

# APPRAISAL REPORT: Te Whare Wānanga o Awanuiārangi

**File/Document ID:**

**Date:**

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**Name of the Public Office:**

Te Whare Wānanga o Awanuiārangi (TWWOA)

**Public Office Contact:**

[Name removed]

**Contact regarding report questions:**

[Name removed]

**Report Authors:**

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**Disposal Type:**

A continuing function-based disposal schedule

**Coverage:**

Main Campus, Whakatane (includes Rongo-o-Awa)  
Awanuiārangi ki Tāmaki (Auckland delivery site)  
Awanuiārangi ki Poneke (Wellington delivery site)

**Scope:**

All corporate records

## 1. Executive Summary

Te Whare Wānanga o Awanuiārangi (TWWOA) has operated since 1997 as a Wānanga under the Education Act 1989. It runs a number of programmes within an āhuetanga Māori context. These programmes range from level one certificates to postgraduate degrees.

This appraisal report covers the Wānanga's corporate records as created by the main campus in Whakatāne and in its delivery sites. The functions that created the corporate records are similar to that of other tertiary institutions.

A culture of printing and filing has meant that the schedule covers mainly paper-based records. Electronic records tend to be used only for short-term, administrative use. The only exception at present is the student management system, Artena.

The Wānanga has never had organisation-wide recordkeeping policies in place until recently, and is still in the process of establishing organisation-wide systems such as a records classification system and disposal schedule. This has meant that while the records are in good condition, there are very few lists, a large amount of duplication, records storage in a variety of places and a focus on record keeping at staff member level.

A class-based schedule was developed which was based mainly on an onsite review and interviews with staff. However the lack of existing file lists, classification compounded by the lack of centralised storage has meant that:

- retention and disposal amounts are general estimates only
- appraisal was carried out at class level
- current records are described at record group level

An on-site review of the records concentrated not only on establishing main functional groupings of records, but also records that may represent “exceptions to the rule”. The review found that although processes were carried out differently, no functions that were dissimilar to that of other tertiary institutions. This was backed up by review against The Open Polytechnic of New Zealand’s Disposal schedule DA326.

A more specific idea of series, amounts etc will be able to be obtained once the records classification structure and retention and disposal schedule is in place.

*Quantity recommended for retention as public archives: 77 lm / 5 Mb (12%)*  
*Quantity recommended for destruction: 633.5 lm (88%) \**  
*Estimated amount added per year: 20 lm (2%)*

*\* It is unclear at this point exactly what the Mb for destruction will amount to.*

Records sentenced under general disposal authorities are not included in this report, or in the accompanying schedule.

## **2. Appraisal Circumstances**

Appraisal was carried out on paper and electronic records generated and kept for corporate purposes at the Wānanga. Operating as a Wānanga since 1997, Te Whare Wānanga o Awanuiārangī had no formal records management programme in place for its corporate records (although there were a range of ad hoc solutions in place). This meant that records were not being managed in ways that aided staff access and fulfilled compliance requirements under the Public Records Act 2005. As a consequence there were number of records-related issues that affected appropriate creation and maintenance practices such as:

- Individual use and “ownership” rather than collective use and ownership
- A lack of staff confidence in existing systems
- Large numbers of duplicated records

- Inappropriately stored records
- Confusion regarding what is the official record, where records should be saved and stored, and where they should be located
- Storage of records that do not need to be kept for administrative purposes<sup>1</sup>
- Small number of piecemeal classifications reliant on the individual and focused more on process rather than function.
- Lack of a basic level of recordkeeping knowledge by most staff.

Te Whare Wānanga o Awanuiārangi accepted Lindisfarne Information Consulting's tender for the provision of consulting services to assist in the development of a Records Management programme.

The purpose of this was two-fold: to ensure the Wānanga has procedures in place to properly identify and capture all corporate records generated or received by the Wānanga, regardless of media or format<sup>2</sup>, and, to ensure that the Wānanga had a good base of records management tools and procedures from which to become compliant with Archives New Zealand's mandatory standards. These practices will also help the Wānanga to enable compliance with the New Zealand Qualifications Authority's QA Standard One.

During the initial review it also became apparent that the Wānanga was interested in establishing appropriate records management practices to enable the establishment and compliant use of an electronic document and management system (EDRMS) later on.

Although no formal systems were in place, there was generally a culture for keeping records within the Wānanga, with a preference for the hard copy for accountability reasons. Although nearly all of the records were created electronically, shared or individual drives have no classification processes in place as staff could not be sure which document was the latest version, or even where it was located. There were no intellectual links between electronic records and their paper counterparts.

Student information is stored electronically within the student management system, Artena. However, the lack of formal recordkeeping systems has meant that a number of student management processes surround the printing and filing of reports based on Artena data.

Hard copy records were mainly stored in offices or shared work areas around the Campus, which was divided into two locations: the main Campus itself, and (directly across the road) Rongo-o-Awa, which used to be a motor lodge and now is owned by the Wānanga<sup>3</sup>. Both areas contain a mixture of lecture rooms, offices, staff areas, meeting rooms, with many offices in Rongo-o-Awa in what used to be accommodation suites. Rongo-o-Awa also holds the Board and Chief Executive Officer's offices.

Older, closed records are stored in unused offices across the main campus. Where there are reasonably large volumes, these are stored off-campus in a former residential property that is

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<sup>1</sup> Tender documentation for Te Whare Wānanga o Awanuiārangi p. 2

<sup>2</sup> Records management tender, p.2

<sup>3</sup> Located at 30 Domain Road, Whakatāne.

owned by the Wānanga and situated close by in Francis Street, and in a storage facility a few minutes drive away in Te Tahi St.

A new room for vital records and archives called “Te Pātaka Pūranga Kōrero” has recently been built in what used to be the motor lodge Sauna, creating an excellent environment for the storage of key closed and older records such as Council records. The Council records are currently stored in the offices of Council Secretary Adjunct Professor [Name removed] at Te Rūnanga o Ngāti Awa offices to ensure the security of the records in the absence of a suitable records management programme at the Wānanga.

This appraisal covers records documenting Wānanga operations and academic administration in Whakatane, as well as records from or associated with the Wānanga’s delivery sites at the Tāmaki Makaurau Campus in Auckland (Awanuiārangi ki Tāmaki) and Wellington (Awanuiārangi ki Poneke). (A further delivery site in Tauranga is being developed). Auckland and Wellington records have not been appraised separately, as they record the same functions and activities as the Whakatane main Campus, with original records being transferred back to Whakatane for processing and storage and copies only being held in Auckland and Wellington.

This appraisal does not cover student work. Nor does it cover records generated and held at the Wānanga’s joint venture site, Te Ataarangi as they were a separate organisation at the time. It does however cover records held by the Wānanga relating to their relationship with Te Ataarangi.

### 3. Agency Information

**Name of public office:**

Te Whare Wānanga o Awanuiārangi.

**Alternative names:**

TWVOA, Tribal University of Awanuiārangi.

**Public office’s physical location / s:**

- Main Whākatane campus:  
Francis Street, Whakatāne, Rongo-o-Awa: 30 Domain Road, Whakatāne
- Delivery sites:  
Awanuiārangi ki Tāmaki (Auckland): Tāmaki Makaurau Campus: 15 Canning Cres, Mangere (Part of the Manukau Campus of Te Wānanga o Aotearoa).  
Awanuiārangi ki Poneke (Wellington): Awatope Campus: 61 Buick St, WelTec Campus, Petone, Lower Hutt.

**Year established:**

TWVOA was established by Te Rūnanga o Ngāti Awa in 1992 as a tertiary institution under Section 162 of the Education Act 1989, mainly due to the recognition that education played

an important role in providing pathways for Māori development<sup>4</sup>. It officially became a Wānanga in 1 January 1997 under an order of the Education Act 1989 (Education (Te Whare Wananga O Awanuiarangi) Order 1996.) The Awatope Campus (Wellington) was established in 2003. The Tāmaki Makaurau Campus (Auckland) was established in 2008, and is still in establishing some of its programmes there. A fourth campus in Tauranga is presently under development.

**Year disestablished:**

Continuing

**Name of controlling public office(s):**

None

**Name of controlled public office(s):**

None

**Operating and administrative history:**

*Major functions and activities*

The Whare Wānanga O Awanuiārangi (TWWOA) is a tertiary institution, running a number of programmes within an āhuetanga Māori context. These programmes range from level one certificates to postgraduate degrees. Many are taught on-campus, while others (such as Te Pouhono) are delivered as marae-based study.

The programmes delivered by TWWOA are listed below:

PhD – Ngā Tohu Paetoru

- Maori
- Indigenous Studies
- Environmental Studies
- Education

Masters – Ngā Tohu Paerua

- Master of Maori Studies
- Master of Indigenous Studies

Bachelors Degrees – Ngā Tohu Paetahi

- Bachelor of Art and Visual Culture – Te Toi Whakarei Paetahi
- Bachelor of Environmental Studies – Te Ahu Taiao
- Bachelor of Maori Education (Primary) – Te Tohu Paetahi Mātaranga (Primary)
- Bachelor of Maori Education – Upgrade – Te Tohu Paetahi Mātaranga (e-Wananga)
- Bachelor of Maori Immersion Teaching – Te Tohu Paetahi Whakaako Rumaki (Taipakeke)
- Bachelor of Matauranga Maori – Te Tohu Ako Tawhiti
- Bachelor of Media Studies – Te Tohu Paetahi Pāpāho
- Bachelor of Health Sciences Māori Nursing – Te Ōhanga Mataora Paetahi

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<sup>4</sup> Bachelor Programmes Te ARA Wānanga: Pathways to Collaboration. p.5.

- Bachelor of Teaching and Learning – Te Tohu Paetahi Ako (Te Iti Rearea)
- Introduction to Wānanga Study - Aka ki te Wananga
- Marae-based Certificate – Te Pouhono
- Introduction to Computing - Mātāhīhiko
- National Certificate in Computing - Te Kete Tokorau
- Certificate in Performing Arts - Manukorihi
- Certificate in Business Administration – Te Umanga Papatahi
- Māori Immersion Certificate - Kura Takiwā
- Māori Language Certificates – Pokaitahi, Pokairewa
- Kaiako Certificate – Te Poukaitahi Kaiako
- Te Reo Māori Certificate - Te Awa Tuāpapa
- Tourism Certificate – Hei Manaaki

To support the development, maintenance of such programmes, TWWOA has a range of corporate functions such as:

- the management of the academic registry,
- research management
- business management
- governance
- finance
- human resources
- information management
- marketing and promotions management
- property and services management, student support
- e-Wananga (on-line campus) management
- resource development and supply.

All of these functions are very similar to those of most other tertiary institutions.

TWWOA is also a member of Te Tauihu-o-Ngā Wānanga (The Wānanga Association) which was formed in 1994 and represents Te Wānanga o Aotearoa, TWWOA and Te Wānanga o Raukawa. Distinguished Professor [Name removed], who is currently chair of TWWOA Council, is a Chairperson on the executive committee.

“The association meets a minimum of three times per year to coordinate and develop policies to benefit the members as a whole. In addition, it represents the three Wānanga on various committees dealing with matters of concern to all Wānanga and assists in the coordination of activities at a national level on behalf of the three Wānanga”<sup>5</sup>

*Vision (Ngā moemoeā)*

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<sup>5</sup> Te Tauihu-o-Ngā Wānanga <http://www.tauihu-wananga.maori.nz/?q=node/11>

“Te Whare Wānanga o Awanuiārangi intends to be a quality provider of Māori programmes within the tertiary education sector in Aotearoa. Of importance is the vision to promote, grow and sustain Māori language, knowledge and culture in all of its manifestations and with regard to tikanga Māori practice.”

<http://www.wananga.ac.nz/about-us/our-vision.html>

*Mission statement / founding kaupapa*

Rukuhia te mātauranga ki tōna hōhonutanga me tōna whānuitanga

To pursue knowledge to its greatest depths and its broadest horizons.

*Definition of Wānanga, Awanuiārangi*

The Whare Wānanga O Awanuiārangi is one of only three institutions designated as Wānanga under the Education Act 1989.

As a Wānanga it “is characterised by teaching and research that maintains, advances, and disseminates knowledge and develops intellectual independence, and assists the application of knowledge regarding āhuatanga Māori (Māori tradition) according to tikanga Māori (Māori custom).”<sup>6</sup> Although created by Iwi, it is open to all students. A “Wānanga, like their cousins – universities, polytechnics, and colleges of education – are providers of education that teach all who wish to learn. The difference between these institutions lies not only in what they teach but also in how they teach it. In other words, the difference lies in the system or ‘cultural mindset’ of delivery.”<sup>7</sup> (Further information about the definition of Wānanga can be obtained from

<http://www.waitangi-tribunal.govt.nz/reports/viewchapter.asp?reportID=9982adf5-40c6-420e-8899-a86640da6d0c&chapter=3#E1298.2.1>)

As stated on the website “the name “Awanuiārangi” is linked to the whakapapa of the Mataatua canoe, which landed at Whakatāne. Many tribal groups claim descent from the Mataatua canoe and the ancestor Awanuiārangi. These include Te Whanau-a-Apanui, Whakatōhea, Tūhoe, Ngāti Awa, Ngāti Manawa and Ngāti Whare.”<sup>8</sup>

In terms of the Whakatāne site “Awanuiārangi serves the traditional rohe of Mataatua, namely from Ngā Kuri ā Whārei (Katikati) to Tihirau (Cape Runaway), and extending inland to Ruatāhuna. It then reaches out further to wherever Mataatua and Māori populations live.”<sup>9</sup>

*Structure and academic programmes*

TWVOA employs around 100 staff. Student numbers are around 2200 EFTS (Equivalent Full-Time Students). Corporate records are based around the enrolment, teaching and graduation of students at all levels of tertiary education.

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<sup>6</sup> Waitangi Tribunal, *The Wānanga Capital Establishment Report* (Wellington: Legislation Direct, 1999), p 11

<sup>7</sup> Ibid, pp 20–21

<sup>8</sup> [http://www.wananga.ac.nz/Key\\_Info/Founding/Founding.html](http://www.wananga.ac.nz/Key_Info/Founding/Founding.html)

<sup>9</sup> [http://www.wananga.ac.nz/Key\\_Info/Founding/Founding.html](http://www.wananga.ac.nz/Key_Info/Founding/Founding.html)

Accreditation is managed through New Zealand Qualifications Authority (Such as meeting QA Standard One). TWWOA has been registered with New Zealand Qualifications Authority since 1<sup>st</sup> October 1993.

Academic programmes have been aligned to the requirements of the Tertiary Education Commission and stakeholders. Unit standard, degree programme assessments are carried out by the Tertiary Education Commission, and TWWOA also applies to them for funding.

The TWWOA has a Council and various Council subcommittees including the Academic Board. It has made changes to its organization structure over the 17 years it has existed, mainly to incorporate student (and consequently staff) growth but also to reflect the preferred management style at the time. The most extensive period of change came in 2006 following budget deficits and after a Standard One Audit Review by the Tertiary Education Commission<sup>10</sup>. This resulted in major changes to the existing structure in terms of both reporting and accountability and resulted in a number of redundancies. The academic structure was also changed from academic departments and faculties to a structure based on community, undergraduate and post-graduate programmes. Staff have reported that gaps exist in the records from around this date due to these changes.

Finance and accountability functions were outsourced until July 2007 to Goldsmiths, a Whakatane chartered accountancy firm. These functions were then brought back in-house, where they are currently managed.

The current organisational structure of the TWWOA is as follows:

- Executive management team (consisting of Chief Executive, Provost, Academic Registrar and Heads of School for Iwi Development, Under Graduate Studies and Indigenous Graduate Studies.)
- The Senior Management Team (consisting of above plus Corporate Registrar, Human Resources Manager, Director of e-Wananga, Director of Indigenous Research Development and Operations Manager.)
- Office of the Chief Executive
- Corporate Registry (Consisting of Marketing and Promotions, Operations (Reception, Information Management, Grounds, Print and Photocopy administration, Finance, Human Resources.)
- Academic Registry (Consisting of Student Registry, student services, student support (study skills and pastoral care) Library, Records Management.)
- School of Iwi Development (includes management of Marae-based studies)

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<sup>10</sup> New Zealand Qualifications Authority Quality Audit Summary. p. 3.  
<http://www.nzqa.govt.nz/nqfdocs/provider-reports/9386.pdf>. Accessed 18/11/2008

- School of Undergraduate Studies
- School of Indigenous Graduate Studies (includes administration of Performance-Based Research Fund (PBRF), research contracts)
- Centre for Indigenous Research and Advancement (Director, Research manager, Grant writer, administrator)
- E-Wānanga Centre for Creative Teaching and Learning

*Other delivery sites*

TWWOA has other delivery sites in Wellington, Auckland and Hamilton (Te Ataarangi). These either operate under a MOU with other tertiary education providers, or in the case of Te Ataarangi, as a joint venture agreement.

The Wellington Campus (Awanuiārangi ki Poneke, formerly known as the “Awatope Outpost” in reflection of the Awatope Higher Learning Trust, a Ngāti Awa charitable trust that originally looked at the delivery of suitable programmes in Wellington) uses the resources of Wellington Institute of Technology (WelTec).

The newly established Auckland campus (Tāmaki Makaurau Campus) is located at 15 Canning Cres in Mangere which is the main Manukau Campus of Te Wānanga o Aotearoa.

A fourth campus is being developed in Tauranga.

TWWOA initiated a joint venture agreement with Te Ataarangi in Hamilton in 1999 as it “recognised the success of Te Ataarangi in producing confident speakers of Māori and developed a joint venture to deliver Te Ataarangi’s programmes.”<sup>11</sup>

TWWOA often utilises Memorandums of Understanding (MOUs) to establish relationships that enable the delivery of its programmes in areas outside of Whakatane. In particular, these are used in the Iwi Development programme to establish a basis for the teaching on the marae.

*TWWOA Council (Te Kaunihera)*

The Council is chaired by Distinguished Professor [Name removed].

“Professor [Name removed] is credited with developing the founding vision for Awanuiārangi, and has overseen the development and fulfilment of this vision. He completed his doctorate at the University of Illinois, in the United States. Professor [Name removed] is a recognised authority of tikanga and matauranga and is a recent recipient of a Montana New Zealand Book Award.”<sup>12</sup>

Council members are as follows:

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<sup>11</sup> [http://www.wananga.ac.nz/campuses/ataarangi/TeAta\\_Load.html](http://www.wananga.ac.nz/campuses/ataarangi/TeAta_Load.html)

<sup>12</sup> [http://www.wananga.ac.nz/Key\\_Info/Council.html](http://www.wananga.ac.nz/Key_Info/Council.html)

[Names removed]

#### 4. Recordkeeping information

The lack of recordkeeping practices at TWWOA has meant that there have not been any consistent processes for the identification and management of record classes or series. Lists of records do not exist, and information is grouped together and stored by individual staff in most cases. Any records organization that exists is often arranged according to what is required in terms of processing rather than by function, activity. (For example, student files are created for undergraduate, masters and PhD study, even if the same student continues through each level) This means that records that describe a certain process may be in a number of different locations depending on the individuals or groups who contribute to that process. It also raises the risk of duplicated information.

Although records management practices are changing as part of TWWOA's development and implementation of a records management programme September-December 2008, these circumstances make it difficult to detail recordkeeping information as required by the *Guide to Preparing an Appraisal Report for a Continuing Disposal Schedule*. (See under *Appraisal Circumstances* for further information.)

In nearly all cases secondary information (lists etc) about the records simply do not exist and to retrospectively locate and describe the information on a series by series or class by class basis would require extensive hours of work that are outside the scope of the contract. As a consequence the recordkeeping information has been analysed based on a records review that was carried out on-site (see under *Methodology*) and organised here along the lines of the Records Classification Structure which was developed as part of the contract.

In summary the records below form an *intellectual* arrangement only based on recommended classification practices. The records themselves are currently dispersed across TWWOA in various locations and network drives.

#### Class 1: Academic Programme management

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**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 3lm p/a

**Related records:**

Copies of Tertiary Education Commission, New Zealand Qualifications Authority audit reports will be held with the agency.

**System of arrangement:**

No organization-wide system of arrangement. Much of the academic management material is organised by programme or course name or number.

**Format:**

Paper-based, in Eastlight and other similar binders.

**Description of records within class:**

This class can be described as containing the following documentation:

|                           |   |
|---------------------------|---|
| Programme files           | <p>Records of all completed documentation required for auditing purposes. Includes both programme (e.g. a degree, a certificate, a diploma) and course files.</p> <p>These files <i>may include</i> the scope of the programme or course, initial development and stakeholder feedback, all correspondence with the accrediting body (if one exists), redevelopment, re-alignment documentation, course outlines, descriptors, examination approvals, exam papers, process and result documentation, student evaluations and external monitors' reports.</p>  |
| Academic audits           | Records of TWWOA –wide academic audits such as records relating to Tertiary Education Commission and New Zealand Qualifications Authority audits.   |
| Academic management       | <p>Records relating to the quality assurance (QA) and management of TWWOA academic programmes and courses such as management of monitors’ visits, examination process, examination assessment approvals. Includes site accreditation by external bodies especially by ITPNZ (Institutes of Technology and Polytechnics of New Zealand) relating to quality assurance.</p> <p>NB: monitors may required by New Zealand Qualifications Authority when new programmes are developed and first offered; they visit annually or sometimes more frequently. Monitors may also be used to assist in the development and quality control of programmes.</p> |
| Academic profiles and CVs | Academic staff CVs and Profiles are not kept with personnel files. They are kept to support accreditation   |

|  |  |
|--|--|
|  | processes, quality assurance and control related to teaching. They document the research outputs of staff, their applications for academic title, their completion of qualifications. This information is updated on a regular basis, as staff research, publish, and qualify. |
|--|--|

**Precedent:**

None within TWWOA. All of the groups within this class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326.

**Access Recommendations:**

None.

**Class 2: Academic Registry Management Records**

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**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005
4. Official Information Act 1982
5. Privacy Act 1993
6. Human Rights Act 1993

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 5.5 lm p/a

**Related records:**

None known.

**System of arrangement:**

Student files are arranged alphabetically by surname while the student administration information is arranged by date.

**Format:**

Student files are within file covers. Most of the printed information regarding Student Administration is generated from electronic data in the Student Management System (currently Artna.) and therefore a lot of the student information is a mix of formats.

**Description of records within class:**

This class can be described as containing the following documentation:

|                        |  |
|------------------------|--|
| Student files          | Files of each individual student, each containing enrolment information, and other documentation depending on programme, student's study path, etc.  |
| Student administration | Records that detail the management and maintenance of student administration processes such as Student Management System generated reports, processing of enrolments, withdrawals, corrective action requests etc. |

**Precedent:**

None within TWWOA. All of the groups within this class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326.

**Access Recommendations:**

Student files will contain personal information and therefore will need restriction.

**Class 3: Business Management Records**

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**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005
4. Official information Act 1982
5. Privacy Act 1993
6. Limitation Act 1950
7. Protected Disclosures Act 2000
8. Commission of Inquiry Act 1908
9. Evidence Act 1908
10. Evidence Act Amendment Act 2000

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 1.5 lm p/a

**Related records:**

None known.

**System of arrangement:**

No organization-wide system of arrangement. Chief Executive’s records were originally given alphanumeric numbers (when a new file needed to be created within a given group, for example “Finance” or “Faculty Overview” it was given the next number available. Other records may exist within a system of arrangement organised by the individual or group.

**Format:**

Paper mainly within file covers (non-specific) or binders.

**Description of records within class:**

This class can be described as containing the following documentation:

|                           |  |
|---------------------------|--|
| Chief Executive           | Personal records detailing his work as Chief Executive and kept for the Chief Executive's reference or comment only.   |
| Communications management | This covers the generation and dissemination of communications to staff (internal) as well as general TWWOA communications to external agencies. (This does not include marketing or promotional material, or specific communications to agencies. |
| Complaint management      | Records that document significant complaints. (Minor complaints are on student or staff files.)  |
| Events                    | Management of TWWOA events or records of TWWOA participation in external events. Published reports of in-house conferences   |
| Joint ventures            | Records detailing the development and maintenance of the joint venture with Te Ataarangi   |
| Meetings                  | Minutes of all TWWOA meetings apart from Academic Board, Council and their relevant sub-committees.  |
| Planning and strategy     | Key, significant documents that summarise or plan the activities of TWWOA as a whole. Does not include portfolio (programme) planning.   |
| Project management        | Records relating to TWWOA-wide projects (such as campus redevelopment) as well as significant projects   |

|                          |   |
|--------------------------|---|
|                          | that are managed by one group within TWWOA but impact on a range of TWWOA processes or structures.  |
| Relationships management | These records describe the management of TWWOA's business, research and academic contacts and alliances, as well as the documentation of any Memorandums of Understanding (MOUs). |
| Reporting                | Records documenting group, department reports, Quality Management System (QMS) reporting, statistical reports etc.  |
| Restructuring            | Information relating to TWWOA restructuring.  |

**Precedent:**

None within TWWOA. Most of the groups within this class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326.

**Access Recommendations:**

Most current access issues will not be relevant by the time of transfer. Restructuring, Complaint Management and Chief Executive records may contain commercially sensitive or personal information.

**Class 4: Financial management**

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**Start date:**

Unknown. Finance and accountability functions were outsourced until July 2007 to [Name removed], a Whakatane chartered accountancy firm. While many of the financial records were returned to TWWOA after the function was bought back in-house, the breadth of the records remains unclear. The records viewed (situated in a number of locations) ranged in date from 1997 to 2007.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Tax Administration Act 1994
2. Financial Reporting Act 1993
3. Goods and Services Tax Act 1985

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 2 lm p/a

**Related records:**

None known.

**System of arrangement:**

All material arranged by individual, group. Invoices are alpha-numeric – three characters plus number reference for creditors in year blocks alphabetically. Jan.–Dec. is the financial year. No formal classification systems exist.

**Format:**

Current information is in binders in offices. Older information is in boxes, stored either in an unused office near the Finance Section, or, in the case of records pre-dating July 2007, is in boxes in the Francis St house.

**Description of records within class:**

This class can be described as containing the following documentation:

|                 |  |
|-----------------|--|
| Annual budget   | Records that describe the processes that result in the annual budget. For example, financial reports, working papers, budgetary meeting minutes. |
| Finance         | Finance and accounting records.  |
| Student debtors | Administration of student debtor information such as processing of Studylink information, credit notes, refunds etc.                             |

**Precedent:**

None within TWWOA. All of the groups within this class were reviewed against the Financial General Disposal Authority.

**Access Recommendations:**

Most current access issues will not be relevant by the time of transfer.

**Class 5: Governance Records**

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**Start date:**

Unknown. Contains earliest records starting c1992. Full range of Academic Board and Council minutes are known to exist.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005
4. Official Information Act 1982
5. Financial Reporting Act 1993

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 1.4 lm p/a.

**Related records:**

None known, although discussion with the Council Secretary has indicated that some preliminary foundation and governance information **may** exist in the records of Te Rūnanga o Ngāti Awa.

**System of arrangement:**

No organization-wide system of arrangement. Council and Academic Board records are arranged by date. Other records may exist within a system of arrangement organised by the individual.

**Format:**

Paper mainly within a variety of binders.

**Description of records within class:**

This class can be described as containing the following documentation:

|                          |   |
|--------------------------|---|
| Academic Board           | Records that provide evidence of the Academic Board's activities such as agenda and background papers, meeting minutes, reports and associated management documentation   |
| Annual report            | Master publications and development documentation   |
| Audits & reviews         | Audits and reviews that cover business processes or areas that affect TWWOA as a whole such as financial audits, product and services evaluations, and other internal and external audits. This does not cover academic (course, programme or teaching) audits. |
| Council                  | TWWOA Council agenda and background papers, meeting minutes, reports and associated management documentation  |
| Foundation documents     | Records that outline the foundation of TWWOA, and the establishment of the main campus, other delivery sites etc  |
| Statutes and regulations |   |

**Precedent:**

None within TWWOA. Most of the groups within this class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326.

**Access Recommendations:**

Most current access issues will not be relevant by the time of transfer.  
Legal records may contain commercially sensitive or personal information.

**Class 6: Human Resource Management records**

---

**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Employment Relations Act 2000
2. Health and Safety in Employment Act 1992
3. Holidays Act 2003
4. Minimum Wage Act 1983
5. Evidence Act 1908
6. Limitation Act 1950
7. Human Rights Act 1993
8. Social Security Act 1964

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 2 lm p/a

**Related records:**

None known.

**System of arrangement:**

Staff files are arranged alphabetically by surname. Other material arranged by subject

**Format:**

Paper-based. Staff files are in file folders. Other information is stored in binders.

**Description of records within class:**

This class can be described as containing the following documentation:

|             |  |
|-------------|--|
| Staff files | Individual files on each staff member containing contracts of service and performance appraisals, professional development information, personal grievances etc. |
|-------------|--|

|  |  |
|--|--|
| Human resources records                | Records documenting general Human Resources processes and policies. For example recruitment and salary information, performance assessments, leave information, EEO information. |
| Industrial relations records           | Records detailing relationships with unions, dispute management.   |
| Occupational safety and health records | Records documenting hazard identification, accident and first aid reports, accident register.  |
| Payroll records                        | Records documenting payroll processes.   |
| Training and development records       | Records containing information on the training of staff and the development of TWWOA training.   |

**Precedent:**

None within TWWOA. All of the groups within this class were reviewed against the Human Resource Management General Disposal Authority.

**Access Recommendations:**

Staff files will need restriction as they contain personal details. Some industrial relations records may also need restricting if they contain personal details.

**Class 7: Information Management records**

---

**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005
4. Official information Act 1982
5. Privacy Act 1993
6. Copyright Act 1994
7. Electronic Transactions Act 2002

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Additionally, a very large percentage of these are maintained only electronically. Estimated that growth of physical records will be minimal.

**Related records:**

None known.

**System of arrangement:**

Arranged by individual, group. No formal classification arrangements.

**Format:**

Most printed information in binders. 80% of Information Technology (IT) information is electronic. Library management information is a mixture of paper and short term electronic.

**Description of records within class:**

This class can be described as containing the following documentation:

|  |  |
|--|--|
| Information Technology (IT) management | Records relating to day to day management and support of IT. Includes systems information and IT contracts and licenses. |
| Library management                     | Records documenting library management processes.  |
| Records management                     | Records documenting records management processes.  |

**Precedent:**

None within TWWOA. All of the groups within this class were reviewed against the Administration General Disposal Authority.

**Access Recommendations:**

Most current access issues will not be relevant by the time of transfer.

**Class 8: Legal and risk management**

---

**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005

4. Official information Act 1982
5. Privacy Act 1993
6. Limitation Act 1950
7. Protected Disclosures Act 2000
8. Commission of Inquiry Act 1908
9. Evidence Act 1908
10. Evidence Act Amendment Act 2000

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 1 lm p/a

**Related records:**

None known.

**System of arrangement:**

No organization-wide system of arrangement. Records may exist within a system of arrangement organised by the individual or group.

**Format:**

Paper mainly within file covers (non-specific) or binders.

**Description of records within class:**

This class can be described as containing the following documentation:

|                 |   |
|-----------------|---|
| Risk management | Records documenting the management of risk at TWWOA, including policies and procedures      |
| Legal advice    | Information that documents legal advice relating to TWWOA business, academic programmes etc |

**Precedent:**

None within TWWOA. Most of the groups within this class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326.

**Access Recommendations:**

Most current access issues will not be relevant by the time of transfer. Some records may contain commercially sensitive or personal information.

**Class 9: Marketing and Promotions Management records**

---

**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Copyright Act 1994

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated c .5 lm p/a.

**Related records:**

None known.

**System of arrangement:**

Arranged by individual. No formal classification arrangements.

**Format:**

Most of the more recent marketing development information is electronic. Hard copies of brochures, publications etc, as well as working papers in binders.

**Description of records within class:**

This class can be described as containing the following documentation:

|                                  |  |
|----------------------------------|--|
| Marketing and promotions records | Records documenting marketing and promotion within and across TWWOA as a whole. For example conferences and events, market research. |
| Marketing management records     | Records documenting the development, design, dissemination of marketing information. Includes reference copies.                      |

**Precedent:**

None within TWWOA. All of the groups within this class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326 or the Administration General Disposal Authority.

**Access Recommendations:**

None.

**Class 10: Policy and procedure**

---

**Start date:**

Unknown, c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005
4. Official Information Act 1982
5. Financial Reporting Act 1993

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 0.10 lm p/a.

**Related records:**

None known.

**System of arrangement:**

No organization-wide system of arrangement.

**Format:**

Paper.

**Description of records within class:**

This class can be described as containing the following documentation:

|                       |   |
|-----------------------|---|
| Policy and procedures | Records that document TWWOA policy and procedures relating to academic, operational support and governance functions. |
|-----------------------|---|

**Precedent:**

None within TWWOA. This class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326.

**Access Recommendations:**

None.

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**Class 11: Property and Services Management Records**


---

**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005
4. Evidence Act 1908
5. Land Transfer Act 1952
6. Resource Management Act 1991

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 0.5 lm p/a

**Related records:**

Building Warrant of Fitnesses (WOFs), compliance certificates etc with relevant agencies.

**System of arrangement:**

Individually arranged records. No classification system currently assigned. Many records arranged by service or building description.

**Format:**

Paper mainly within binders. Small number of plans.

**Description of records within class:**

This class can be described as containing the following documentation:

|                               |  |
|-------------------------------|--|
| Contract management           | Records documenting contract-based information relating to property, services and assets.  |
| Equipment management          | Records documenting the non-financial procurement, maintenance and disposal processes of equipment ranging from stationery to telecommunications and hardware. |
| Insurance management          | Records documenting the management of TWWOA insurance.   |
| Land and buildings management | Records that document the management of buildings and land owned or leased by TWWOA.   |
| Planning and strategy         | Management and processing records relating to aspects such as the building maintenance plan, minor and major capital works and resource consents.              |
| Services management           | Records documenting the day to day management of processes relating to service suppliers. For example, consultant and service reports, supplier information.   |

**Precedent:**

None within TWWOA. Most of the groups within this class were reviewed against the Administration General Disposal Authority.

**Access Recommendations:**

Most current access issues will not be relevant by the time of transfer.

**Class 12: Research Management Records**

---

**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005
4. Official information Act 1982
5. Privacy Act 1993
6. Copyright Act 1994
7. Evidence Act 1908
8. Limitation Act 1950
9. Evidence Act 1908
10. Evidence Act Amendment Act 2000
11. Human Rights Act 1993
12. Ombudsmen Act 1975

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 1 lm p/a

**Related records:**

New Zealand Qualifications Authority evaluations will be held with the agency.

**System of arrangement:**

Programme files arranged by Programme or course name, number. Performance-Based Research Fund (PBRF) administrative material currently organised by numerical classification. (For example: 200: New Zealand Qualifications Authority, 200:110 New Zealand Qualifications Authority: Moderation.) Other material arranged by an individual or group.

**Format:**

Paper-based. Most of the information is in binders with some research management material in file covers.

**Description of records within class:**

This class can be described as containing the following documentation:

|                           |  |
|---------------------------|--|
| Academic development      | Records that document academic development processes such as the documentation of academic curriculum vitae (CVs), profiles and titles, management of unit standards, portfolio planning, etc.<br>These records focus on the improvement and development of the academic status and standing of both academic staff and the organisation as a whole. They also include the development of the organisation’s portfolio (the programmes that are taught) and the related issues of accreditation of programmes by the New Zealand Qualifications Authority. |
| Research management       | Records that document Performance-Based Research Fund (PBRF) applications and portfolios, and contract-based research carried out by TWWOA, including the administration of post-graduate research by TWWOA students and administration of applications for research contracts, funding.   |
| Research reports and data | Research data, reports and findings of major national or international significance, interest or controversy (for example, research into soil quality carried out in Whakatane for the district council) OR where the principal researcher has a widely acknowledged influence in the area of scholarship. In both cases, these are only records where TWWOA is entitled to control or ownership of data, reports and findings.  |

**Precedent:**

None within TWWOA. All of the groups within this class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326.

**Access Recommendations:**

Most current access issues will not be relevant by the time of transfer. Most files contain a record of the professional output and achievements of staff, rather than personal details.

**Class 13: Resource Development and Supply Records**

---

**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005
4. Official information Act 1982
5. Privacy Act 1993
6. Copyright Act 1994

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above, and also because the focus was on corporate records and many of these would be created and held by academic staff for teaching purposes. Estimated .5 lm p/a

**Related records:**

None.

**System of arrangement:**

No organization-wide system of arrangement. Individually arranged records.

**Format:**

Paper mainly within binders. Reference copies.

**Description of records within class:**

This class can be described as containing the following documentation:

|                                 |  |
|---------------------------------|--|
| Resource development and design | Records documenting the development and design of the content of a particular course (paper), as well general information for students and general resources used for teaching purposes that may be used across courses. |
| Resource printing               | Records documenting the management of printing processes for resources.  |
| Resource supply                 | Records documenting the management of resource supply to students. Includes the maintenance of the on-line campus (E-Wānanga)  |

**Precedent:**

None within TWWOA. Most of the groups within this class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326.

**Access Recommendations:**

Most current access issues will not be relevant by the time of transfer.

**Class 14 – Student support**

---

**Start date:**

Unknown. c1992.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Education (Te Whare Wananga O Awanuiarangi) Order 1996
2. Education Act 1989
3. Public Records Act 2005
4. Official Information Act 1982
5. Privacy Act 1993
6. Human Rights Act 1993

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 0.5 lm p/a

**Related records:**

None known.

**System of arrangement:**

There was no system of organization for student support information other than that of individual arrangement.

**Format:**

Paper-based folders, files, posters.

**Description of records within class:**

This class can be described as containing the following documentation:

|                 |  |
|-----------------|--|
| Student support | Information to do with the provision of learning support and pastoral care services as well as guidance to students about the TWWOA. |
|-----------------|--|

**Class 15 : Administration and Support Records**

---

**Note: this class is not covered in Section 9 as all information is covered by the GDAs.**

**Start date:**

Unknown. Mainly current.

**End date:**

Ongoing

**Legislation:**

Relevant legislation may include:

1. Public Records Act 2005
2. Financial Reporting Act 1993

**Quantity:**

Unknown. Quantity created per annum unable to be measured due to reasons outlined above. Estimated 0.5 lm p/a

**Related records:**

None known.

**System of arrangement:**

In all cases arrangement is by the individual and is not classified in any way.

**Format:**

Paper-based mainly within binders.

**Description of records within class:**

This class can be described as containing the following documentation:

|                          |   |
|--------------------------|---|
| Administration           | General administrative records created by administrative support staff such as association membership, phone list updates etc |
| Conferences              | This section covers administrative information to do with conferences arranged by the TWWOA.                                  |
| Travel and Accommodation | General information about travel and accommodation as well as travel requests.  |

**Precedent:**

None within TWWOA. Most of the groups within this class were reviewed against similar descriptions in The Open Polytechnic of New Zealand Schedule DA326.

## **Access Recommendations:**

No access recommendations.

## **5. Methodology**

[Name removed] had an initial meeting on-site on 10 September 2008, and then carried out an on-site review of records and records management practices from Tuesday 16 to Thursday 18 September, 2008.

The purpose of the review was to obtain information with which to develop a set of tools and policies that would form the basis of a records management programme.

The review covered paper and electronic records generated and kept for corporate purposes at the Wānanga. It looked at records documenting Wānanga operations and academic administration in Whakatane, as well as records from or associated with the Wānanga's delivery sites in Auckland and Wellington. It did not cover student work.

Due to the lack of existing records management processes (as outlined in *Appraisal Circumstances*) the consultants decided on a four step review process that focused on the main functions, activities and the agency context.

### **1. Review of current business documentation**

Before and during the onsite visit [Name removed] reviewed a range of background information that helped them to:

- Ascertain the business context of the Wānanga (that is, what it does, how it works)
- Ascertain the extent of current recordkeeping practices (what records are listed, whether disposal takes place etc)

A list of the documentation reviewed is in Appendix One.

### **2. Review of business context**

An initial meeting took place between [Name removed] and Library staff on 10 September 2008. This enabled [Name removed] to gain an overall picture of the Wānanga, its governance structure, business context, records management culture and internal information management processes.

Further review also took place during the second visit with follow-up discussion with selected staff from the Library, Council and Operations.

Paper records were viewed in offices and storage locations in both main campus locations. Due to the lack of records lists or records classification an extensive selection of records were viewed onsite to establish whether they were consistent with what was documented during the interviews with staff (see below) and through background research.

A selection of records were also reviewed in the Francis St house and in the Te Tahī St secure storage facilities. A large majority of these records were older instances of the records within offices, a majority being from Finance and from administrative records associated with the Marae-based certificate. Notable exceptions were documented for inclusion as examples in the appraisal report.

A copy of the entire folder structure in the shared S: drive was obtained electronically in order to allow review of the types of electronic records the Wānanga generates. Analysis of this demonstrated that although there was a lack of structure, the content was very similar to that of the paper-based records.

### **3. Interviews with selected staff**

Lindisfarne carried out on-site interviews with 24 staff representing the following groups:

1. Council
2. Academic Board
3. Chief Executive's Office
4. Academic Registry
5. Programme Administration: Masters, MIS, Education, Research / Performance-Based Research Fund (PBRF)
6. Maturanga Maori
7. Operations / Marketing
8. Human Resources
9. E-Wananga
10. Iwi Development
11. Academic Registry
12. Library and Records Management
13. Student Support

Lindisfarne either interviewed individual staff or (for areas such as Finance, Human Resources, Academic Registry) interviewed small groups.

Interviews were based on an interview template. This asked staff about:

- what activities they carried out in their day to day work
- what records they currently used
- whether they followed any existing rules or processes when it came to managing records
- whether they shared records with other groups, and with who
- what they did with records they no longer needed
- which records they considered vital to the Wānanga
- any concerns they may have about records access, use, storage, duplication
- what they would like to see in their ideal filing system

### **4. Determining “exceptions to the rule”**

Since the records were not organised or arranged in a way that allowed a series by series analysis, the consultants concentrated on analysing the records available to check:

1. Whether the records represented functions that are the same as other tertiary level institutions, organisations.
2. Whether any groups of records could be located that represented exceptions to this rule.

It was established that although records described different processes, the reasons behind the creation of the records were consistent with expected functions from tertiary organisations. This was backed up by a review of The Open Polytechnic of New Zealand's disposal schedule. (See section 7: *Relevant precedent*.)

*Continuing disposal authority suitable*

The review established that a continuing disposal authority was suitable because the different record types have remained fairly consistent over this whole period despite the lack of classification and a number of structural changes.

## 6. Consultation

Staff within the Wānanga were extensively consulted during the review process and they also provided feedback on the schedule decisions.

The following staff were interviewed:

| Office / Group   |
|--|
| Chief Executive's Office   |
| Finance  |
| Student Administration   |
| Secretary for Council  |
| School of Indigenous Graduate Studies                                      |
| Matauranga Maori   |
| Operations (Reception, Print, Grounds, Information Systems etc)/ Marketing |
| Human Resources  |
| E-Wananga  |
| School of Iwi Development  |
| School of Undergraduate Studies  |
| School of Indigenous Graduate Studies                                      |
| Academic Registry  |
| Library  |
| Student Support  |

The Wānanga did not see the need to formally consult with a large number of external parties for the following reasons:

- The records are corporate records
- The records reflect classes of records that are similar with other tertiary level institutions
- Many of the records are administrative in nature
- External stakeholders (such as New Zealand Qualifications Authority, Tertiary Education Commission) have their own copies of relevant material relating to quality assurance etc.

There were plans to use Ngati Awa Runanga as the channel for consultation, but in the end, nothing transpired.

## 7. Relevant precedent

The Open Polytechnic of New Zealand Continuing Disposal Authority (DA326) was used as the primary precedent. This was because:

- It is another tertiary-level learning institution teaching comparable undergraduate programmes (although no post-graduate ones).
- It has a range of record classes similar to TWWOA.
- It was produced recently (approved March 2008)

A copy of this schedule has not been attached as it is already held with Archives New Zealand and is available via Archway.

DA337 Universities General Disposal Authority was also reviewed. Since this schedule explicitly excludes Wānanga it was not used in detail but, like DA326, reviewed for general guidance on disposal decisions for similar classes.

Each class of TWWOA records was evaluated on its own merits and not all retention decisions included in either schedule were followed. For example records relating to the development of scholarships unique to TWWOA (such as the Mataatua Fee Scholarship) were recommended for destruction in DA326 but recommended for retention in this report.

## 8. Disposal Criteria

### *Affecting Legislation*

The schedule has taken the current legislative retention requirements into consideration where such retention periods are specifically stated.

The Education Act 1989 s 225 specifically states that student academic records and transcripts (see 2.3.1 of schedule) are required to be retained permanently by the agency for accountability and/or legislative purposes.

### *General Disposal Authorities (General Disposal Authorities)*

The General Disposal Authorities have been used as the basis of many decisions in the retention and disposal schedule. **Records that have the same retention decision as a similar description in the General Disposal Authorities *are not* covered in the accompanying schedule or included in Section 9 of this report. .**

### *Definitions*

To aid the interpretation of what is recommended for retention, the following definitions have been used in the context of this report:

#### Significant:

1. A record that documents, or has an important impact on, key, vital or important business (governance, corporate, services) and decision-making processes
2. A record where destruction would have a high probability of an adverse impact on high-level decision-making and accountability
3. Does not cover the concept of “large amount”

#### Course:

- One individual paper taken in a semester

#### Programme:

- Several courses taken over time to make up one qualification.

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

It was determined that the following unique and useable records meet the following objectives as outlined in Archives New Zealand’s *Appraisal Policy*:

#### **5.1 Memory objective:**

(To identify and preserve records that substantially contribute to the knowledge and understanding of New Zealand’s history and communities.)

1. Significant records that document TWWOA’s approach to āhukatanga Māori and tikanga Māori and/or its relationships with Mataatua and other Iwi.
2. Significant records that summarise TWWOA’s teaching content and TWWOA’s approach to āhukatanga, tikanga Māori.

#### **5.2 Accountability objective**

(To identify and preserve records that are fundamental to the protection and well being of the community or provide substantial evidence of the condition of the country, its people and the environment and the impact of government activities on them.)

3. High-level planning and decision-making records relating to academic programmes carried out by TWWOA

4. Significant records that outline high-level communications, negotiations, events, relations, compliance between TWWOA and other key agencies and stakeholders

#### **5.4 Decision-making objective**

(To identify and preserve records providing the best evidence of the decisions and actions of the government of New Zealand and its public sector bodies relating to important functions, programmes and significant issues faced in governing New Zealand.)

5. Records that outline high-level governance functions, e.g., academic board, council minutes, reports, and high-level corporate and governance policies, procedures and consultation relating to areas of significant change, high risk, and/or compliance.
6. Significant establishment records relating to TWWOA, its council, academic board, business practices, academic programmes, student support procedures etc

#### **5.5 Rights and entitlements objective**

(To identify and preserve records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups.)

7. Records such as select student information, specific staff files that provide evidence of individual entitlement to TWWOA qualifications and awards based on attendance and academic performance or to academic or professional status or NZ honours or else provide evidence of the legal and professional status of significant individuals within the TWWOA.

All are currently available in paper-based format and are in good condition.

#### ***Recommended for destruction:***

It was determined (based on consultation with TWWOA) that the following records were not unique and do not have long-term value past their current administrative use. This was because they:

- Are not unique to TWWOA or
  - Provide evidence of low-level activities and processes that are summarised elsewhere in records recommended as having long-term value or
  - Have little accountability or evidential, informational value once they are administratively no longer required by TWWOA or
  - Are housekeeping or facilitative records of little evidential or historical value
1. Corporate records documenting low – level and/or routine administrative or operational activities and processes
  2. Low level TWWOA communications with external agencies

3. Records containing duplicated or FYI information or information better captured or summarised elsewhere within TWWOA records
4. Service-based records for low-level and/or routine services such as cleaning, car-parking, interloans requests

Many of the records of short term administrative value are currently kept electronically in individual or shared drives. Records that need to be kept for the longer term are printed or are compiled from data managed in the Student Management System.

## 9. Description and Evaluation of Classes

|                                     |   |
|-------------------------------------|---|
| Class title                         | Academic Programme Management   |
| Class number                        | 1   |
| Description                         | Records documenting the development, management and administration of academic programmes (and associated courses / papers) delivered by TWWOA. Record groups within this class include course outlines, records relating to the management of cross-credits, past examination applications, marked exam scripts, market research, administration records relating to Monitors' visits, programme and course proposals, course and programme reviews, and completed documentation by programme or course (called programme files) that contains evidence of quality assurance (QA) and auditing processes, student feedback and general administration files. Also includes site accreditations conducted by ITPNZ (Institutes of Technology and Polytechnics of New Zealand) for the purposes of academic quality assurance.   |
| Value                               | <p>A majority of the record groups have low informational or evidential value. This is because they are summarised in other records of significant evidential or informational value or else are simply low-level administrative or facilitative in nature.</p> <p>There are, however, three groups of records that have high evidential and informational value due to the fact that they provide summarised evidence of TWWOA's teaching content (which document a significant core activity and decision-making processes and document the history of learning from an āhukatanga, tikanga Māori perspective ) and provide evidence of high-level planning and decision-making records relating to academic programmes carried out by TWWOA (which document the history of programme and course development at TWWOA, and complement the records of other tertiary institutions in New Zealand.)</p> |
| Recommended for retention as public | <ul style="list-style-type: none"> <li>• Records that provide summarised evidence of examinations held.</li> </ul>  |

|                             |   |
|-----------------------------|---|
| archives                    | <p><i>e.g. Master copies of examination papers</i></p> <ul style="list-style-type: none"> <li>• Records that provide summarised evidence of TWWOA programmes and courses<br/><i>e.g. Approved programme and course Files. (These files contain proposals, accreditation/ approval records relating to programmes and courses from New Zealand Qualifications Authority and other external qualifications authorities, programme re-development information, examination papers etc), records of significant programme reviews not summarised in programme files.</i></li> <li>• Records that provide summarised evidence of programme / course effectiveness from the students' point of view.<br/><i>e.g. Summaries of course and/or programme-related feedback from students</i></li> </ul>   |
| Recommended for destruction | <ul style="list-style-type: none"> <li>• Low-level administrative and facilitative records<br/><i>e.g. venue bookings</i><br/><i>e.g. timetables for guest lecturers</i><br/><i>e.g. records detailing administrative arrangements for monitors visits</i><br/><i>e.g. individual student feedback forms</i><br/><i>e.g. record documenting facilitation of quality assurance (QA) processes</i></li> <li>• Records documenting programme and course proposals that are not approved for delivery</li> <li>• Records documenting the day to day management of the examination process<br/><i>e.g. applications for copies of past examinations</i><br/><i>e.g. records relating to the approval and release of examination results</i><br/><i>e.g. completed exam scripts</i><br/><i>e.g. records documenting the setting and marking of examinations</i></li> <li>• Records documenting the day to day management of course delivery<br/><i>e.g. moderation reports</i><br/><i>e.g. marking guides</i></li> <li>• Records that are summarised elsewhere in published form, or summarised, aggregated in records recommended for retention as a public record.<br/><i>e.g. records maintaining information regarding academic curriculum vitae (CVs), profiles and titles</i><br/><i>e.g. records used to establish quality of academic programmes such as student retention and completion statistics</i><br/><i>e.g. programme market research</i></li> </ul> |

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| Quantity to retain  | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>10 lm</b> may need to be retained as public archives.</p>   |
| Quantity to destroy | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>120 lm</b> may be able to be destroyed once the recommended minimum retention period has passed. (Although since much of this information consists of information printed from electronic sources, the amount may vary depending on future TWWOA processes once the establishment of a records management programme is in place.)</p> |

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| Class title  | Academic Registry Management   |
| Class number | 2  |
| Description  | Records relating to the management of student-related (i.e, not course or programme-related) information, as well as administration of student-related processes and associated reporting.   |
| Value        | <p>Most of the record groups have low informational or evidential value because they are either summarised in other records of significant evidential or informational value or document low-level administrative or facilitative processes.</p> <p>There are some exceptions. Records such as significant reports, master list of graduations, selected student files and summaries of student evaluations about student service delivery provide high informational and evidential value due to the fact that they summarise key academic functions or achievements. These may be required by the students or for reasons such as employer checks, visa applications or family history. There is an expectation that any tertiary institution will be able to supply this information for all of their students/graduates.</p> |

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|  | <p>Student academic records and transcripts have long term administrative and reference value. These records are recommended for permanent retention by the Wananga as per the Education Act 1989 s225.</p>  |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>• Non-student management system generated reports that summarise key, significant aspects of academic registry, academic programme functions, for example, nominations or recommendations for honorary degrees.</li> <li>• Student files of students who have received significant awards or honours and/or achieved high distinction or fame.</li> <li>• Summaries of student evaluations of service delivery.</li> <li>• Master list of all graduating students.</li> </ul>   |
| Recommended for destruction                  | <ul style="list-style-type: none"> <li>• Records that are generated to satisfy the auditing, reporting requirements of other agencies<br/><i>e.g. Reports sent to New Zealand Qualifications Authority, Equivalent Full-Time Student (EFTS) reports for funding purposes, Reports sent to Tertiary Education Commission.</i></li> <li>• Low-level administrative reports either based on data in the student management system or are minor in scope.<br/><i>e.g. minor reports such as Verification of Study (VOS) reports, Status reports, Withdrawal reports, Reports on student numbers.</i></li> <li>• Low-level administrative and facilitative records<br/><i>e.g. Student Management System maintenance records</i><br/><i>e.g. Individual student evaluation forms</i><br/><i>e.g. Records facilitating the planning of graduation ceremonies</i></li> <li>• Records documenting the day to day processes behind student administration<br/><i>e.g. student applications for graduation, conferral of qualifications, transfers</i><br/><i>e.g. documents explaining the enrolment facilitation process</i><br/><i>e.g. routine student enquiry records</i><br/><i>e.g. schedules of fees set</i></li> <li>• Student files not required to be kept as public archives.</li> </ul> |
| Recommended for retention by TWWOA           | <ul style="list-style-type: none"> <li>• Student academic records and transcripts</li> </ul>   |
| Quantity to retain                           | Due to the lack of lists, the lack of established classification   |

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|                     | <p>systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>15 lm</b> may need to be retained as public archives.</p>   |
| Quantity to destroy | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>163.5 lm</b> may be able to be destroyed once the recommended minimum retention period has passed.</p> |

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| Class title                         | Business Management  |
| Class number                        | 3  |
| Description                         | <p>This varied class documents the range of <b>day-to-day</b> business management functions that are carried out by TWWOA operational staff and management.</p> <p>Does <b>not</b> include Governance records.</p> <p>Does <b>not</b> include academic programme management.</p> <p>Groups include: CEO's records, complaints records, market research, operational project development and maintenance records, records documenting business relationships with external agencies and business planning records.</p>  |
| Value                               | <p>Many of the record groups have low informational or evidential value because they are either summarised in other records of significant evidential or informational value or document low-level administrative or facilitative processes and/or are short term in nature.</p> <p>Other record groups have significant evidential and informational value as they outline high-level communications, negotiations, events, relations or compliance between TWWOA and other key agencies and stakeholders. They summarise the activities of key executive staff, or else have legal and evidential value in that they summarise key compliance issues in the form of TWWOA responses to significant complaints.</p> |
| Recommended for retention as public | <ul style="list-style-type: none"> <li>Records that summarise significant TWWOA events, initiatives, ceremonies or introduce significant changes,</li> </ul>   |

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| archives                    | <p>reviews.<br/> <i>e.g. Significant Chief Executive speech notes</i><br/> <i>e.g. Records that document significant TWWOA contribution, participation in significant community, Iwi events, or significant cultural initiatives such as Mataatua assembly.</i><br/> <i>e.g. Photographs taken in the course of significant TWWOA events, occasions, and happenings.</i></p> <ul style="list-style-type: none"> <li>• Records that document TWWOA response to significant complaints from students, staff, other agencies etc.</li> <li>• Significant establishment records relating to business development and major business projects<br/> <i>e.g. Records documenting the establishment of joint ventures such as Te Ataarangī</i><br/> <i>e.g. Record documenting the establishment of significant projects such as campus re-development, Quality Management System (QMS) re-development.</i></li> <li>• Records that summarise significant business functions<br/> <i>e.g. Significant reports on business practice from executive management</i><br/> <i>e.g. Significant business planning records such as workforce planning</i><br/> <i>e.g. Significant records summarising the development of significant or capital TWWOA projects such as final Quality Management System (QMS) redevelopment reports</i><br/> <i>e.g. Significant records outlining major restructuring within, across TWWOA.</i></li> <li>• Unique records that summarise significant TWWOA relationships and alliances with government, academic, research, business agencies, both in New Zealand and overseas.<br/> <i>e.g. Records documenting significant academic exchanges</i><br/> <i>e.g. Records documenting significant alliances, joint ventures such as joint venture agreements</i><br/> <i>e.g. Records documenting significant areas of Tertiary Education Commission compliance</i><br/> <i>e.g. Records documenting significant input / involvement with Industry Training Organisations (ITOs).</i><br/> <i>e.g. Records documenting significant relationships with the Students Association</i></li> </ul> |
| Recommended for destruction | <ul style="list-style-type: none"> <li>• Records that are generated to satisfy the auditing, reporting requirements of other agencies<br/> <i>e.g. Statistical reporting and data validation reports sent to the Ministry of Education, New Zealand Qualifications Authority etc.</i></li> </ul>  |

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|                     | <ul style="list-style-type: none"> <li>• Low-level administrative and facilitative records<br/><i>e.g. administrative records relating to individual issues and complaints</i></li> <li>• Records that detail business management processes at a minor level<br/><i>e.g. Chief Executive speech notes for informal events</i><br/><i>e.g. Photographs taken for low-level organisational purposes, such as staff or student newsletters</i><br/><i>e.g. Records outlining the development of minor, short term strategy and planning such as development of strategy for dealing with paper-based records storage</i><br/><i>e.g. Records documenting the day to day maintenance of minor, administrative projects such as telecommunications projects</i><br/><i>e.g. Records detailing relationships and/ or alliances that are minor, low – level or administrative in nature or relationships and/ or alliances that result in short-tem, low-level and/ or minimal interaction between parties.</i><br/><i>e.g. Records documenting low level aspects, agreements etc relating to TWWOA restructuring such as files on building re-fits.</i></li> <li>• Records that are summarised elsewhere in published form, or in records recommended for retention as a public record<br/><i>e.g. Chief Executive’s records*</i></li> </ul> <p><b><i>*If, due to the lack of a TWWOA-wide filing system before the date of this appraisal report, any of these files contain original records then a review on a case by case basis against appropriate class, sub-class disposal advice is recommended.</i></b></p> |
| Quantity to retain  | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>10 lm</b> may need to be retained as public archives, including classes covered by relevant General Disposal Authorities</p>  |
| Quantity to destroy | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>40 lm</b> may be able to be destroyed once the recommended minimum retention period has passed.</p>   |

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|  | This includes classes covered by relevant General Disposal Authorities. |
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| Class title                                  | Financial management   |
| Class number                                 | 4  |
| Description                                  | Financial management records consist of financial and accounting records that cover all aspects of financial and accounting processes and activities within TWWOA.   |
| Value  | Nearly all records are covered by General Disposal Authority 2 (GDA2). One group of records has low informational or evidential value because information is summarised in the records of other agencies, as well as in records recommended for retention as public archives such as Council or Research subcommittee records.                               |
| Recommended for retention as public archives | All records recommended for retention as a public archive are covered by General Disposal Authority 2 (GDA2)   |
| Recommended for destruction                  | Records documenting the awarding of funding from external agencies to TWWOA.<br><i>e.g., Tertiary Education Commission Equivalent Full-Time Student (EFTS) funding administration, Performance-Based Research Fund (PBRF) funding administration, research grants, etc</i>   |
| Quantity to retain                           | Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.<br><br>Retention amounts would be approximately <b>5 lm</b> .   |
| Quantity to destroy                          | Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.<br><br>We estimate approximately <b>75 lm</b> may be able to be destroyed once the recommended minimum retention period has passed. |

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| Class title  | Governance   |
| Class number | 5  |
| Description  | Corporate governance records that relate to top-level decision making processes within TWWOA by the Council and Academic |

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|  | <p>Board.</p> <p>Historical foundation records and corporate branding records have also been included in this category due to the extent of their coverage and key evidential value.</p>  |
| Value  | <p>All of the record groups <b>not covered by a General Disposal Authority</b> have significant evidential, informational value and significant accountability as they not only summarise the range of functions carried out by the TWWOA but also document top-level decision making processes. This clearly relates to the disposal criteria which states that records that outline high-level governance functions, e.g., academic board, council minutes, reports... and significant establishment records relating to TWWOA, its council, academic board, business practices, academic programmes, student support procedures etc should be transferred as archives.</p> <p>One group of records (significant, key records relating to the development of TWWOA branding, corporate identity) create key evidence of high-level communications, negotiations, events, relations, compliance between TWWOA and other key agencies and stakeholders.</p>                   |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>• Significant TWWOA establishment records</li> <li>• Records that document the development of the TWWOA charter, vision, mission, values etc<br/><i>e.g. Final versions of significant strategic plans</i><br/><i>e.g. Significant corporate identity, branding documents</i></li> <li>• Records that summarise top level decision making and corporate accountability<br/><i>e.g. Academic Board meeting minutes</i><br/><i>e.g. Council meeting minutes, reports, correspondence</i><br/><i>e.g. Sub-Committee Meetings and reports from Academic Board and Council, as well as groups such as the Appointments Committee, Examinations Committee, Doctoral Research Committee, Masters Research Committee, Programme Development Committee, Academic Development Group.</i><br/><i>e.g. Records that document Council appointments and resignations</i></li> <li>• Records that are master copies of published documents</li> </ul> |
| Recommended for destruction                  | <p>All records recommended for destruction are covered by General Disposal Authority 4 (GDA4).</p>  |

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| Quantity to retain  | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>20 Im</b> may need to be retained as public archives. This includes classes covered by relevant General Disposal Authorities.</p> |
| Quantity to destroy | N/A   |

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| Class title                                  | Human Resource Management  |
| Class number                                 | 6  |
| Description                                  | Records that document all Human Resource Management processes such as recruitment, monitoring, training, employee support, as well as the management of these processes.   |
| Value  | <p>Nearly all of the record groups <b><i>not covered by the General Disposal Authority 1 (GDA1)</i></b> have low informational or evidential value. They document low-level administrative or facilitative processes and/or are short term in nature.</p> <p>Staff files of academic staff are not covered by GDA 1. GDA1 states that “Professional staff of tertiary institutions” are excluded from class 1.5 .</p> <p>Some academic staff records have high value because they provide evidence of individual entitlement to academic or professional status or NZ honours and provide evidence of the legal and professional status of significant individuals within the TWWOA.</p> |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>• Staff files of the Chief Executive and Senior Management who report directly to the Chief Executive.</li> <li>• Staff files of academic staff who received significant NZ honours for academic work, sporting achievements, cultural initiatives etc.</li> </ul>  |
| Recommended for destruction                  | <ul style="list-style-type: none"> <li>• Academic staff files that do not fulfil the requirements above;</li> <li>• Records that detail business management processes at a minor level<br/><i>e.g. Records documenting the establishment of staff allowances and bonuses</i><br/><i>e.g. Records not on staff files that document the development and maintenance of general disciplinary matters.</i></li> </ul>  |

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| Quantity to retain  | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>Retention amounts would be approximately 5 lm, including records covered by General Disposal Authorities.</p>  |
| Quantity to destroy | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate that approximately <b>40 lm</b> may be able to be destroyed once the recommended minimum retention period has passed for all classes of records (including those covered by the General Disposal Authority).</p> |

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| Class title                                  | Information Management  |
| Class number                                 | 7   |
| Description                                  | Records that document the creation, monitoring, maintenance, administration etc of information technology, information systems (including records, library management) and information control systems.   |
| Value  | <p>Most of the record groups have low informational or evidential value because they either document low-level administrative or facilitative processes or provide administrative, intellectual control over minor systems and holdings.</p> <p>Some record groups (such as those to do with information structures, significant in-house software) have high informational value for TWWOA due to their use for key administrative processes, but this value is short term only and ends with administrative use.</p> <p>One group of records has significant informational value as it provides intellectual, physical or administrative control over significant records systems that are to be retained as public archives.</p> |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>Control and location indices, guides for significant systems and holdings</li> </ul>   |
| Recommended for                              | <ul style="list-style-type: none"> <li>Control and location indices, guides for minor systems and</li> </ul>  |

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| destruction         | <p>holdings<br/><i>e.g. classification lists</i></p> <ul style="list-style-type: none"> <li>• Information system structures</li> <li>• Records that document the day to day management of information management processes<br/><i>e.g. development, installation, testing, roll-outs, maintenance and administration surrounding information systems</i><br/><i>e.g. development of minor in-house software such as programmes, applications, configuration files etc</i></li> </ul>        |
| Quantity to retain  | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>Retention amounts would be approximately 0.5 lm .</p>  |
| Quantity to destroy | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>40 lm</b> may be able to be destroyed once the recommended minimum retention period has passed. This covers all classes of records, including those able to be disposed of under relevant General Disposal Authorities.</p> |

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| Class title  | Legal and Risk Management   |
| Class number | 8   |
| Description  | Records that document legal activities and processes that may impact on activities throughout TWWOA, particularly those in Governance and Property and Services Management. These records can surround the maintenance of legal agreements, contract and insurance management etc, as well as the monitoring of legal issues and incidences, and risk management issues that have impacted on TWWOA business. |
| Value        | <p>A majority of the record groups have low informational or evidential value because they are either summarised in other records of significant evidential or informational value or document low-level administrative or facilitative processes.</p> <p>Two groups of records provide high legal, evidential and</p>  |

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|  | <p>accountable value due to the fact that they summarise significant legal actions, court decisions that impact TWWOA.</p> <p>Resource Management Consents do not need retention as public archives but need to be retained permanently by the TWWOA in order to ensure their compliance with the Resource Management Act 1991.</p>  |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>Records documenting significant legal action directly involving TWWOA<br/><i>e.g. legal advice, background summaries, instructions to lawyers, reports outlining implications of court decisions</i></li> <li>Records that document the implications of significant court and judicial decisions</li> </ul>   |
| Recommended for destruction                  | <ul style="list-style-type: none"> <li>Records that are summarised elsewhere in published form, or in records recommended for retention as a public record<br/><i>e.g. Audit New Zealand audits</i></li> <li>Low-level administrative and facilitative records<br/><i>e.g. Internal requests, applications for copyright</i><br/><i>e.g. records documenting the administration and facilitation of contracts and agreements</i><br/><i>e.g. background information on contractors, suppliers, products</i><br/><i>e.g. records facilitating compliance with external standards</i></li> <li>Records that detail legal and risk management processes at a minor level or that have short term compliance<br/><i>e.g. product, service, contractor evaluations</i><br/><i>e.g. business continuity plans</i><br/><i>e.g. warranties</i></li> <li>Records that document the implications of minor civil court and judicial decisions affecting TWWOA.</li> </ul> |
| Quantity to retain                           | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>Retention amounts would be approximately 0.5 lm or less.</p>  |
| Quantity to destroy                          | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p>  |

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|  | We estimate approximately <b>30 Im</b> may be able to be destroyed once the recommended minimum retention period has passed. |
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| Class title                                  | Marketing and Promotions Management  |
| Class number                                 | 9  |
| Description                                  | Records that document the marketing and promotion of TWWOA and its programmes. Record groups include records documenting development and design of promotional material, reference copies of promotional material, and records documenting internet and intranet website development and maintenance.  |
| Value  | <p>Most of the records have low informational or evidential value because they document routine or low-level administrative or facilitative processes.</p> <p>A few record groups have high informational value because they either provide a representative sample of significant marketing and promotional material created by TWWOA or provide published summaries relating to a range of TWWOA functions, programmes and activities.</p> <p>Both these groups are examples of significant establishment records relating to TWWOA, its council, academic board, business practices, academic programmes, student support procedures etc</p>  |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>• Records summarising the development and design of TWWOA marketing and promotional material.<br/><i>e.g. exemplars of artwork used, significant promotional photographs.</i></li> <li>• Master production copies of significant TWWOA publications that are not covered by a legal deposit scheme.<br/><i>e.g. in-house programme-related publications such as student handbooks, prospectuses, graduation booklets</i><br/><i>e.g. in-house significant publications developed for marketing, promotions purposes</i></li> <li>• Significant and/or summarised records detailing the development and design and update of key versions of the TWWOA website.</li> </ul> |
| Recommended for destruction                  | <ul style="list-style-type: none"> <li>• Low-level administrative and facilitative records<br/><i>e.g. low-level record documentation the development, design, specifications</i></li> </ul>   |

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|                     | <i>and feedback of TWWOA marketing and promotional material.<br/>e.g. publications relating to routine, low-level promotions or advertising.<br/>e.g. records that describe the administrative / facilitative processes<br/>surrounding the management of TWWOA internet and intranet sites.</i>  |
| Quantity to retain  | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>Retention amounts would be approximately <b>5 Im</b>, including classes of records covered by General Disposal Authorities.</p>  |
| Quantity to destroy | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>25 Im</b> may be able to be destroyed once the recommended minimum retention period has passed. This includes classes of records covered by the General Disposal Authorities.</p> |

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| Class title                                  | Policy and Procedure  |
| Class number                                 | 10  |
| Description                                  | Records that document, describe, instruct, inform, on TWWOA functions, policy, procedure, activities, processes, best practice developed within the organisation. Record classes include records that document the development of policy etc, as well as master policy documents.   |
| Value  | <p>Many of the record groups have low informational or evidential value because they document routine or low-level administrative or facilitative processes.</p> <p>Other record groups have high evidential, accountability, informational value because they either document the development of policies and procedures that have a significant and wide-ranging impact on TWWOA governance, accountability, relationships, decision making processes etc, or else document the master version of the that policy, procedure.</p> |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>• Key documentation that provides explanation and / or reasoning behind significant, wide-ranging policies, procedures</li> </ul>  |

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|                             | <p><i>e.g. documents that discuss the development of risk management policy</i></p> <ul style="list-style-type: none"> <li>• Master documents of significant, wide-ranging policies and procedures<br/><i>e.g. corporate, strategic, Board or significant operational policies and procedures.</i></li> </ul>  |
| Recommended for destruction | <ul style="list-style-type: none"> <li>• Routine, low-level documentation that provides explanation or reasons for policies or procedures that are administrative, low-level etc, or else explanation or reasons that are summarised in records recommended for retention.<br/><i>e.g. development of library-lending policies</i></li> <li>• Routine, administrative or low-level policies and procedures that have short term use.<br/><i>e.g. procedures for allocating network access</i></li> </ul> |
| Quantity to retain          | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>Retention amounts would be approximately <b>1 Im</b>, including classes of records covered by General Disposal Authorities.</p>   |
| Quantity to destroy         | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>5 Im</b> may be able to be destroyed once the recommended minimum retention period has passed. This includes records covered by the General Disposal Authorities.</p>  |

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| Class title  | Property and Services Management   |
| Class number | 11   |
| Description  | <p>Records that cover all aspects of property and services management, including assets management but excluding the asset register.</p> <p>Includes records that document the purchase, disposal etc of Taonga owned by TWWOA, such as sculpture and artwork.</p> |
| Value        | Almost all records are covered by the General Disposal Authorities.  |

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|  | One group of records (records associated with taonga) has been recommended to be retained for as long as TWWOA has ownership or maintains the taonga. These records have long term evidential and accountability value as current records.  |
| Recommended for retention as public archives | All material recommended for retention is covered by General Disposal Authority 4 (GDA4).   |
| Recommended for destruction                  | Nearly all material recommended for destruction is covered by a General Disposal Authority 4 (GDA4).<br>Records that document the purchase, disposal etc of taonga owned by TWWOA, such as sculpture and artworks do not have long term archival value after their long-term administrative use has been completed. They are essentially corporate records documenting low – level and/or routine administrative or operational activities and processes. |
| Recommended for retention by TWWOA           | All records that are recommended for retention as a public archive are covered by General Disposal Authority 4 (GDA4).  |
| Quantity to retain                           | Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.<br><br>Retention amounts would be approximately <b>2.0 lm</b> .  |
| Quantity to destroy                          | Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.<br><br>We estimate approximately <b>20.5 lm</b> may be able to be destroyed once the recommended minimum retention period has passed.  |

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| Class title  | Research Management  |
| Class number | 12   |
| Description  | Records that document the management and administration of academic research at TWWOA, that is, actual research where this is owned or controlled by TWWOA. Does not include market research.<br>Record groups include administrative and facilitative documentation that aids the production of research through the TWWOA, records relating to PBRF (Performance-Based Research Fund) funding, annual research programme records, TWWOA owned or controlled research reports and data. |

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| Value  | <p>Most of the record groups have low informational or evidential value because they either document routine or low-level administrative or facilitative processes and minor reporting aspects, or are summarised in records of significant evidential or informational value.</p> <p>A few record groups have high evidential, informational value because they summarise key research processes or document significant TWWOA-owned research findings. Since research is a key function and these records document TWWOA's approach to āhukatanga Māori and tikanga Māori and/or its relationships with Mataatua and other Iwi, they have been recommended for transfer.</p>  |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>• Significant summarised research reports<br/><i>e.g. annual research report.</i></li> <li>• Records that document significant research, or documents research undertaken by a renowned scholar etc where TWWOA is entitled to control or ownership of the research documentation<br/><i>e.g. Environmental analysis reports commissioned by external bodies such as the District Council from TWWOA as a whole.</i></li> </ul>  |
| Recommended for destruction                  | <ul style="list-style-type: none"> <li>• Records documenting routine management or administrative processes.<br/><i>e.g. administrative, facilitative documents that aid the day to day administration and management of research activities</i><br/><i>e.g. records facilitating the development and review of the annual research programme</i><br/><i>e.g. minor research, reports and findings where TWWOA is entitled to control or ownership</i><br/><i>e.g. records that document the Performance-Based Research Fund (PBRF) funding process such as Performance-Based Research Fund (PBRF) funding applications</i></li> <li>• Records that are generated to satisfy the auditing, reporting requirements of other agencies<br/><i>e.g. Performance-Based Research Fund (PBRF) reports</i></li> </ul> |
| Quantity to retain                           | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>Retention amounts would be approximately <b>0.5 Im.</b></p>  |

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| Quantity to destroy | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>30 Im</b> may be able to be destroyed once the recommended minimum retention period has passed.</p> |
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| Class title                                  | Resource Development and Supply   |
| Class number                                 | 13  |
| Description                                  | Records that document the design, development, printing, supply and distribution of TWWOA-created resources such as course materials, and general teaching resources.   |
| Value  | <p>Nearly all of the record groups contain documentation of low informational or evidential value because they document routine or low-level administrative, facilitative processes surrounding the printing, supply and distribution of course and teaching materials.</p> <p>One group of records has high evidential and informational value as it summarises the design, creation, development of course and teaching materials which are the intellectual property of TWWOA, and which are often based on the academic staff member's own research. These records may also present information from perspectives that are unique to TWWOA, thereby fulfilling the disposal criteria covering records that summarise TWWOA's teaching content and TWWOA's approach to āhuatanga, tikanga Māori.</p> |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>• Final versions of course materials, teaching resources, handbooks and other unpublished learning materials that extensively cover subjects unique to TWWOA at the time of their creation and / or provide perspectives unique to TWWOA, its vision, mission, culture etc (for example with respect to āhuatanga Māori.)</li> </ul>   |
| Recommended for destruction                  | <ul style="list-style-type: none"> <li>• Routine, administrative or low-level documentation<br/><i>e.g. records documenting the distribution and supply of learning materials, textbooks etc</i><br/><i>e.g. records documenting the development and revision of general teaching and learning aids</i></li> <li>• Master copies of teaching resources, handbooks and other</li> </ul>  |

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|                     | unpublished learning materials that have generic content (i.e. content that is not unique to TWWOA, or is repackaged from other resources from external agencies, such as unit standards).   |
| Quantity to retain  | Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.<br><br>Retention amounts would be approximately <b>10 Im</b> .  |
| Quantity to destroy | Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.<br><br>We estimate approximately <b>40 Im</b> may be able to be destroyed once the recommended minimum retention period has passed. |

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| Class title                                  | Student Support  |
| Class number                                 | 14   |
| Description                                  | Records that document student support services in terms of academic guidance, pastoral care, disability support, scholarships etc, as well as the administration and facilitation of relationships with the Student Association.   |
| Value  | Nearly all of the record groups contain documentation of either low evidential value (because they either document routine or low-level administrative or facilitative processes relating to student support) or short-term informational value.<br><br>Some records have unique evidential, informational value as they provide insight into the development of TWWOA scholarships for students within the mana whenua, or else summarise information about scholarship recipients. These records provide evidence of individual entitlement to TWWOA qualifications and awards based on attendance and academic performance or to academic or professional status or NZ honours. |
| Recommended for retention as public archives | <ul style="list-style-type: none"> <li>Records documenting the development of scholarships unique to TWWOA<br/><i>e.g. Mataatua Fee Scholarship development records</i></li> </ul>   |

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|                             | <ul style="list-style-type: none"> <li>• Master lists of recipients of scholarships, awards.</li> </ul>   |
| Recommended for destruction | <ul style="list-style-type: none"> <li>• Routine, administrative or low-level documentation<br/><i>e.g. administrative records relating to applications for scholarships, awards</i><br/><i>e.g. records documenting changes to the student record</i></li> <li>• Records that document day to day management processes<br/><i>e.g. records administering and facilitating the management of relationships with the students' association</i><br/><i>e.g. records documenting the management of academic guidance services</i><br/><i>e.g. records documenting the management of services for students with disabilities or special needs</i><br/><i>e.g. records documenting the day to day management of student scholarships, awards etc</i></li> <li>• Records that explain student support processes to students<br/><i>e.g. information on enrolment, grants, e-Wananga</i><br/><i>e.g. records that document the development of student support information</i><br/><i>e.g. records that provide general guidance to students on tikanga, powhiri, waiata etc</i></li> <li>• Individual student support files used for pastoral care purposes</li> </ul> |
| Quantity to retain          | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>Retention amounts would be approximately <b>0.5 lm</b>.</p>  |
| Quantity to destroy         | <p>Due to the lack of lists, the lack of established classification systems and the distribution of records class content across individuals, groups and existing records, a specific class quantity cannot be ascertained.</p> <p>We estimate approximately <b>10 lm</b> may be able to be destroyed once the recommended minimum retention period has passed.</p>   |

## 10. Access Recommendations

[Removed]

## **11. Discharge Arrangements**

No discharge arrangements need to be made. Although marked examination scripts can be returned to the student depending on TWWOA policy, these scripts are not open access records (nor even public records) as defined under the Public Records Act 2005 25(1)b and are therefore exempt.

## **12. Deferral of Transfer**

At this point in time, no deferral of transfer agreements will be required for any public records over 25 years old.

One group of records (those relating to the development of TWWOA branding, corporate identity – See Section 8.5) may require a deferral of transfer agreement to be developed if transfer has not occurred after 25 years. These records have been recommended for permanent retention by TWWOA because of their ongoing value to the TWWOA. If the TWWOA was ever disestablished, it is recommended that these documents are transferred to Archives New Zealand as they create key evidence of high-level communications, negotiations, events, relations, compliance between TWWOA and other key agencies and stakeholders.

Other records recommended for permanent retention (e.g., records relating to taonga, resource consents) are not recommended for transfer to Archives New Zealand at any stage, and therefore no formal deferral of transfer agreement needs to be established.

## **13. Format and preservation**

A majority of records are paper-based and are in good condition. There are a small number of plans and photographs.

[Removed]

## **Appendix One: List of documentation reviewed**

- Wānanga layout plans
- Organisation charts
- Council file list: keyword by alphabet
- Records management presentation at staff hui May 2007
- Te Whare Wānanga o Awanuiārangi: Profile 2007 – 2009. Tertiary Education Commission. November 2006.
- Staff records/ archives survey questionnaire template: April 2007
- Bachelor Programmes: Te Ara Wānanga
- Te Whare Wānanga o Awanuiārangi website <http://www.wananga.ac.nz/>
- Chief Executive's record list of closed records
- Archivist brief – planning meeting bridge street residence 3 & 4 May 2007 (Summary of records held)
- Te Whare Wānanga o Awanuiārangi Charter 2004
- Risk Management Policy and Procedure
- Project: Business Goal 6: Records / Information Management
- Draft Records Management policy
- IT security framework policy
- Management of information policy
- Initial draft: Records Management File lists: Operations, Academic