended for transfer to Archives**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
7.15.6	Personnel Files	Other personnel staff

## 8.8 Information Management Systems and Services Records

**Class Title:** Information Management Systems and Services

**Class number:** 8

**Class Description:** Records that document the creation, monitoring, maintenance, administration of information technology and its processes, information systems (including records, library management systems), information control systems and mail and distribution management systems.

**Value:** Many of the records have low informational value (e.g. facilitative records) or are records of high informational value for the short-term (e.g. systems documentation).

Significant records relating to the development, control and operations of information systems and service records are recommended for retention. This includes items such as significant web-site development records or records detailing the disposal of university records prior to official agreements with Archives New Zealand. University web sites have particular significance as they demonstrate how institutions attract students (via the internet) and retain them (via the intranet) using the latest design and development. Universities are at the leading edge of design and development in terms of communication and collaboration and therefore those development and design records are recommended for retention as public archives.

Many of the sub-classes and disposal actions in this class have been derived from the existing Archives New Zealand GDA Administration and Corporate Records.

Recommended for retention as public archives

### **Criterion A4 Records detailing ultimate disposal decisions for university records (both paper-based and electronic)**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
8.8.1	Records Disposal decisions	Records of disposal decisions prior to application of this General Disposal Authority
8.8.2	Records Disposal decisions	Records of disposal decision under this General Disposal Authority

### **Criterion A12 Records that provide summarised versions of information held elsewhere in a less consolidated form**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
8.2.1	Control and Location Indices and Guides	For significant systems and holdings

### **Criterion A15 Records documenting the significant development, control and operations of key functions within the university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
8.5.3	Intranet/Internet	Significant development and design

Recommended for destruction**Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
8.2.2	Control and Location Indices and Guides	For non-significant systems and holdings
8.3.2	Information system Structures	For vital and significant systems
8.4.1	Installation, testing and on-going maintenance	Installation of systems
8.5.2	Intranet/Internet	Minor Development and design
8.7.2	Mail and Distribution Services	Operation
8.9.1	Software	Development/establishment
8.9.2	Software	Software updates/installation
8.10.2	System Development/Establishment	In-house and "Off the Shelf" systems
8.11.1	User Guides and Training Manuals	External and "Off the Shelf" systems

**Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
8.1.1	Information Management and Services	Administration
8.3.1	Information System structures	For routine, administrative and low-level systems
8.5.1	Internet/Intranet	Administration
8.6.1	Library and Information Services	Management and Operation
8.7.1	Mail and Distribution Services	Administration
8.10.1	System Development/Establishment	Administration

## 8.9 Legal Records

**Class Title:** Legal

**Class number:** 9

**Class Description:** Legal records cover legal activities and processes carried out by/for universities. Records document the maintenance of legal agreements, contract management and legal monitoring of issues and incidences that have impact on university business.

**Value:** Some of the records have significant informational and evidential value as they either relate to key areas of legal action or document legislative change impacting on universities.

Other records (such as those records that facilitate the contracting process) are mainly low-level/administrative/facilitative, and therefore do not have any long-term evidential or informational value.

Records of minor court/judicial decisions are not recommended for transfer due to their short-term evidential value.

The majority of the sub-classes and disposal actions in this class have been derived from the existing Archives New Zealand GDA Administration and Corporate Records.

Recommended for retention as public archives

### **Criterion A5 Records providing proof of an event or agreement documenting the rights/legal interests/obligations of the university or permit the settlement of legal claims**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
9.2.3	Contract Management	Negotiation, Development and Facilitation of Contracts (Major)
9.3.1	Legal Action, Litigation Claims and Disputes Involving the University	University records
9.7.1	Deeds and Title of Ownership	Certificates and other documents of title
9.9.2	Legal Agreements	Significant

### **Criterion A6 Records documenting significant input on legislation that impacts on universities**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
9.5.2	Legislation	Submissions (Significant)

### **Criterion A8 Records documenting the policy, procedures, planning and reporting of significant processes and activities within a university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
9.3.3	Legal Action, Litigation Claims and Disputes Involving the University	Implications of significant court and judicial decisions
9.4.2	Legal Opinions and Advice	Significant

Recommended for destruction**Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
9.1.1	Administration	Templates, correspondence etc
9.2.1	Contract Management	Background information
9.2.2	Contract Management	Negotiation, Development and Facilitation of Contracts (Minor)
9.3.2	Legal Action, Litigation Claims and Disputes Involving the University	Implications of minor court and judicial decisions
9.4.1	Legal Opinions and Advice	Minor
9.5.1	Legislation	Submissions (Minor)
9.6.1	Property Access and Concession Rights	Fixed term
9.6.2	Property Access and Concession Rights	In perpetuity
9.8.1	Lease Agreements	Signed lease and rental agreements
9.9.1	Legal Agreements	Minor

## 8.10 Management of Academic Programmes

**Class Title:** Management of Academic Programmes

**Class number:** 10

**Class Description:** Each programme of study within a university has a set of courses which leads to a certificate, diploma or degree. A formal process is undertaken to develop the curricula for these courses of study and programmes are monitored and evaluated on a regular basis

**Value:** The development of academic programmes is a key function of the university and records documenting the approval process and approved curricula are recommended for retention.

Administrative records and operational records of short term value, for example reviews and appeals on assessment results are recommended for destruction.

Recommended for retention as public archives

### **Criterion A15 Records documenting the significant development, control and operations of key functions within the university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
10.2.2	Curriculum Development and Approval	Approval Process
10.2.3	Curriculum Development and Approval	Approved curricula

Recommended for destruction

### **Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
10.1.1	Assessment	Appeals
10.1.2	Assessment	Examination Management
10.1.3	Assessment	Grading/Marking
10.1.4	Assessment	Recounts
10.2.1	Curriculum and Approval	Working Papers
10.6.1	Special Consideration Requests	Requests

### **Criterion D3 Records documenting minor/administrative projects that have low-level effect on university operations and the day-to-day establishment/maintenance/reporting of such projects**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
10.3.1	Curriculum Review	Minor Reviews
10.3.2	Curriculum Review	Major Reviews
10.4.1	Equity Programmes and Services	Records relating to equity programmes (including Maori and Pacific)
10.5.1	Quality Management	Monitoring and Evaluation
10.5.2	Quality Management	Academic quality

## 8.11 Property and Facilities Management Records

**Class Title:** Property and Facilities Management

**Class number:** 11

**Class Description:** Records relating to the planning, design, construction, maintenance and management of the University's built environment and associated operational services.

**Value:** The scale and complexity of property and facilities management in the university environment was taken into account when considering the retention periods and disposal actions for records in this class. Records providing proof of an event or agreements documenting the rights/legal interests/obligations of the university or permits the settlement of legal claims are recommended for retention, for example title deeds. Records of significant construction and management of hazardous wastes are also recommended for retention.

Many of the sub-classes and disposal actions in this class have been derived from the existing Archives New Zealand GDA Administration and Corporate Records. A Sub-Class relating to sustainability management has been added as this is an important activity within the universities.

Recommended for retention as public archives

### **Criterion A5 Records providing proof of an event or agreement documenting the rights/legal interests/obligations of the university or permit the settlement of legal claims**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
11.1.2	Compliance	Significant
11.1.4	Compliance	Compliance and approval Certificates
11.7.1	Site Plans and Building Details	University-owned property

### **Criterion A8 Records documenting the policy, procedures, planning and reporting of significant processes and activities within a university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
11.2.2	Construction, Works and Engineering	Projects (Significant)

### **Criterion A13 Significant documents relating to the health, safety and welfare of employees**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
11.3.1	Hazardous Substances	Management

Recommended for destruction

### **Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
11.1.1	Compliance	Minor
11.1.3	Compliance	Administration

11.4.1	Flora/Fauna Management	Management
11.5.1	Routine Management	Property, assets, buildings (Major)
11.5.2	Routine Management	Property, assets, buildings (Minor)
11.6.1	Security	Building and facilities (Minor)
11.6.2	Security	Building and facilities (Significant)
11.7.2	Site Plans and building Details	Non-university property
11.9.1	Sustainability Management	Management and quality
11.11.1	Tenanted University Properties	Management
11.12.2	Traffic Management	Management
11.13.1	Vehicles	Maintenance

**Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
11.8.1	Stores, supplies, fixtures, fittings and plant/equipment	Installation, maintenance, storage
11.10.1	Tea Room, Cafeteria and food Service Facilities	Administration and maintenance
11.12.1	Traffic Management	Administration

**Criterion D3 Records documenting minor/administrative projects that have low-level effect on University operations and the day to day establishment/maintenance/reporting of all projects**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
11.2.1	Construction, Works and Engineering	Projects (Minor)

## 8.12 Public Affairs and Communications Records

**Class Title:** Public Affairs and Communications Records

**Class number:** 12

**Class Description:** This class covers records that concern how universities communicate with external agencies and promote their organisation to the wider public.

**Value:** Records documenting key stakeholder relations and significant marketing campaigns are recommended for retention as they provide long-term informational and evidential value of the universities relationship with the wider community and the methods used to promote their organisations.

Universities are recipients of donations, gifts and bequests and details of these are required to be retained in perpetuity to ensure that the conditions of the donation or bequest are retained. Note that the financial management of this activity is covered in Class 4.

Other records (such as those records that facilitate the public relations process) are mainly low-level/administrative/facilitative, and therefore do not have any long-term evidential or informational value.

Recommended for retention as public archives

### **Criterion A3 Records documenting high level corporate/stakeholder relationship issues, For example, discussions, meetings, negotiations, agreements and inquiries**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.9.2	Government Relations	Major
12.10.2	Liaison with External Parties	Stakeholder relations significant
12.21.1	Visits from Overseas Parties	Significant

### **Criterion A7 Records documenting the development and provide the final copy of policies and procedures that are key or wide-ranging in nature and have a significant and ongoing business and/or compliance impact**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.17.1	Privacy Act Requests and Complaints	Requests and complaints that set precedent

### **Criterion A8 Records documenting the policy, procedures, planning and reporting of significant processes and activities within a University**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.3.3	Campaigns	Significant
12.7.2	External Communications	Produced by university (Significant)
12.20.2	Sponsorship	Significant

### **Criterion A9 Records documenting strategic planning and funding of trust funds, bequests and donations managed by the University**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.5.2	Donations, Gifts and Bequests	Presented or received by universities (Significant)

**Criterion A12 Records that provide summarised versions of information held elsewhere in a less consolidated form**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.15.1	Photographic Records	Registers and Indexes

**Criterion A15 Records documenting the significant development, control and operations of key functions within a university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.15.2	Photographic Records	Staff and students
12.15.3	Photographic Records	Celebrations, Public Events, Publicity Material Events of significance to the university and its development and interaction with the broader community for example opening centres, events of academic significance etc.

Recommended for destruction

**Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.1.1	Administration	Financial
12.2.2	Alumni	Communications
12.4.1	Complaints	Minor
12.7.1	External Communications	Produced by University (Minor)
12.10.1	Liaison with External Parties	Exchange agreements
12.11.1	Market Research	Significant
12.12.1	Media	Monitoring
12.12.2	Media	Relationships
12.14.1	Official Information Act	Requests
12.17.2	Privacy Act Requests and Complaints	Requests that set no precedent

**Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.1.2	Administration	Non-financial
12.2.1	Alumni	Administration
12.2.3	Alumni	Events
12.3.1	Campaigns	Administration
12.5.1	Donations, Gifts and Bequests	Presented or Received by University (Minor)
12.6.1	Enquiries	Routine information requests from public
12.7.3	External Communications	Received by University
12.9.1	Government Relations	Minor
12.10.3	Events Management	Administration
12.13.1	Messages of Condolence, Appreciation, Greeting, Congratulation, etc	Either produced or received by the University
12.15.4	Photographic Records	Image Libraries
12.15.5	Photographic Libraries	Photographs/negatives condition is expired
12.16.1	Professional Associations	National and international professional associations
12.18.1	Public Lecture Series	Administration
12.20.1	Sponsorship	Minor

**Criterion D3 Records documenting minor/administrative projects that have low-level effect on university operations and the day-to-day establishment/maintenance/reporting of such projects**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.3.2	Campaigns	Minor
12.8.1	Fundraising	Fundraising Campaigns

Retain Permanently

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
12.9.1	Publications	In-house

### 8.13 **Research Management Records**

*Class Title:* **Research Management**

*Class number:* 13

*Class Description:* This class covers records that document the management of university research in all its forms. The records range from the documentation of past research and historical records to current research and its management.

As noted previously in this report, the records of the research itself are excluded from the scope of this GDA, so this class refers only to the management of research processes.

Research undertaken in the universities is usually coordinated by a research division or unit. Research proposals are submitted to the research division, and a process of review undertaken before the proposal is approved. Records of the management of research include proposals, reviews, approvals, funding allocation records, budgets, project milestone and progress reports. Unsuccessful research proposals records are generally kept separately from the successful proposals.

Management of research includes processes to ensure that research is undertaken ethically and safely, generally undertaken by an Ethics Committee that reviews and approves research proposals.

Some universities undertake particular forms of research, such as animal research at Massey University, or anatomy research at the University of Otago. Specific records are created for this form of research. Animal research administration requires licensing, veterinary treatment, and breeding management records to be kept. Anatomy research requires registers of specimens, and records of their storage, management and disposal to be kept.

Medical schools may receive bequests of bodies or body parts to be used in research. The records of bequests have been included in this class.

Note that records relating to radiation and radioactive materials are included as these processes are used in some university laboratories. The retention periods align with those recommended by the National Radiation Laboratory.

The Performance Based Research Fund (PBRF) is managed by the Tertiary Education Commission (TEC) and provides funding for universities based upon their research performance. Evidence portfolios of individual academics are produced by the universities, usually coordinated by the research divisions, to be submitted to the TEC. These may include what are known as 'peer esteem' information, which are evaluations of researchers by their peers.

This class also covers the records of the management of university intellectual property. Research projects may result in the need to register a patent, copyright or other ownership of a product or process. Once ownership has been established, records are also kept of use of the intellectual property, such as licensing agreements, contracts, or other arrangements.

**Value:** Most of the records in this class do not have long-term value. Most are low-level administrative or facilitative in nature (i.e. research facilitation), or are routine operational records, such as the anatomy and specimen management, animal research administration records and ongoing project reporting.

The substantive record of the PBRF process is held by the TEC, which has all the submissions and the review and approval process, while the universities only hold the records of their submissions and correspondence with TEC.

Records of body bequests have been recommended for retention as public archives, in line with the recommendations for significant bequests under the Public Affairs and Communications class.

Records of the formal protection of intellectual property by the university have also been recommended for retention.

Recommended for retention as public archives

**Criterion A5 Records providing proof of an event or agreement documenting the rights/legal interests/obligations of the university or permit the settlement of legal claims**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
13.5.1	Product Management	Management of Intellectual Property
13.3.3	Facility Management	Body Bequests

Recommended for destruction

**Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
13.1.2	Administration and Management	Unsuccessful applications
13.2.1	Ethics and safety	Assessment and approval
13.3.1	Facility Management	Animal research administration
13.3.2	Facility Management	Anatomy and Specimen management
13.3.4	Facility Management	Laboratory/Field Station administration
13.4.1	Performance Based Research Fund	Administration and management
13.5.2	Product Management	Use of intellectual property
13.6.1	Radiation and Radioactive Materials	Records of radioactive materials
13.6.2	Radiation and Radioactive Materials	Records of transfer of material to another licensee
13.6.3	Radiation and Radioactive Materials	Use of x-ray analytical equipment
13.6.4	Radiation and Radioactive Materials	Radiation Safety Plan
13.6.5	Radiation and Radioactive Materials	Radiation Dose Records

**Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
14.2.4	Disciplinary matters	Administration
14.3.1	Enrolment	Administrative arrangements

**Criterion D3 Records documenting minor/administrative projects that have low-level effect on University operations and the day to day establishment/maintenance/reporting of such projects**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
13.1.1	Administration and Management	Records relating to the administration of approved projects

## 8.14 Student Administration

**Class Title:** Student Administration

**Class number:** 14

**Class Description:** The student administration class covers the key functions of the administration and management of students. Under section 225 of the Education Act 1989 universities are required to keep records that show

*(a) The progress of each student at the institution (including the principal results achieved by the student) in his or her course of study or training; and*

*(b) Particulars of any allowances, grants, or other payments received by each student at the institution in respect of his or her course of study or training out of public money appropriated by Parliament.*

While the Act states requirements for recordkeeping it does not specify any specific retention period for retaining these records.

This class of records covers all phases of student administration from enrolment through to graduation. The administration of student records has changed over time and the traditional process of a student “registry” holding all information on one student no longer applies in some universities. This means that there is a variation in the way student records are compiled; e.g. while an institution may have a paper file containing all information on the student (these are usually inherited from the predecessor agency) the most common current practice is to have a “virtual” electronic student record with various activities being captured in recordkeeping databases within the system. The schedule has been designed to take these variations into account.

Despite the variations in recordkeeping practices for student records over time and across universities, the “core” student record; i.e. the academic transcript remains the same. Universities can receive up to 1000 requests per month for copies of an individual student’s academic transcript.

**Value:** Records documenting the criteria for accepting students are recommended for retention as they are of a high evidential and informational value demonstrating both the policy and how it changes over time.

High-level policies in the management of graduation ceremonies and the development and granting of scholarships are recommended for retention as they document a key function of universities.

Minor disciplinary hearings are usually dealt with by the department/faculty and are recommended for destruction as they are short-term value. Major disciplinary hearings are dealt with by the Council's disciplinary committee and are recommended for retention.

A high number of scholarships are administered by the universities and NZVCC. Records detailing the establishment of the scholarships and a master list of recipients are recommended for retention.

As noted above, there are a significant number of requests for the student academic record. These records may be requested for a variety of reasons, including employer checks, visa applications or family history. There is an expectation from the requestors that the university will hold this information and will be able to supply it at relatively short notice.

Recommended for retention as public archives

**Criterion A8 Records documenting the policy, procedures, planning and reporting of significant processes and activities within a University**

Ref	Sub-Class	Description of record
14.1.1	Admissions	Criteria

**Criterion A15 Records documenting the significant development, control and operations of key functions within the University**

Ref	Sub-Class	Description of record
14.2.1	Disciplinary Matters	Disciplinary hearing where allegations investigated and found to be supported (Serious)
14.5.5	Graduation	Graduation protocols
14.5.6	Graduation	Honorary degrees
14.7.2	Scholarships/Awards/Bursaries/Fellowships	Master list
14.7.3	Scholarships/Awards/Bursaries/Fellowships	Establishment

**Criterion A16 Records documenting core information on student academic attendance and performance**

Ref	Sub-Class	Description of record
14.5.2	Graduation	Register of Graduates
14.5.4	Graduation	Graduation programme
14.13.1	Transcripts/Final Reports	Student Academic Transcript/Final Results

Recommended for destruction

**Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
14.1.2	Admissions	Applications – successful
14.1.3	Admissions	Applications – unsuccessful
14.2.2	Disciplinary Matters	Disciplinary hearing where allegations investigated and found to be supported (Minor)
14.2.3	Disciplinary Matters	Not proceeded/no offence
14.3.2	Enrolment	Enrolling and registering
14.3.3	Enrolment	Student identification
14.4.1	Fees	Schedules of fees set
14.5.1	Graduation	Approval to graduate
14.6.1	Employment services	Industrial/practical work experience
14.7.1	Scholarships/Awards/Bursaries/ Fellowships	Applications and Nominations
14.7.4	Scholarships/Awards/Bursaries/ Fellowships	Management
14.8.1	Student Exchange Programmes	Applications
14.8.2	Student Exchange Programmes	Agreements
14.9.1	Student Recruitment	Marketing
14.10.1	Student Record Maintenance	Additions/amendments to student record
14.11.1	Student Visas	Visa applications for International Students
14.11.2	Student Visas	Pastoral Care
14.12.1	Timetabling	Compilation
14.13.2	Transcripts/final reports	Requests

***Criterion D2 Records documenting routine administration matters***

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
14.2.4	Disciplinary Matters	Administration
14.3.1	Enrolment	Administrative arrangements
14.5.3	Graduation	Graduation ceremony

## 8.15 Student Services

**Class Title:** Student Services

**Class number:** 15

**Class Description:** Records documenting the provision of services to students either by the university or by an entity that has an agreement or contract with the university to supply such services.

**Value:** Universities offer a variety of services to students either directly or via contractual arrangements. These services include accommodation, health, counselling and support. Most of the records do not have long-term value as they are largely administrative or facilitative in nature.

The retention periods for health information created by Health and Counselling services are based on the disposal periods and actions outlined in the approved General Disposal Authority for District Health Boards. University health services are frequently asked to transfer records to a student's GP once the student has left the university. A provision for discharging health records has therefore been included in the disposal action and a separate agreement for this will be made.

Recommended for retention as public archives

None

Recommended for destruction

### **Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
15.1.2	Accommodation	Management
15.2.2	Child Care Services	Application and Selection
15.2.3	Child Care Services	Client Management
15.2.4	Child Care Services	Learning and Development
15.3.1	Financial Support	Management and Administration
15.4.1	Health Services	Appointment Registers
15.4.2	Health Services	Patient Files
15.4.3	Health Services	Prescription/drug management
15.5.1	Orientation	Planning and Management
15.6.1	Recreational Services	Management
15.7.1	Support Services	Management

### **Criterion D2 Records documenting routine administration matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
15.1.1	Accommodation	Administration
15.2.1	Child Care Services	Administration

## 8.16 University Marae Records

*Class Title:* **University Marae**

*Class number:* 16

*Class Description:* A number of universities have a marae on Campus. The marae have been established relatively recently and provide a tūrangawaewae (a standing place where Māori custom prevails) for the students and staff of a university to promote, disseminate and maintain the use of te reo and tikanga Māori.

A primary role of the marae is to be a support facility that enhances the teaching, learning and cultural needs of Māori at the university.

Many of the marae are also available for use by non-university groups for a wide number of purposes. For example the Te Herenga Waka Marae at Victoria University is one of the busiest marae in the country, hosting not only students and staff of the university but a variety of events including hui, symposiums and other events.

*Value:* Records created by a marae can be found in the various classes of the GDA. However it is recommended that records created by university marae be treated as a separate class and be subject to appraisal. This recommendation is based on the following:

1. In the past there has been little in the way of formal recordkeeping for marae records. While formal recordkeeping practices have been introduced, in some instances there may only be a small number of records relating to the marae for a certain number of years. The relatively recent establishment of marae means that these records would not be covered by the Historical Records class.

2. The records of a marae provide a wider context about its history and use. For example, finance records contain details on koha, event records provide details on the ceremony, such as the powhiri performed, contracts provide details on the interaction with iwi and committee minutes provide details on the management and administration of a marae.

If the other GDA classes were applied without first considering the records in a wider context it is possible that valuable records could be lost. It is therefore recommended that records in this class be retained for appraisal by the university.

## 8.17 University Press Records

**Class Title:** University Press

**Class number:** 17

**Class Description:** A number of universities have a University Press which operates similarly to a publishing house and produces books for the academic and general market.

**Value:** Book files are recommended for retention. These contain author correspondence, agreements with the author, other publishers, etc and provide a potted history of the publication of a book and its editions over time as well as the publisher's relationship with the author. The catalogues provide a useful resource of books published and are also recommended for retention

Manuscripts of books, drafts and proof copies are of short term value and are recommended for destruction.

Recommended for retention as public archives

### **Criterion A15 Records documenting the significant development, control and operations of key functions within a university**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
17.1.1	Book files	Files on every book published by the University Press
17.1.2	Catalogues	Catalogues of books published by the Press

Recommended for destruction

### **Criterion D1 Records documenting routine operational and legal matters**

<i>Ref</i>	<i>Sub-Class</i>	<i>Description of record</i>
17.1.3	Manuscripts of books, drafts and proof copies	

## **9. Access Recommendations**

Access restrictions will be negotiated between the individual universities and the Chief Archivist.

Refer to any sentencing guidelines accompanying this report for specific recommendations:

- Records must be kept for the minimum period specified.
- Records may be destroyed at any point once the minimum retention periods have passed. Records do not have to be destroyed; the agency may keep them for longer if required.

**This authority is valid for a period of 10 years from date of signing, unless previously agreed with the Chief Archivist.**