

18 February 2019

by email: [REDACTED]

Dear [REDACTED]

Official Information request and response

Thank you for your request under the Official Information Act ("OIA") dated 15 February 2019

You have requested: *a copy of NZ On Air's policy on information and records management.*

I have attached the requested documents:

- NZ On Air Records Management Policy and Procedure
- NZ On Air Retention and Disposal Schedule

You have the right to refer this response to the Ombudsman if you are dissatisfied with it. More information on how to do this is [here](#). NZ On Air proactively releases information in accordance with the Government's commitment to the Open Government Partnership National Action Plan. This includes publishing responses to requests for information under the OIA. Please note that this response (with your name removed) will be published on the NZ On Air website shortly and will remain on our website for 12 months.

Thank you for your interest in our work.

Yours sincerely



Jane Wrightson
CHIEF EXECUTIVE

NZ On Air Records Management Policy and Procedures

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1. PURPOSE AND SCOPE

1.1. PURPOSE

This document provides guidance and describes the processes required to ensure that NZ On Air (NZOA) information and records are maintained in an appropriate manner.

The Information and Records Management Procedures for NZOA are consistent with best practice documents such as the Archives New Zealand Recordkeeping Framework and standards.

These procedures contain two types of information:

- ❑ Procedures: processes for managing NZOA information appropriately
- ❑ Tips and guides: designed to act as helpful hints

1.2. SCOPE

The procedures cover all paper (or hard copy) and electronic information and records that are generated or received by NZOA, and all files that exist in the NZOA filing system.

Information includes all forms of recorded data, documents, knowledge, facts, intentions, opinions or analysis, irrespective of the media through which it is communicated or stored. Information may therefore be contained in a variety of media, for example:

- ❑ Hand written notes
- ❑ Diaries
- ❑ Printed documents and hard copy files
- ❑ Databases and database output
- ❑ Emails
- ❑ Videotapes
- ❑ Audiotapes
- ❑ DVDs
- ❑ Other media of the future

For assistance in determining whether something is a record please see the definitions and “What is a record” diagram on page 8.

These procedures apply to all:

- ❑ Staff (permanent and fixed term and casual) of NZOA
- ❑ Work done by or on behalf of NZOA
- ❑ Functions (core and administrative)
- ❑ Media and formats

1.3. INFORMATION MANAGEMENT PRINCIPLES AND POLICY

NZOA has developed a set of Information Management Principles (detailed below) from which the Records Management Procedures have been developed.

PRINCIPLE	IMPLICATIONS
Information is a key asset for NZOA and will be managed throughout its lifecycle.	<ul style="list-style-type: none"> ❑ Processes and systems will be in place for ensuring the quality, protection and dissemination of information. ❑ Staff will be trained in how to use and manage information. ❑ All information captured will be subject to an authorised retention and disposal schedule.
Information needs will be aligned to the business needs of NZOA.	<ul style="list-style-type: none"> ❑ The purposes for collecting and creating information will be clear and transparent. ❑ Information will be managed and preserved to demonstrate its authenticity, integrity and retrievability so as to meet business needs.
Information will be shared where appropriate.	<ul style="list-style-type: none"> ❑ There will be a clear understanding of information resources held by NZOA. ❑ Information will be available to all staff, where appropriate. ❑ Privacy and confidentiality of individuals and commercial interests will be protected.
The collection, use and disposal of the information within NZOA will be subject to legal requirements.	<ul style="list-style-type: none"> ❑ All information captured will be subject to an authorised retention and disposal schedule. ❑ Information about identifiable individuals will be made available only to authorised people.
Where practical, information will be collected or created once and used many times.	<ul style="list-style-type: none"> ❑ Information will be shared wherever practicable and within the bounds of the Privacy Act.

2. ROLES AND RESPONSIBILITIES

All staff have a responsibility to ensure records are created and maintained according to our Records Management Policy and Procedures.

The following table lists specific record keeping roles within the organisation.

Task	Role or Name of Person
Oversight of Records Management Policy and Procedures	EA / Head of Corporate Services
File Structures <ul style="list-style-type: none"> Maintenance and integrity of structures <i>Includes periodically checking that both the network drive and paper files are being created within the appropriate file series.</i> Creating Classification Levels in shared drive Making up physical files Filing of papers 	Television -----Funding Assistant TV Radio ----- Funding Assistant Radio Music ----- Funding Assistant Music HR ----- --Head of Corporate Services / Associate Head of Corporate Services All other areas -- Head of Corporate Services / Associate Head of Corporate Services
Network Drives Issues	Associate Head of Corporate Services
Offsite storage deposits and retrievals	Television ----- EA All other areas -- EA / Head of Corporate Services
Retention and Disposal Management	EA / Head of Corporate Services
Preparation of summaries as required by General Disposal Authorities	Associate Head of Corporate Services

3. WHAT ARE RECORDS?

Before deciding **where** a document should be saved in NZOA's file classification structure a decision as to whether or not the document should be kept at all is made. This decision is independent of format as it is driven by the content of the information.

3.1. DEFINITION OF A RECORD

A public record is any papers, documents, correspondence, or records of any kind "officially the Crown in the course of his official duties".

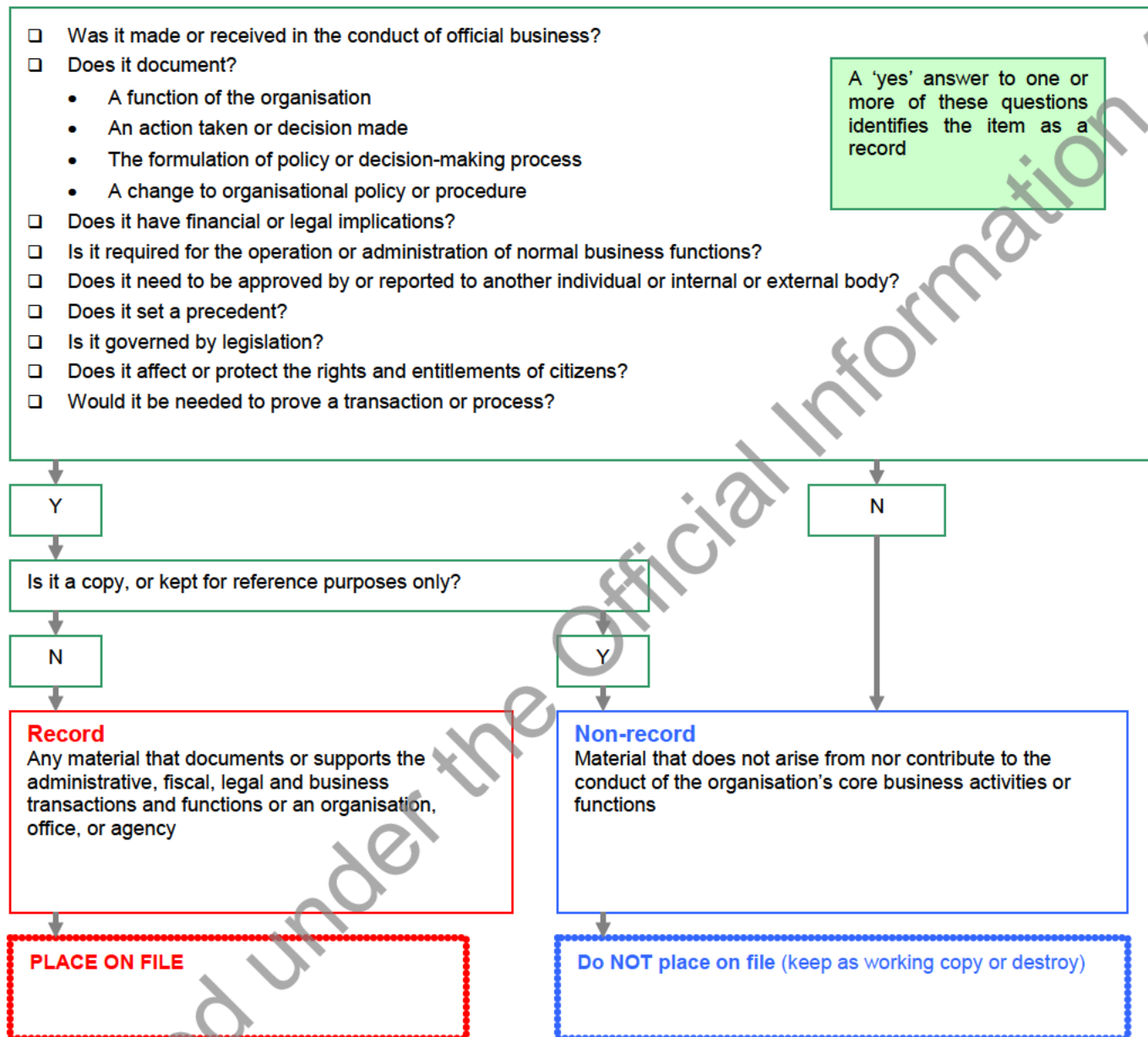
The definition of public records in the Public Records Act 2005 is an inclusive definition, which has been interpreted by Archives New Zealand to include physical files, maps, photographs and film, but also electronic records of all types.

Records Management Policy and Procedure

<p>RECORDS Examples include:</p>	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Copies of outwards correspondence, including faxes and substantial emails and their attachments, which form evidence of a business transaction. <input checked="" type="checkbox"/> Originals of inward correspondence, including faxes and substantive emails and their attachments, which form evidence of a business transaction. <input checked="" type="checkbox"/> File notes of substantial telephone conversations. <input checked="" type="checkbox"/> Documents requesting, authorising or commenting on the expenditure of money and other resources, or any action involving such expenditure. <input checked="" type="checkbox"/> Documents containing instructions of a significant nature, including notifications of changes of policy, and the establishment of precedents. <input checked="" type="checkbox"/> Documents containing comments on and suggested amendments to significant documents or proposed actions, and covering notes 'attached' to such documents distributed for comment. <input checked="" type="checkbox"/> Major drafts that show the development of policy or procedures. <input checked="" type="checkbox"/> Agenda statements and minutes. <input checked="" type="checkbox"/> Business communications conducted by email, including formal communications between staff members. <input checked="" type="checkbox"/> Message threads from discussion groups that show the development of policy, procedures, etc or that clarify roles and functions. <input checked="" type="checkbox"/> Major drafts of spreadsheets and compound documents. <input checked="" type="checkbox"/> Duplicates that have significant annotations which are not on the original document. <input checked="" type="checkbox"/> Contracts and documents relating to the negotiations and management of external contractors. <input checked="" type="checkbox"/> Reports
<p>NON-RECORDS Examples include:</p>	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Copies of articles or printouts from web pages <input checked="" type="checkbox"/> Copies of newspaper clippings (excl. original newspaper clippings acquired through a purchased clipping service) <input checked="" type="checkbox"/> Copies of published reports/material and duplicates of information already on file. <input checked="" type="checkbox"/> Non records material is the term given to documents/information that does not fit into the definition of a record. This material should not be stored in official NZ On Air recordkeeping systems (either hard-copy or electronic) unless it is integral to the development of an official record ie. It is a source of information for the record or it is essential to enable interpretation of the record and its context.

3.2. IS IT A RECORD DIAGRAM

The following diagram should assist in deciding whether or not a document is a record



4. DRAFT AND VERSIONS

Records should be kept of all major drafts that show the development of policy, procedures, outputs etc. This is to ensure that NZOA can trace how a business process, transaction or decision took place.

Minor drafts	<ul style="list-style-type: none"> <input type="checkbox"/> Have a shorter retention period <input type="checkbox"/> Typically contain only minor editing
Major drafts	<ul style="list-style-type: none"> <input type="checkbox"/> First draft that the author distributes for comment <input type="checkbox"/> Versions circulated for comment to an external organisation or stakeholder <input type="checkbox"/> Drafts sent to anyone for authorisation within the organisation <input type="checkbox"/> Drafts that change the tenor, slant or approach of the document (whether it be policy advice or a letter, or some form of registration form) <input type="checkbox"/> Drafts returned with 'significant comments' or 'comments from significant people' <input type="checkbox"/> Will be printed and place on a file
Final versions	<ul style="list-style-type: none"> <input type="checkbox"/> Approved/signed off in a process <input type="checkbox"/> Which are all or part of the output of a process <input type="checkbox"/> Which are all or part of a deliverable in a process <input type="checkbox"/> Are a 'clean' copy of the final version of the document <input type="checkbox"/> Will be printed and place on a file
Do not overwrite previous electronic documents	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Overwriting destroys the electronic original <input checked="" type="checkbox"/> Do not assume that the record is in paper <input checked="" type="checkbox"/> Overwriting cuts off future options for electronic access to records
Instead of overwriting documents	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Use save as – to save the document as another document before editing it <input checked="" type="checkbox"/> Use version control – save the document as a later version of an existing document before editing it using the minor/major draft naming convention <input checked="" type="checkbox"/> Identify which base documents are required as templates. Templates are about formats, content or <i>both</i>.

Naming Versions of Documents

In the shared drive a naming convention should be used to identify minor and major drafts. Minor drafts will use integer numbers; major drafts will use whole numbers, refer to the example below. The purpose of identifying minor and major drafts is to ensure those which will be printed and put on file. i.e.

Annual Report 1.0 [e.g. to Board]
 Annual Report 2.0 [e.g. to MCH]
 Annual Report 3.0 [e.g. to Minister]
 Annual Report 4.0 [e.g. Final approved draft]

5. EMAILS

Email is used for a variety of purposes and not all emails must be treated as records.

Emails, including attachments, used for business communications are the electronic equivalent of a record and include:	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Formal communications between staff, such as minutes and submissions <input checked="" type="checkbox"/> Messages requesting or authorising or commenting on the expenditure of money and other resources, or any action involving such expenditure <input checked="" type="checkbox"/> Messages containing instructions of a significant nature, including notifications of changes of policy, and the establishment of precedents <input checked="" type="checkbox"/> Messages containing comments on and suggested amendments to significant documents or proposed actions, and covering notes 'attached' to such documents distributed for comment <input checked="" type="checkbox"/> Requests for information
Emails that do not have to be managed as records include:	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Personal (as in non-work related personal letters) <input checked="" type="checkbox"/> Administrative trivia "administrivia" - this is administrative and unimportant detail such as arranging meetings.
The person responsible for ensuring an email is filed:	<ul style="list-style-type: none"> <input type="checkbox"/> Author/originator for internal emails <input type="checkbox"/> Primary receiver for emails from external sources - where there are multiple receivers of an external email the first person in the 'To' field should save or print the email.

For further information refer: Archives NZ Continuum publication: F10 Fact Sheet: Email.

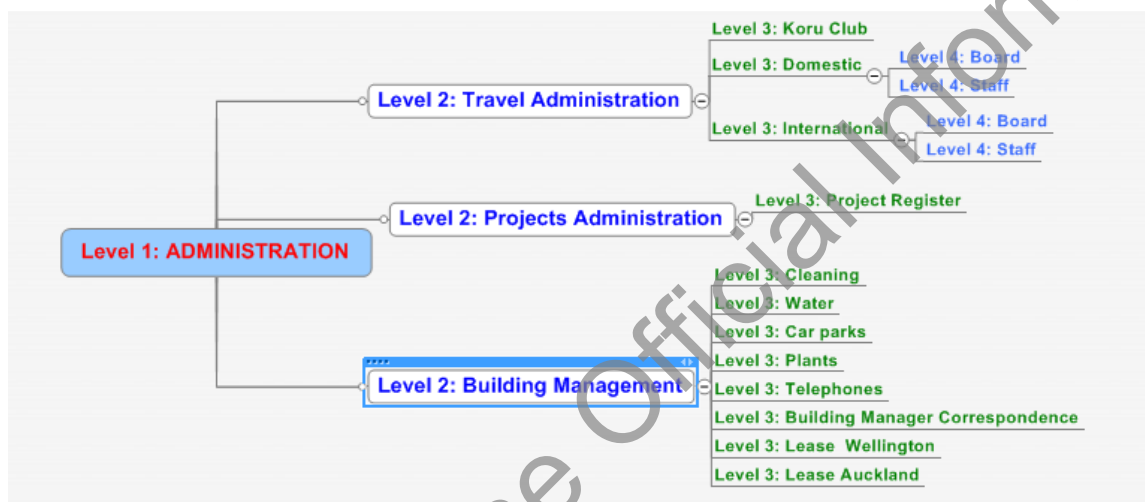
6. NZOA FILE CLASSIFICATION STRUCTURES (FCS)

6.1. How NZOA File Structures are Arranged

The file structures for NZOA are hierarchical and may have up to 5 levels of classification to describe documents being managed within a file folder. File folders in the shared electronic drive are the last level within any branch of the structure. For paper the collated levels forms the file folder title.

The structure works by describing the broadest function/activity/subject area and becomes more specific through levels 2 – 4/5 how many. Each level serves to provide context for the documents which are filed at the file folder/lowest level.

Structures for electronic and paper file systems are arranged differently for some areas of NZOA records – refer section 6.2.



In an electronic environment a classification level should never contain documents. Documents should only ever be filed at a *file folder* level which is the lowest level in the hierarchy.

In the example above

Level 1 *Classification* level and relates to the main function/activity being undertaken

Level 2 *Classification* level and relates to the breakdown of activities/subject area of the work being done.

Level 3/4 **Either** a more specific breakdown of these activities *file folder* **or** it may be a *classification* with subsequent levels. Documents will be filed at this level when there is no reason to breakdown the activities any further.

Note: There will be some file series which will breakdown to 4/5 levels or in some cases where the file series need not be defined further than 3 levels. Where either of these is the case you would file documents to level 3/4/5 as appropriate. It is important not to file documents across levels 3, 4, 5 within the same file series. Always file to the lowest file folder in a series. The first level of the structure should not change unless NZOA takes on new functions.

6.2. NZOA Structures for Paper and Network Drives Overview

Series Heading	Records	Format	Arrangement
A-ADMINISTRATION			
Records related to office management and administrative activities, including Information Management, Health and Safety	Paper	Both formats, electronic and paper will use the same file classification structure.	
	Electronic		
C-COMMUNICATIONS			
Includes events management, publications, newsletters, media, web content	Paper	Both formats, electronic and paper will use the same file classification structure.	
	Electronic		
F-FINANCE			
All finance activities	Paper	Both formats, electronic and paper will use the same file classification structure.	
	Electronic		
G-GOVERNANCE			
Board records, minutes etc and also administration of the Board	Paper	Both formats, electronic and paper will use the same file classification structure. – other than Board papers where the electronic files will be held in differently structured files to the paper ones.	
	Electronic		
H-HUMAN RESOURCES			
Records related to the HR function including personnel records	Paper	Both formats, electronic and paper will use the same file classification structure. The electronic directory/ papers records for some parts of this structure will be restricted. Restrictions will be recorded on the FCS and File List.	
	Electronic		
PA-PLANNING AND ACCOUNTABILITY REPORTING			
Consolidated reporting /planning activities eg. Annual Reporting, Business or Strategic Planning. Note Drafting for these activities will sit with the specific work they relate to eg. TV, Radio etc. Ministerial and OIA responses are all in this series.	Paper	Both formats, electronic and paper will use the same file classification structure	

Series Heading	Records	Format	Arrangement
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P- POLICY DEVELOPMENT AND GENERAL RESEARCH

Policy development and finals published in Corporate Policy manuals eg HR, Records, H&S, and Finance. External Policies related to wider Broadcast Sector including but not limited to legislative review or development. For the records of non activity specific research projects undertaken by NZOA. Note: Operational policy records for TV - Radio - Music etc will be in relevant operational series.	Paper	Both formats, electronic and paper will use the same file classification structure
	Electronic	

AR- FUNDING ARCHIVES

For the records of the operational work related to Television and Radio Archive Contracts	Paper	Files are arranged primarily by activity (funding or administrative). Both formats, electronic and paper will use the same file classification structure.
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CO - FUNDING COMMUNITY BROADCASTING

For the records of the operational work related to Community Broadcasting	Paper	Files are arranged primarily by activity (funding or administrative). Both formats, electronic and paper will use the same file classification structure.
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D – FUNDING DIGITAL

For the records of the operational work related to Digital	Paper	Files are arranged primarily by activity (funding or administrative).
	Electronic	Both formats, electronic and paper will use the same file classification structure.

M- FUNDING MUSIC

For the records of the operational work related to Music Funding	Paper	Files are arranged primarily by activity (funding or administrative).
	Electronic	Both formats, electronic and paper will use the same file classification structure.

R-FUNDING RADIO

For the records of the operational work related to Radio Funding	Paper	Files are arranged primarily by activity (funding or administrative). Both formats, electronic and paper will use the same file classification structure.
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Series Heading	Records	Format	Arrangement
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R-FUNDING RADIO			
For the records of the operational work related to Radio Funding	Paper	Files are arranged primarily by activity (funding or administrative). Both formats, electronic and paper will use the same file classification structure.	
	Electronic		

T-FUNDING TELEVISION			
For the records of the operational work related to Television Funding	Paper	Files are arranged primarily by activity (funding or administrative). Both formats, electronic and paper will use the same file classification structure.	
	Electronic		

6.3. File Classification Structure (FCS) vs File List

What is a File Classification Structure (FCS)	<input type="checkbox"/> Documents how the structure works <input type="checkbox"/> Use the FCS as a guide to identify where new file folders should be created. <input type="checkbox"/> Does not list every file which will be required but includes examples and descriptions of what files should be created where.
What is a File List	<p>Documents information about each individual file as follows:</p> <ol style="list-style-type: none"> Series File number File name Whether file is electronic paper or both Location information – if useful Retention period and disposal action <p>Note paper file volumes within a file number prior to the file held on site will be archived. Refer to archive list for location details.</p> <p>The archive list holds the following details on individual files that have been placed offsite:</p> <ol style="list-style-type: none"> File number File name Date range Location information Retention period and proposed/actual disposal action (where disposed who authorized the disposal) Bar code reference at archive and other relevant storage information

6.4. Creating new classification level headings and file folders

In order that the FCS and file list are managed and maintained it is important that new headings and files are not randomly created.

All requests for new classifications (Levels 1-2/3) and file folders (Lowest level containing documents) should be requested and agreed with the main person responsible for the series. Refer to table on page 6. This person will be responsible for maintaining the integrity of the file list.

When creating new folders and files

- ☒ Use self-evident titles for files to ensure staff are able to easily identify the contents
- ☒ Avoid using terms such as 'general' or 'miscellaneous' as titles

If you have a document for which you can find no suitable place in the FCS contact Anita or the main person responsible for the series, refer to table on page 6

- ☒ Don't place the document on the 'next best' choice - no one may ever find it again!
- ☒ Don't let papers accumulate for weeks before requesting a new physical file - while papers are outside the official system no-one else knows that they exist

7. RESTRICTING ACCESS TO INFORMATION

7.1. Placing Access restrictions on information

Information created by NZOA staff should be accessible to other NZOA staff unless there is a valid reason for not doing so.

Criteria for restricting access to information

- ☐ Personal information about individuals
- ☐ Client confidentiality
- ☐ Security classification
- ☐ Commercial sensitivity
- ☐ Political sensitivity

Restriction information to document on the file and file list

- ☐ Who is authorised to access the electronic folders and/or physical files
- ☐ Length of the restriction
(the information might only be sensitive for a few months)

NOTE: The staff member in control of the physical files is responsible for keeping restricted information secure.

7.2. Personnel Information

All personal records are always maintained as confidential records and access to these records is restricted.

A personal record is any written information about an identifiable employee that relates to their employment relationship with NZOA.

Personal records include but are not limited to

- ☐ Their employment agreement
- ☐ Documentation relating to changes in an employee's terms and conditions
- ☐ Performance appraisals
- ☐ Letters to the employee
- ☐ Personal contact information
- ☐ ID photographs

The staff member responsible for managing HR holds the official personal information for all NZOA employees. Any personal information held by managers must only be for short-term workings or reference purposes. The originals of all personal information must be sent to the person responsible for managing HR for the organisation regularly so that the personnel file is up to date.

7.3. Accessing Restricted Information

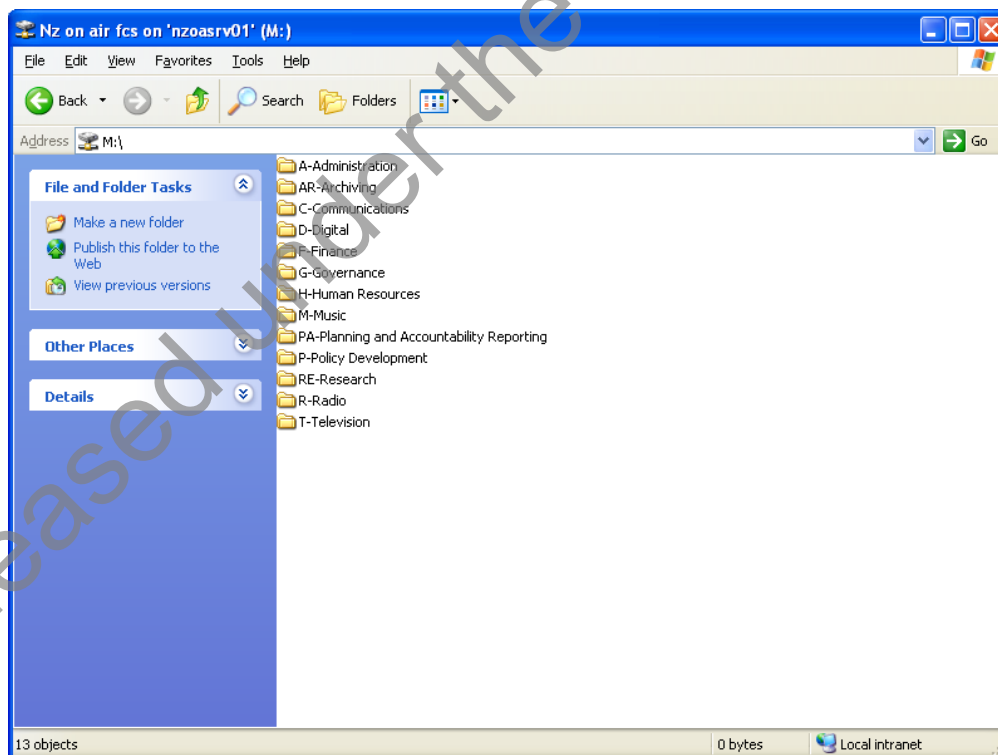
Access to restricted information requires express permission of the manager authorised to release it.

8. STANDARD PROCEDURES FOR ELECTRONIC DIRECTORIES

8.1. Use of Personal Drives

Personal drives should not be used to store work related information. All electronic documents created as part of the NZOA work should be filed into the appropriate folder in the M Drive.

The series headings are recorded in the "M" drive as follows:



Documents on personal drives means

- ☐ It is difficult for other staff to access the information
- ☐ There is a risk information will be destroyed once a staff member leaves the organisation

Exceptions

- ☐ Managers with HR Management information about staff they are responsible for
- ☐ Restricted documents such include all Human Resources records

8.2. Document Naming Guidelines

Document names must clearly identify the subject of the document. Note that file path titles (Level 1-3/4 of the structure) will help provide some context for documents.

When naming documents DO

- ☒ Provide a unique title for each document
- ☒ Provide a meaningful, self evident title which closely reflects the document contents

When naming documents DO NOT

- ☒ Don't use people's name in the title "Pete's document"
- ☒ Don't use generic or uninformative titles eg. 'report', 'latest version'
- ☒ Don't use generic names which are only meaningful in a personal context

8.3. Use of non-alpha characters

Do

- ☒ Use hyphens separated by spaces to separate information areas and use ampersands to join significant areas in document e.g. Annual leave & sick leave – policy

Do not

- ☒ Do not use slashes "/" or "\" in document titles as these may be interpreted by the software as denoting a lower folder.

8.4. Acronyms

Only use acronyms officially approved for use within NZOA.

8.5. Dates

- ☐ Folders within structures can be created to provide date information.
- ☐ Include dates as part of document names when useful in distinguishing between a time related set of documents such as minutes or agendas or to give uniqueness to documents of the same name.
- ☐ Use the format yyyy-mm-dd at the beginning of the document name to ensure folders/documents sort into date order
 - o 2006-03-25 Board Agenda
 - o 2006-03-25 Board Meeting minutes
- ☐ To indicate a financial year use the yyyy-yy format
 - o 2005-06

9. STANDARD PROCEDURES WITH PAPER FILING

9.1. Who is responsible for ensuring documents are filed?

Internal Documents

The author of the internal document is responsible for ensuring that the document is filed (electronically or in paper), either by doing it themselves or arranging for it to be filed. This includes memos, emails, and drafts for comment.

External Documents

The original receiver of an external document (sent to the organisation) is responsible for ensuring that the document is filed, either by doing it themselves or arranging for it to be filed. External documents are most likely to be correspondence from another organisation or individual. This includes printed copies of emails.

If administrative assistance is used to do the filing then you are responsible for identifying the physical file that the document belongs on and writing that file reference in the top right corner of the document.

Before sending a document to file, ensure that these three pieces of information are on it

- ☐ A file number
- ☐ Date received or created
- ☐ The word "FILE"

9.2. Deliberate replication

Sometimes papers should be put on more than one file so that all the relevant information is readily available. In this instance, the original should always go on the most appropriate file. This is also true of electronic duplication.

9.3. How to put papers on files

If the file is on your possession, you should place the documents onto the file:

- ☐ Ensure the appropriate file number on the document is the same as is on the file cover
- ☐ Leave staples that hold papers together, but remove excess staples
- ☐ Remove paper clips - they move around and unilaterally re-group documents – *replace with a staple*
- ☐ Remove bulldog clips - they are too bulky
- ☐ Remove Post-it notes – or attach them with a staple
- ☐ If you're attaching a small piece of paper to an A4 sheet, use staples rather than cello tape. (Adhesive on cello tape disappears overtime)
- ☐ Ensure all documents are dated
- ☐ File papers chronologically, with the latest document on top unless there is reason for arranging them otherwise.

9.4. Closing physical file folders

When a physical file folder is full, it will be closed, and marked with the Date Opened, and the Date Closed and a new volume /part will be opened and the file list will be updated. A closed file folder should only hold documents dated in the period noted on its cover. Each volume per file should be recorded in the file list along with its open and closed dates and location information. When filing papers ensure you have the correct volume.

9.5. Contracts

Signed original contracts are kept on subject files.

9.6. Duplicates and Duplicate Physical files

There is only one 'official' paper file for information and all other paper collections of the information are considered 'duplicates'.

Duplicate physical files MUST

- ☐ Reference the number and name of any official file(s) they duplicate
- ☐ Be clearly identified as duplicate files on the file cover with the title "Duplicate File"
- ☐ Never contain original documents
- ☐ Never contain the only copies of documents with significant hand-written annotations
- ☐ Be audited for any original documents which belong on official physical files
- ☐ Be destroyed at the end of their use

Documents should not be placed in duplicate files pending transfer to official physical files. Either the document is an official record when printed, and therefore goes straight onto the official physical files, OR it is a duplicate and goes on a duplicate file.

If you make significant comments/annotations on a duplicate, you should place that document on the official file.

9.7. Borrowing and returning physical files

Physical files are located centrally where they are accessible by staff when needed. This practice is recommended so that everyone may access physical files easily and everyone knows where they are kept.

If you remove papers from a file for copying purposes ensure the papers are refiled back into the file in chronological order. If you need a paper for reference purposes, make a copy of it, and mark that document as a "duplicate".

Only retain physical files on or around your desk when you are using them frequently – otherwise return them to the filing area so others can locate them easily.

9.8. Moving physical files out of the office

Physical files should not normally be taken from the building, or lent to other organisations. It is preferable for external persons to view the file on site. However if it must go off-site then it's advisable to make a copy of the file before it goes to another organisation. If this isn't possible, the agency receiving the file must be reminded that it:

- ☐ Is the original
- ☐ Belongs to the organisation
- ☐ Must be returned intact

9.9. Sending physical files to off-site storage

When there is no longer a need to have a file on-site it is referred to as being non-current, and the person responsible will send it to off-site storage. To arrange to have physical files sent off-site please contact Teresa for any TV material and Christine for all other records.

National Office contracts the storage services of Online Security for storing non-current physical files. When a file is sent off-site for storage a list recording its detail is created. The complete list of all physical files and their locations can be viewed on the Online Security web-site. Contact Christine for access to this.

9.10. Retrieving Non-current Physical files from Off-site storage

To request a physical file or box from off-site storage please contact

- Executive Assistant TV for TV records or
- Finance and Administration Assistant for all other records

When you have finished with the physical file contact the person you requested the file from to arrange to have the file returned to off-site storage.

9.11. Proper Care of Physical files

- ☐ Store them away from heat and light
- ☐ Do not put files in drawers or filing cabinets/cupboards where they cannot be easily located unless there is a security restrictions requiring files to be locked away

10. WHICH RECORDS ARE RETAINED / DESTROYED?

NZOA will have an approved retention and disposal schedule, governing which records (either paper or electronic) must be kept or destroyed.

10.1 What is a retention and disposal schedule?

A retention and disposal schedule (RDS) identifies classes of records with similar retention and disposal requirements. Retention is about how long something must be kept for before final disposal. Final disposal can be either permanent retention as an archive, or destruction.

Retention periods and disposal decisions only become effective, once the record is non-current/closed.

In the context of physical files, records become non-current when a file/folder volume is closed and no longer in active use. In the context of electronic documents, volumes are not relevant and retention and disposal is managed through a combination of file/folder and document level. For documents the non-current triggers are more related to events such as budget cycles, or to date the item was last modified, since a file/folder may remain current for many years.

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

10.2 Your role with retention and disposal

The words retention and disposal encompass the concept of retaining records as permanent archives or destroying them once their known business value has expired and legislative requirements have been met.

In general, staff are most involved while the records are still current, in terms of filing practices, and you should be familiar with the schedule together with the procedures for filing. You contribute to the retention and disposal process by understanding:

- ☐ Why there is a formal process for closing off a physical file part and for recording the dates of files
- ☐ Why there is a formal process for closing off electronic folders and physical files to prevent the addition of new documents
- ☐ How records become non-current
- ☐ That the schedule relates only to non-current records
- ☐ How the disposal classes apply to both physical documents aggregated into physical files and electronic documents aggregated into electronic folders
- ☐ Why electronic documents may be stored in standard formats to ensure they are retrievable over time and by successive document and records management systems.

ID	Class Description	Examples	Disposal Action	Minimum Retention Period	Disposal Criteria
1.0 BOARD PAPERS AND DECISIONS					
1.1	BOARD PAPERS - MASTER SET Complete sets of board papers	Board Papers containing records of funding applications summarised by Managers, operational and administrative policies for approval by the Board (excludes props from producer)	A	10 years after date of board meeting	A1, A2
1.2	BOARD MINUTES Signed minutes recording the decisions made by Board.		A	10 years after date of board meeting	A2
1.3	DUPLICATES Duplicate sets of Board Papers and Minutes	Sets of papers provided to board members for meetings - Reference Set	D	When no longer administratively required but in practice won't ever be disposed while agency in existence	D2
2.0 BOARD ADMINISTRATION					
2.1	OPERATIONAL PAPERS Records related to management of and administration for Board Members.	Records related to appointments and designations and correspondence with the Board Chair. Board remuneration and personal information	A	10 years after last date of action	A3
2.2	BOARD POLICY Records related to how the Board operates		A	10 years after last date of action	A3
2.3	ESTABLISHMENT OF BOARD COMMITTEES Records related to the establishment and disestablishment of Board Committees		A	10 years after last date of action	A3
2.4	ROUTINE ADMINISTRATION Records related to arranging meetings and processing board related finance	Processing of reimbursements for fees and expenses etc Meeting administration	D	7 years after date of last action	D1
3.0 POLICY DEVELOPMENT					

ID	Class Description	Examples	Disposal Action	Minimum Retention Period	Disposal Criteria
3.1	OPERATIONAL POLICY Final drafts of policy and policy manuals containing ratified policies, guidelines See also Board Papers and Decision	Policy development related how the organisation delivers its core business of funding for television, radio, music, archiving etc.	A	10 years after last date of action	A2
3.2	OPERATIONAL POLICY DEVELOPMENT - WORKING PAPERS Drafting and working papers for policy		D	10 years after last date of action	D3
3.3	RESPONDING TO ENQUIRES Responding to enquiries from the public and industry about policy		D	10 years after last date of action	D3
3.4	POLICY DEVELOPED BY OTHER AGENCIES Policy development and/or review where another agency is the lead		D	10 years after last date of action	D6
4.0 RESEARCH					
4.1	COMMISSIONED RESEARCH REPORTS - Final Reports produced as a result of public awareness and audience attitude surveys, public opinion monitoring and reviews of special interest funded programmes, and research into NZ and International Broadcasting Issues.	Report on the National Federation of Community Broadcasters' Conference Audience attitude surveys Attitudes to Television and Radio Comedy and Drama Programming Public Opinion Monitoring Public Information Monitor New Zealand eGeneration Study 2005 - Kids and Teens Online etc etc	A	10 years after last date of action	A3, A5
4.2	LOCAL CONTENT REPORTS Reports generated from the organisations data about funding of local content television programmes	Television Local Content Reports	A	10 years after last date of action	A5
4.3	RESEARCH ADMINISTRATION Correspondence and exchanges related to a company undertaking research or surveys on behalf of the organisation	Correspondence with research company AC Nielsen about undertaking a survey for NZOA.	D	When no longer administratively required	D3
4.4	LOCAL CONTENT DATABASE		D	When no longer administratively required - exact retention period TBC	D3, D6
5.0 PLANNING AND REPORTING					

ID	Class Description	Examples	Disposal Action	Minimum Retention Period	Disposal Criteria
5.1	ACCOUNTABILITY REPORTING AND PLANNING High level planning and accountability records	Include records of strategic planning and reporting activities such as the NZ On Air's SOIs and Annual reports etc	A	10 years after date of last action	A3
5.2	NEW INITIATIVES PLANNING AND DEVELOPMENT Records to consultation and development of new initiatives for how NZ On Air provides its services.		A	10 years after date of last action	A2
5.3	REVIEW AND/OR DEVELOPMENT OF FUNDING SCHEMES	For example Music funding schemes such as the New Recording Artists Scheme review. Became the New Artists Scheme	A	10 years after date of last action	A2
5.4	OPERATIONAL STRATEGIES Records related to the consultation and development of strategies for specific areas of NZ On Air work including discussion papers, symposia and actual strategy papers and reviews of specific television genres.	Children's Strategy Paper Rautaki Maori (Maori Strategy)	D	10 years after date of last action	D6
5.5	MINOR DRAFTS AND WORKING PAPERS		D	10 years after date of last action	D3
6.0 FUNDING - RADIO					
6.1	SERVICE PROVIDER FILE - including final contract with provider and any legal opinions in relation to contract		A	10 years after contract expires	A1,A2
6.2	CONTRACT MANAGEMENT/FUNDING OPERATIONAL RECORDS Records for day to day management of funding activities for public radio broadcasters, and specific radio programmes produced for airing on commercial radio - not retained on the Service Provider file	Radio NZ Transmission Funding Drama's, Comedy, music, Maori interest, radio specials.	D	7 years after last funding completed	D3
6.3	COPIES OF PROGRAMMES - ACQUITTALES		D	When no longer administratively required	D3
6.4	UNSUCCESSFUL APPLICATIONS		D	When funding round completed	D3, D6
7.0 FUNDING - MUSIC					

ID	Class Description	Examples	Disposal Action	Minimum Retention Period	Disposal Criteria
7.1	NZ MUSIC PROMOTION PLAY LISTS NZ Music hit discs and other recorded material for radio stations to air.	Kiwi Hit Discs Iwi Hit Discs	A	10 years after date of last action	A5
7.2	CONTRACTS - Final contract with provider and any legal opinions in relation to contract		A	10 years after contract expires	A1, A2
7.3	NZ MUSIC PROMOTION INITIATIVES	Phase Five Initiative	D	10 years after date of last action	D2
7.4	CONTRACT MANAGEMENT/FUNDING OPERATIONAL RECORDS Day to day records of administration and management of funding to new bands and artists to produce songs for release on radio or for production/record companies to produce albums and recordings and music videos - not retained on Contracts file		D	7 years after last funding completed	D3
7.5	COPIES OF MUSIC VIDEOS - ACQUITTALS		D	When no longer administratively required	D3
7.6	UNSOLICITED MUSIC RECORDINGS Demo tapes and CDs sent to NZ On Air		D	When no longer administratively required	D4
7.7	UNSUCCESSFUL APPLICATIONS		D	When funding round completed	D3, D6
8.0 FUNDING - ARCHIVING AND DIGITAL					
8.1	SERVICE PROVIDER FILES - including final contract with provider and any legal opinions in relation to contract		A	10 years after contract expires	A1, A2
8.2	CONTRACT MANAGEMENT/FUNDING OPERATIONAL RECORDS - Records include correspondence, reporting related to management of contract and relationship with provider - not retained on the Service Provider file		D	7 years after last funding completed	D3
8.3	TENDERING PROCESS Records of tendering process for funding of Archives Facilities for television and radio		D	7 years after date of last action	D3
8.4	UNSUCCESSFUL APPLICATIONS		D	When funding round completed	D3, D6
9.0 FUNDING - TELEVISION					
9.1	PROGRAMME FILES - including final contract with provider and any legal opinions in relation to contract		A	10 years after contract expires	A1, A2

ID	Class Description	Examples	Disposal Action	Minimum Retention Period	Disposal Criteria
9.2	FUNDING INITIATIVES Records for implementation of initiatives. Eg. Signature Drama: Initiative, specific files would be created for programmes that are funded as a result of this initiative		A	10 years after last date of action	A1, A2
9.3	FUNDING OPERATIONAL RECORDS - TELEVISION Records for day to day management of funding activities for each programme or production company - not retained on Programme file		D	7 years after date of last action	D3, D6
9.4	DVD/VHS COPIES OF PROGRAMMES - ACQUITTALS			When no longer administratively required	D3
9.5	UNSUCCESSFUL APPLICATIONS		D	When funding round completed	D3, D6
10.0 FUNDING - COMMUNITY BROADCASTING					
10.1	SERVICE PROVIDER FILE - including final contract with provider and any legal opinions in relation to contract		A	10 years after contract expires	A1,A2
10.2	CONTRACT MANAGEMENT/FUNDING OPERATIONAL RECORDS Records for day to day management of funding activities for regional television and Pacific Island/Community radio stations - not retained on the Service Provider file	Regional Television, Pacific Island and Access Radio.	D	7 years after last funding completed	D3
10.3	COPIES OF PROGRAMMES - ACQUITTALS		D	When no longer administratively required	D3
10.4	UNSUCCESSFUL APPLICATIONS		D	When funding round completed	D3, D6
11.0 RELATIONSHIPS WITH STAKEHOLDERS AND INDUSTRY					
11.1	STAKEHOLDER AND INDUSTRY RELATIONSHIPS Records of NZ On AIR interaction with special interest groups, and the Broadcasting industry	Te Mangai Paho/SPADA The Broadcasting Council Special Interest Groups	A	10 years after date of last action	A3, A4