

General Disposal Authority for New Zealand Universities

Implementation Guide

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Overview

This Implementation Guide is designed to assist university staff in applying retention and disposal decisions from the New Zealand Universities General Disposal Authority (GDA) to their record holdings.

The purpose of the guide is to assist universities in implementing the GDA and provide advice on frequently asked questions. It is not intended to replace detailed planning and step by step instructions that each university will need to create in relation to its own circumstance and resources. It is also not designed to duplicate guides and best practice documentation already released and made available by Archives New Zealand.

The guide is divided into four parts.

Part One	Scope and Background of the GDA
Part Two	Quick Reference Guide to Implementing the GDA
Part Three	Detailed Guide to Implementing the GDA
Part Four	Frequently Asked Questions

If you discover records documenting functions or activities that are not covered in the GDA then contact the nearest Archives New Zealand Office for advice.

It is important to note that if any records relate to a legal action or dispute that is pending then these records cannot be destroyed.

It should also be noted that Archives New Zealand is currently developing standards for the Creation and Maintenance of Records and Metadata Standards. These Standards are likely to impact on some aspects of the implementation and the Guide will be updated once the Standards have been approved by the Chief Archivist.

If you have a question about the implementation of any aspect of the GDA, contact: The Appraisal Section of Archives New Zealand at appraisal@archives.govt.nz.

General information on recordkeeping requirements and contact details are also located on Archives New Zealand's website: www.archives.govt.nz.

1. Scope and Background of the GDA

1.1 Public Records Act 2005 and Its Application to Universities

The Public Records Act 2005 now formally covers certain records created and received by New Zealand universities. Under the Act it is illegal to destroy public records without the written authority of the Chief Archivist. The GDA is the legal instrument to allow on-going authorised disposal. It enables universities to identify which records they need to transfer to Archives and which records can be destroyed.

1.2 About the GDA for New Zealand Universities

The GDA was developed following wide consultation with all universities and the NZVCC.

The GDA:

- identifies classes or types of records and assigns retention periods and disposal requirements to the classes
- provides a timetable that sets out what happens to records over time
- enables retention decisions to be made quickly over a range of records, reducing the need for appraisal
- assists in the efficient management of records once they have become inactive

1.3 Purpose of the GDA

- To ensure that the university's non-current records are efficiently maintained, and legal obligations for records retention are complied with
- To ensure that the non-current records of a university are safely stored and available to university staff, so that the university can perform its work in a timely and informed fashion
- To ensure that the records of permanent value to the university are preserved
- To ensure that the university retains those records that are essential to ongoing business requirements
- To facilitate effective use of financial and staff resources by ensuring that only necessary information is maintained by the university and accessed by staff
- To ensure the effective ongoing management of records storage in the university, so that the university's responsibilities for any costs associated with records storage are clearly identified and accurately apportioned

2. What Records Are Covered by the GDA for NZ Universities?

The GDA applies 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 are also covered by the GDA.

Subsidiaries of universities are covered by this GDA 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 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.

The GDA divides the records covered by the schedule into 17 main classes. These classes are listed below in alphabetical order with descriptions of their coverage.

Class Title	Description of coverage
1. Administration	Records covering distinct corporate administrative processes. This class also covers housekeeping records that are duplicated in some form, as well as superseded administrative instructions. (For administration relating to other activities and functions, see under the relevant class or sub-class heading).
2. Audit and Quality Management	Records covering compliance, auditing and risk management requirements (both internal and external) relating to university processes.
3. Collections Management	Records covering the management of collections of art, private records, museum specimens and other objects

	which are owned by the university, or on loan to the university.
4. Financial and Accounting Records	Records covering financial and accounting processes and activities within the university, from group level to university-wide.
5. Governance	Records covering high-level corporate governance; that is, information that relates to the top-level decision-making processes within the university, and how they are carried out.
6. Historical Records	Records created or received by the university that are dated prior to 1946.
7. Human Resources	Records covering the recruitment, monitoring, training, support etc of university employees.
8. Information Management Systems and Services	Records covering the creation, monitoring, maintenance, administration, etc of information technology, information systems (including records, library management), information control systems and mail and distribution management.
9. Legal	Records covering legal activities and processes by/for the university such as legal monitoring of issues and incidences that have impact on the university business and maintenance of legal agreements, contract management, etc.
10. Management of Academic Programmes	Records covering the management of courses of study. Note: this excludes teaching materials, academic research, articles and data.
11. Property and Facilities Management	Records related to the planning, design, construction, maintenance and management of the university's built environment and associated operational services.
12. Public Affairs and Communications	Records covering the university's communication with external agencies in official or promotional ways
13. Research Management	Records covering activities associated with managing and administering research.
14. Student Administration	Records covering the administration and management of students.
15. Student Services	Records covering the provision of services to students either by the university or an entity that has an agreement or contract with the university.

16. University Marae

Records covering the administration and management of university marae.

17. University Press

Records covering the commissioning, editing and publication of books by the University Press.

3. What Records Are Exempted from the GDA?

The following types of records are **not** included in the coverage of the Public Records Act 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.

4. Format of the GDA and Terms Used

Format of the GDA

The GDA spreadsheet has the following fields and entries:

Field	Content
Class	The retention and record class to which a record may belong.
Sub-Class	The type of record – this entry will be either a particular record type or an activity.
Description	A description and some examples of the types of records to be found in the class/record type.
Disposal Action	What should happen to the record once it is non-current and its retention period is complete. Disposal does not mean destruction – it means disposition: ‘what happens to it’.
Minimum Retention Period	The retention period for the record prior to destruction or archiving. <i>Note, in the case where records are recommended for destruction, universities are able to continue to hold these records past the recommended retention period.</i>

Terminology

What is meant by Disposal?

Disposal recommendations are the recommendations for what should happen to the record once it is non-current and its retention period is complete. Disposal does not mean destruction – it means disposition: “what happens to it”.

An explanation of the disposal actions is outlined below:

Appraise	The disposal cannot be determined without examination of the records. The appraisal recommendations for the records must be approved by the Chief Archivist before disposal can take place.
Destroy	The record may be destroyed by an approved method; for example secure shredding, deleting the record from a database, deleting the record from a shared drive once the retention period is complete.
Archive	The record is of permanent value and once the retention period is complete will be transferred to Archives.
Retain permanently	This material is identified as being of permanent value to the university but does not meet 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 to be applied to publications. 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.

5. Quick Reference Guide to Steps for Implementing the GDA

STEP 1 Roles and responsibilities established

- | | | |
|-----|---|--------------------------|
| 1.1 | Role for overall authority for the disposal of records established | <input type="checkbox"/> |
| 1.2 | Role for management and co-ordination of implementation established | <input type="checkbox"/> |
| 1.3 | GDA Primary Contacts throughout the university identified | <input type="checkbox"/> |
| 1.4 | Training for implementing the GDA developed and delivered | <input type="checkbox"/> |
| 1.5 | Communications plan developed and implemented | <input type="checkbox"/> |

STEP 2. Record holdings, owners and format identified

- | | | |
|-----|--|--------------------------|
| 2.1 | Audit of ALL records held or owned by the university completed | <input type="checkbox"/> |
| 2.2 | “Owners” of record classes agreed | <input type="checkbox"/> |
| 2.3 | “Official” record identified | <input type="checkbox"/> |
| 2.4 | Non-current records identified | <input type="checkbox"/> |

STEP 3. All relevant records listed

- | | | |
|-----|---|--------------------------|
| 3.1 | Quality control measures established | <input type="checkbox"/> |
| 3.2 | All relevant records located and listed to standard | <input type="checkbox"/> |

STEP 4. GDA applied to record holdings

- | | | |
|-----|---------------------------------------|--------------------------|
| 4.1 | Relevant classes identified | <input type="checkbox"/> |
| 4.2 | Mapping to records structures applied | <input type="checkbox"/> |

STEP 5. Retention periods applied

- | | | |
|-----|---|--------------------------|
| 5.1 | Appropriate retention periods identified | <input type="checkbox"/> |
| 5.2 | Disposal actions and retention periods added to lists | <input type="checkbox"/> |
| 5.3 | Suggested disposal action authorised | <input type="checkbox"/> |
| 5.4 | Records for deferred deposit identified | <input type="checkbox"/> |
| 5.5 | Archives New Zealand notified of the access status of all records over 25 years old | <input type="checkbox"/> |

STEP 6. Records separated according to disposal action

- | | | |
|-----|--|--------------------------|
| 6.1 | Records for destruction and archiving physically separated | <input type="checkbox"/> |
|-----|--|--------------------------|

STEP 7. Records transferred to Archives

- 7.1 Archives contacted
- 7.2 Records located and listed to Archives New Zealand listing standards
- 7.3 Access decisions for restricted records confirmed
- 7.4 Records boxed and box number noted on list
- 7.5 Relevant documentation signed
- 7.6 Physical transfer arranged
- 7.7 Records of what was sent to Archives retained

STEP 8. Records destroyed

- 8.1 Ensure steps 1 – 6 have been completed
- 8.2 Records located and listed to Archives New Zealand Standard
- 8.3 Secure destruction completed
- 8.4 Record of what was destroyed retained

STEP 9. Future GDA implementation considered

- 9.1 Regular implementation timetable developed
- 9.2 Lists of records kept up to date
- 9.3 Continued compliance with Archives New Zealand Recordkeeping Standards

6. Detailed Guide to Implementing the GDA

Step 1 Establishing Roles and Responsibilities for GDA Implementation

1.1 Establish which role has overall authority for the disposal of records

The university must determine who is responsible for authorising the implementation of the GDA.

It is recommended that this person be the Vice-Chancellor or the role designated by the Vice-Chancellor to have the delegated authority within the university.

For further information see

G18: Recordkeeping Essentials for Chief Executives and General Managers (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/g18/g18-public.php>

1.2 Establish which role is responsible for the management and co-ordination of implementation

Ideally a Records Manager should be responsible for managing and co-ordinating the implementation of the GDA. If there is no Records Manager employed it is recommended that this role be assigned to an appropriate position within the university.

For further information see

F7: Fact Sheet – Recordkeeping Responsibilities (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/factsheets/f7.php>

1.3 Establish primary contacts throughout the university

A key contact should be established in each corporate area (for example finance) and school/faculty. They should have a good knowledge of the types of records created and held within their business group.

1.4 Develop and deliver implementation training

Once key contacts have been established, a training programme on implementing the GDA should be developed and delivered. The training can cover areas such as:

- The legal requirements for the GDA
- How the authority was developed
- Terminology used in the GDA
- Steps for implementing the GDA
- Practical exercises

A regular training programme should be put in place to ensure staff continue to receive training in this area.

1.5 Develop and implement a communications plan

It is essential that all university staff understand the requirements of the GDA. A communications plan for delivering information on the GDA should be developed and include:

- Identification of relevant stakeholders
- Key messages
- Appropriate channels of communication.

Options for disseminating information on the GDA include intranet pages, regular meetings and established formats for official reporting. If possible university records management principles, policies and tools (including the GDA) should be covered in the university's induction programme. This would ensure that all new staff are at least aware that there is policy governing the disposal of records and who to contact about this.

Responsibilities and 'who to go to for advice' should be clearly established and promulgated.

Step 2 Establishing What Records Exist (including their formats)

2.1 Undertake an audit of all records held or owned by the university

An audit should be undertaken to determine:

- What records exist
- Where the records are held
- How and when the records are created and subsequently used
- Whether the records are listed
- Whether the lists are accurate and appropriately detailed

There are two approaches which can be used in combination depending on the circumstances;

Record Centric Approach

For electronic records, the audit should cover shared drives, personal drives, email applications, databases and electronic storage media (floppy discs, CDs and DVDs, flash drives). It is unlikely that Information Technology Services will be able to provide much information on content but they should be able to provide high-level technical information about databases, email, and shared and personal drives.

Areas to be checked for physical records include file rooms, filing cabinets, offices, corridors, basements, attics, outbuildings, off-site storage, and any other miscellaneous locations

Business Centric Approach

Identify the business processes within the organisation and analyse each process to determine which records are (or should be) created by the process and which records are used or updated by the process.

The audit should include records from those subsidiaries that are more than 50 percent held or controlled by the university.

2.2 Identify the “owners” of each class of records

It is important to identify which part of the university is responsible for “owning” particular classes of records. The “owner” will be responsible for maintaining the complete and accurate official record. For example, the Finance Group may be deemed to be the owner of all records in the Finance class. Finance records held by other parts of the university can then be considered copies or duplicates and can be destroyed accordingly.

Once “owners” have been established this should be documented as part of the university’s Records Management Policy so that there is transparent accountability for the management (including disposal) of those records.

2.3 Determine which is the official record

Once the formal owner of the class of records has been identified, it is necessary to determine what is the “official” record. It is important to note that it is the content and context and not the format of a record that matters in terms of retention, so that whether the record is in paper or electronic form is not the central consideration when applying the GDA.

Considerations of format play a part in ensuring the preservation of the record over time, not in determining its value for retention purposes.

Electronic format as the official record

If a university is intending to maintain a record in electronic format and it is of permanent value, then it must ensure that the record will remain accessible and complete over time. This means that databases and electronic document and records management systems (EDRMS for example) must be built in such a way that their contents can be migrated to new platforms over time without loss of content, context or metadata.

Digitised records as the official record

If a university is considering digitising hard-copy originals and retaining the electronic version as the official record, the requirements of the Electronic Transactions Act 2002 (ETA) must be met before source documents can be destroyed.

The ETA provides that certain paper-based legal requirements may be met by using electronic technology that is functionally equivalent to those legal requirements (Part 1, s.3 Purpose).

The provisions of the PRA must also be met for the new digitised version of the records before source documents of archival value are destroyed. Therefore the integrity and completeness of the electronic record must be maintained permanently, and the electronic record must continue to be accessible over time.

Therefore when electronic systems are upgraded, the archival value records held in that format must be able to be migrated without loss of any information that provides content, context and completeness.

The Archives NZ Recordkeeping Framework identifies the organisational environment and business practices that should be in place in order to ensure that the integrity of the information is maintained once it is transferred to electronic format.

Any university considering the destruction of paper originals that have been digitised should consult the ETA to ensure that the records are not created under enactments or provisions of enactments excluded from Part 3 of the ETA.

For further information

Archives New Zealand has developed a best practice standard for digitisation of records. This standard provides practical advice on meeting the ETA requirements, including managing source documents and criteria for making disposal decisions.

The standard is available from Archives New Zealand:

<http://www.archives.govt.nz/continuum/documents/publications/s6/>

It is accompanied by a General Disposal Authority for Digitised original source records:

<http://www.archives.govt.nz/continuum/documents/publications/gda5/>

Maintaining both electronic and paper copies of information

If a university is maintaining both electronic and paper copies of a record that is recommended for destruction under the GDA, then the disposal action of destruction applies to both formats. This means if one particular format is perceived to hold the “original” or authoritative record, the same disposal action should be applied to the same records in another format.

For example, an EDRMS holds electronic duplicates of paper documents such as correspondence about student accommodation, which are recommended for destruction. The paper records are destroyed; therefore the electronic duplicates should also be destroyed (i.e. removed from the EDRMS and deleted).

For further information see:

Electronic Transactions Act 2002

S5 Electronic Recordkeeping Systems Standard (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/s5/>

F10 Email (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/factsheets/f10.php>

A3 Digitising records – your Legal Obligation Regarding Original Records (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/factsheets/f6.php>

G3: What to Consider Prior to Implementing an IT “Solution” to a Recordkeeping Problem (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/g3/>

G20: Guide to Developing Recordkeeping Standards for Websites (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/g20/>

2.4 Non-current records identified

The retention period only applies once the record has become non-current, or inactive.

There are triggers that determine when the retention periods and disposal recommendations can be applied to the records, such as when the file is closed or when an activity is complete. This effectively means that a record is closed when no more material is being added to it (it may still be being accessed for reference purposes).

Potential trigger points for records to become inactive will depend upon the activities and transactions they record. Some typical trigger points for change in status are:

- Project completed
- End of financial year
- Policy approved/signed off
- Working group wound up
- End of calendar year
- End of specified period of time in which the record had to be added to
- Property is sold, or lease expires and is not renewed
- Building is demolished
- Contract expires and is not renewed
- Licence expires and is not renewed
- Litigation case is heard, a judgment is made and the appeal period is over
- Employee has left employment
- Vacancy is filled
- Physical item (e.g. car) is sold, disposed of, or otherwise written off

In the case of hard copy policy or correspondence subject files, where volumes or parts are simply added as work continues, it is acceptable to determine that a physical volume or part becomes non-current when it is full and has been closed.

In the GDA the trigger point is generically described as 'date of last action' as it is not possible in the GDA to identify the precise trigger point for each type of record. However, the trigger points listed above provide some guidance. The general rule to remember is that records are developed to record activities, processes, or transactions and thus become inactive when that activity, process or transaction ceases, or at a specific time determined by the activity or process.

Step 3 Documenting all Unlisted Physical Records

3.1 Quality control measures established

A methodology for locating and listing all records should be developed. The methodology should cover areas such as:

- Who should list
- Supervision of listers
- How to locate the records
- How to list
- What details to list
- Checking of completed lists
- How to amend lists

3.2 All relevant records located and listed to standard

All records must be located and unlisted records listed. Areas to check for record holdings are:

- Off-site storage facilities
- In offices (excluding working notes and personal records), corridors, basements, out-buildings and other miscellaneous locations
- Offices of subsidiaries which are covered under the GDA
- Shared drives, personal drives, email applications and databases

Any listing templates used should adhere to the Archives New Zealand standard for listing.

It is recommended that the same listing process be used for records that will be destroyed as for those that are retained as archives so that a clear record of compliance is established.

For further information see:

Transfer List Template (Continuum)

<http://www.archives.govt.nz/continuum/documents/trans-list-temp.xls>

G2 Preparing Records for Transfer: A Guide to Listing and Boxing (Continuum).

<http://www.archives.govt.nz/continuum/documents/publications/g2/>

Step 4 Applying the GDA to Record Holdings

4.1 Relevant classes identified

A university should ensure that all of its records are covered by the GDA. The GDA has been developed for eight universities and while every effort has been made to ensure all activities of all of the universities are covered, it is possible that some additional functions and activities will be developed by individual universities over time.

If a university discovers records documenting functions or activities that are not covered by the GDA, it should contact the nearest Archives New Zealand Office for advice.

4.2 Mapping to records structures applied

Once relevant classes have been identified a cross reference to the relevant sections of the university's records structure should be applied.

Step 5 Applying Retention Periods

5.1 Appropriate retention periods identified

Employees who are responsible for applying the GDA should have a good level of understanding of the GDA and supporting documentation. If employees are applying retention periods there should be close oversight and support from GDA primary contacts.

Appropriate feedback processes should be in place between the employees and GDA primary contacts so any areas of uncertainty can be discussed.

If GDA primary contacts are applying retention periods, establish a review process between them and the Records Manager.

5.2 Disposal actions and retention periods added to lists

Mechanisms should be developed so that all current and semi-current record lists have an easily identifiable and updateable retention period associated with each record. This should be done regardless of how the records are listed (EDRMS, file cards, Excel spreadsheet, Access database, etc).

Each listed file/record should have a proposed date of destruction or transfer to Archives and a GDA reference number.

The date should be a year date only. It should be the first full year date after the date the record was created. (e.g. if a record was created in November 2000, and it needs to be kept for 7 years then destroyed, the date of destruction will be 2008.)

Processes should be in place so that the disposal dates for files which state "date of last action" can be amended easily if more information is added to the record or if the record is reactivated for further legal / administrative purposes.

An official list should be kept by the university that shows retention periods for all records created / owned by the university. This list should be updated only by someone with a good understanding of the GDA and its implementation requirements.

5.3 Suggested disposal action authorised

Processes to allow GDA primary contacts to check retention periods applied by employees should be developed. Once the list is finalised, approval should be obtained from the Records Manager before retention periods are officially applied to files / individual records.

Processes must be put in place so that retention periods cannot be officially applied to records without the Record Manager's review and approval.

5.4 Records for deferred deposit identified

It is likely that a university may wish to defer the deposit to Archives New Zealand of some classes of records as they are still required for daily business activities. If the university wishes to defer the deposit of these types of records, there must be an agreement in writing between the Vice-Chancellor and the Chief Archivist that the transfer of these records may be deferred for a specified period.

It should be noted that a university must have access and storage conditions approved before permission for deferred deposit is given by Archives New Zealand. These storage conditions must meet the Archives New Zealand Storage Standard.

The deferred deposit agreement may be renewed for a further specified period by agreement between the Vice-Chancellor and the Chief Archivist.

Steps 7 and 8 should be applied when the records are finally to be transferred to Archives.

For further information see

S4: Access Standard

<http://www.archives.govt.nz/continuum/documents/publications/s4/>

S2: Storage Standard

<http://www.archives.govt.nz/continuum/documents/publications/s2/>

5.5 Archives New Zealand notified of the access status of all records over 25 years old

Under the Public Records Act, a University must inform the Chief Archivist of the access status of any records covered by the GDA that are over 25 years old.

This requirement covers both deferred records identified for eventual transfer to Archives *and* records identified for eventual destruction.

For further information see

A6: Advisory Notice: Making Access Decisions Under the Public Records Act

<http://www.archives.govt.nz/continuum/documents/publications/a6/>

Step 6 Separating Records According to Disposal Action

6.1 Records for destruction and archiving physically separated

Physical disposal is the process of putting into practice the disposal action (i.e. destroy the record or transfer it to Archives) listed on the GDA. This happens ONLY to records, which have been closed – that is, are no longer being added to and have been retained for the period outlined in the GDA.

A record-by-record separation process must be carried out

- For the transfer of records to Archives New Zealand, go to step 7.
- For the destruction of records that are not to be transferred to Archives New Zealand, go to Step 8.

For further information see

F2 Fact Sheet: What is Disposal? (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/factsheets/f2.php>

Step 7 Transferring Records to Archives

7.1 Archives Contacted

Archives New Zealand operates a planned transfer programme. The Records Manager (or equivalent) should contact the relevant Archives New Zealand office *before* arranging a transfer so as to negotiate a transfer date for the records. Note – in many instances it will be necessary to ‘book in’ when the university is likely to transfer records.

7.2 Records located and listed to Archives New Zealand listing standards

All lists associated with the records designated for transfer should be located (based on lists developed in steps 2, 3, 4) and checked to see that they meet Archives New Zealand’s listing standard.

For further information see

Transfer List Template (Continuum)

<http://www.archives.govt.nz/continuum/documents/trans-list-temp.xls>

G2 Preparing Records for Transfer: A Guide to Listing and Boxing” (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/g2/>

7.3 Access decisions for restricted records confirmed

Restriction and access information must be clarified for each restricted record (or series/group of records) to be transferred to Archives; i.e it must be determined whether the records will be open to public access or subject to restrictions.

A process should be developed to ensure that restrictions are consistent, equitable and approved by the Vice-Chancellor with the advice of either the Records Manager/GDA Manager and the GDA primary contacts, and/or the Privacy/Risk Managers. These restrictions must be agreed with Archives New Zealand and should comply with the Archives New Zealand Advisory Notice A6 “Making Access Decisions”.

Note: The principles of other Acts relating to access (e.g. the Privacy Act) do not override the Public Records Act.

Once restrictions have been agreed they should be documented and available if employees need to consult them. The appropriate restriction information should be indicated beside each restricted record. (See step 3.2).

For further information see

A6: Advisory Notice: Making Access Decisions under the Public Records Act (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/a6/>

S4: Access Standard (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/s4/>

7.4 Records boxed and box number noted on list

Ensure boxing is carried out to Archives New Zealand's transfer standard.

For further information see

G2: "Preparing Records for Transfer: A Guide to Listing and Boxing" (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/g2/>

7.5 Relevant documentation signed

A process must be established so that the Records Manager and GDA Primary Contacts are aware of and approve all transfers of records to Archives. It is recommended that individual employees should not be able to organise transfers.

Authorities for transfer are to be signed by the Vice-Chancellor or nominated equivalent.

For further information see

S4: Transfer Standard (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/s4/>

F3: Fact Sheet: Transfer Process (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/factsheets/f3.php>

7.6 Physical transfer arranged

Develop processes that ensure a consistent approach to arranging and recording transfers to Archives. The transfer processes should be managed by the individual with the overall responsibility for the GDA. (see step 7.2 above).

Confirm that you are able to transfer the records to Archives (See Step 7.2)

For further information see

F3: Fact Sheet: Transfer Process (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/factsheets/f3.php>

7.7 Records of what was sent to Archives retained

Ensure that all official documentation relating to the transfer (including copies of the lists of the transferred records) is kept within an appropriate records management system.

This documentation should be available for viewing by all university staff.

Ensure that appropriate and designated staff are aware of any loan services that allow authorised staff to 'borrow' back any records transferred by them for limited periods of time under certain conditions.

Step 8 Destroying records that will not be transferred to Archives

Records for destruction can be kept for longer than the retention period outlined in the GDA as this period is a **minimum** period only. A university can choose to store these records past the recommended destruction date until they are no longer needed.

8.1 Ensure steps 1 – 6 have been completed

Checks and balances should be put in place to ensure that the process of disposal is carried out efficiently and consistently.

Review steps 1 to 6.

8.2 Records located and listed to Archives New Zealand Standard

All lists associated with the records designated for destruction should be located (based on lists developed in steps 2, 3, 4) and checked to ensure that the correct records have been separated out for destruction.

8.3 Secure destruction completed

Destruction needs to be carried out in a secure manner so that information is not unintentionally located by or passed on to a third party.

Ensure that the deletion of any electronic records does not impact on the retention of other electronic records and contextual information in accordance with step 2.2.

For further information see

F9: Methods of Destruction (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/factsheets/f9.php>

S5 Electronic Recordkeeping Systems Standard (Continuum)

<http://www.archives.govt.nz/continuum/documents/publications/s5/>

8.4 Records of what was destroyed retained

Ensure that all official documentation relating to the destruction of records (including copies of the lists of the destroyed records) is kept within an appropriate records management system.

This documentation should be available for viewing by all university staff.

Step 9 Considering GDA Implementation for the future

9.1 Regular implementation timetable developed

Implementation should be carried out on an annual basis and steps 1 – 8 reviewed yearly. Retention periods should be applied to records on an ongoing basis.

If new records are created, the GDA should be consulted and the retention period and final disposal action added to the lists.

The GDA should be adopted by the university as a high-level policy document.

Successful ongoing implementation of recordkeeping processes is dependent on consistent and continuing application. Establish a timetable of events (such as a yearly check for records that need to be closed, a yearly check for records that need to be destroyed, transferred, etc.).

Review the implementation guide and support package yearly to ensure that all employees understand their recordkeeping responsibilities.

9.2 Lists of records kept up to date

Ensure all records are listed and develop standards, guidelines, and responsibilities for list updates to ensure consistency.

Staff should be encouraged by Management, the Records Manager, and GDA Primary Contact etc to help maintain and add to lists. Ensure that the implementation timetable is owned and supported by university management

9.3 Continued compliance with Archives New Zealand Recordkeeping Standards

Keep up to date with record-keeping standards and changes. Archives New Zealand holds regular Recordkeeping forums and updates are provided on the Archives New Zealand website.

Monitor any amendments to existing legislation in terms of recordkeeping compliance.

Contact Archives New Zealand with any recordkeeping questions.

For further information see

<http://www.archives.govt.nz/continuum/faqs.php>

7 Frequently Asked Questions

The GDA says that records must be retained for a set period of time prior to destruction. I keep these records for a longer period of time. Can our university do this?

You can keep records for as long as you like, or for as long as space dictates. However, you MUST NOT destroy or dispose of a record before the retention period stated in the GDA expires. The period stated in the GDA is the MINIMUM the record class must be retained for from the date of last action.

What is meant by “date of last action”?

This relates to the last action that has taken place – it can vary according to the type of activity being recorded but some examples include:

- Date of the last paper on file
- Date of last transaction recorded in the database/document management system
- Date of sign-off of a policy
- Date that a selection process is completed
- End of a financial year

There are examples of records in the GDA that we do not make, for example logs of incoming mail. Do I have to make these records?

No.

Examples of records are given to illustrate the types of records that fall into the class. The GDA only applies to records that your organisation creates. Of course if there is a business reason to create these records, then they should be created.

What is the difference between retain permanently and archive?

There are some records that universities have noted as crucial to their business that Archives New Zealand does not consider to be of permanent value and does not want to have transferred. In this instance the retention period for the record class is "Retain permanently at the university". One example of these is the master copy of university calendars.

The GDA does not reflect our organisation's structure

A function-based approach has been used, as all universities have the same functions (e.g. finance, human resources, student services, student administration) although you may call it something different.

It is not practical to structure the GDA by organisational structure, partly because these can change over time, and the organisational structures may be different among the eight universities.

Glossary

Below is a link to the Glossary of Archives and Recordkeeping Terms published by Archives New Zealand.

<http://www.archives.govt.nz/continuum/documents/publications/g5/>