

**Retention and Disposal  
Schedule Report  
Airways Corporation**

**October 2009**

Version 2  
For Submission to Chief Archivist

# TABLE OF CONTENTS

- 1. INTRODUCTION ..... 3**
- 2. EXECUTIVE SUMMARY ..... 3**
  - OVERVIEW ..... 3
  - PERCENTAGE OF RECORDS RECOMMENDED FOR RETENTION AND DESTRUCTION ..... 3
  - APPRAISAL CIRCUMSTANCES ..... 3
- 3. AGENCY INFORMATION ..... 4**
  - FUNCTIONS OF THE AIRWAYS CORPORATION ..... 4
  - AIRWAYS ORGANISATIONAL STRUCTURE ..... 5
  - AIRWAYS RECORDKEEPING ENVIRONMENT ..... 6
- 4. METHODOLOGY ..... 8**
  - PREVIOUS APPRAISALS/RELEVANT PRECEDENT ..... 8
  - SCOPE OF SCHEDULE ..... 8
  - CONSULTATION..... 8
  - SCHEDULE FORMAT..... 9
- 5. DISPOSAL CRITERIA ..... 11**
  - PUBLIC ARCHIVES..... 11
  - DESTRUCTION ..... 12
  - USE OF THE GENERAL DISPOSAL AUTHORITIES ..... 12
- 6. CLASS INFORMATION..... 13**
  - CLASS ONE - OPERATING RECORDS..... 13
  - CLASS TWO - AIR TRAFFIC CONTROL OPERATING RECORDS..... 15
  - CLASS THREE – AERONAUTICAL INFORMATION PUBLICATION AND OPERATING PROCEDURE RECORDS..... 18
  - CLASS FOUR - TRAINING RECORDS..... 20
  - CLASS FIVE – OPERATING MANUALS..... 22
  - CLASS SIX – AIRWAYS RELATIONSHIP RECORDS..... 23
  - CLASS SEVEN – COMPANY RECORDS..... 25
  - CLASS EIGHT – STRATEGIC MANAGEMENT AND GOVERNANCE..... 28
- 7. ACCESS RECOMMENDATIONS..... 31**
- 8. TRANSFER ARRANGEMENTS ..... 31**
- 9. APPENDIX 1 – RDS SPREADSHEET ..... 32**
- 10. APPENDIX 2 – RDS IMPLEMENTATION GUIDE.....ERROR! BOOKMARK NOT DEFINED.**

## 1. Introduction

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|                         |   |
|-------------------------|---|
| <b>Client Name:</b>     | Airways Corporation of New Zealand Limited  |
| <b>Disposal Type</b>    | Retention and Disposal Schedule   |
| <b>Agency Coverage:</b> | Airways Corporation of New Zealand Limited  |
| <b>Scope:</b>           | Hard copy and electronic records created by all offices of the Airways Corporation and its predecessor agencies in carrying out its functions |

## 2. Executive Summary

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### Overview

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This retention and disposal schedule is for the Airways Corporation (Airways). It covers all hard copy and electronic records created by the organisation in carrying out its functions. It also covers records created by its predecessors that are currently in Airways custody.

Transfer of hard copy records will occur through standard Archives New Zealand processes. Transfer of electronic records will be in a format agreed with Archives New Zealand at the time of transfer.

For ease of reference and consistency with other government agencies, the already approved Archives New Zealand General Disposal Authorities (GDAs) will be utilised by Airways. This disposal authority therefore only includes records created by Airways that are not covered by the GDAs.

### Percentage of Records Recommended for Retention and Destruction

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At time of writing, it is difficult to estimate the percentages of records that are recommended for retention or destruction however, based on current hard copy and electronic records holdings it is estimated that:

- 90% of records are being recommended for destruction
- 10% of records are being recommended for retention as public archives

These numbers will only be able to be confirmed during implementation of the schedule.

### Appraisal Circumstances

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Airways, have developed a retention and disposal schedule covering records not covered by the General Disposal Authorities. This includes records that already have disposal actions and time periods decreed by Civil Aviation Rules. The retention and disposal schedule project is part of ongoing improvements to the organisations recordkeeping practices to meet business needs and ensure compliance with the Public Records Act 2005.

Whilst there have been previous one-off appraisals of hard copy records covering some functions of Airways (when they were carried out by predecessor agencies), Airways have recognised the need for an ongoing disposal authority covering both hard copy and electronic records.

### 3. Agency Information

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|                       |  |
|-----------------------|--|
| Agency code           | AAPS                                       |
| Agency name:          | Airways Corporation of New Zealand Limited |
| Year established:     | 1987                                       |
| Year dis-established: | Current                                    |

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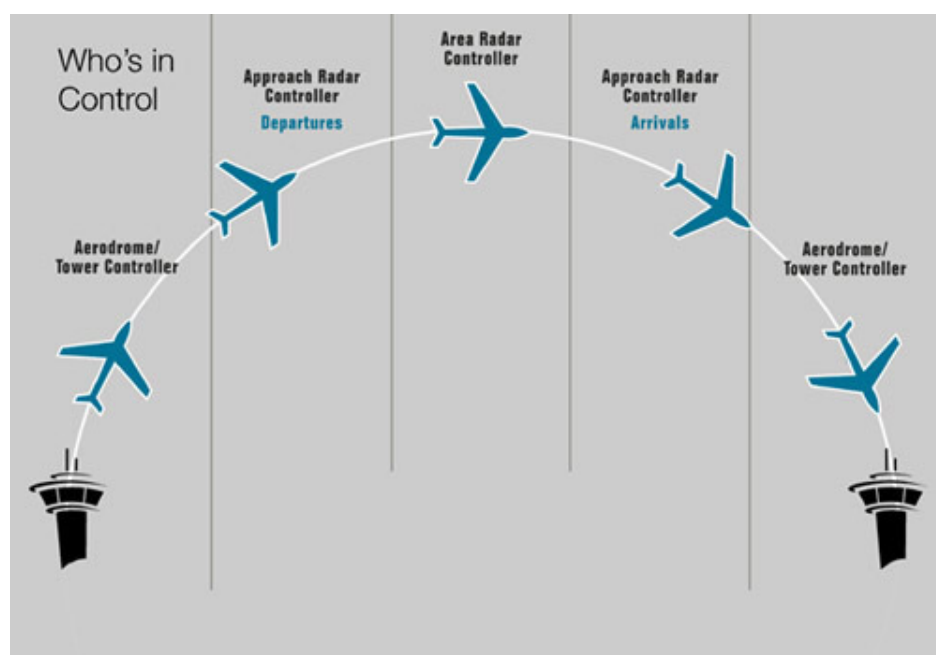
#### Functions of the Airways Corporation

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Airways is a State Owned Enterprise with the key role of preventing collisions within controlled airspace and on the ground at controlled aerodromes. It does this through the provision of Air Navigation Services (ANS). ANS comprises:

- Air traffic management – through air traffic control, aircraft flow management and flight information and alerting services
- Navigation services – the navigation infrastructure and supporting services used by aircraft to navigate
- Communications – airways operates a sophisticated communications system throughout the country

Air traffic management is controlled through a three tier framework of management which spans the country.



Area Control is responsible for all enroute aircraft in controlled airspace between Approach Control Sectors/Towers. This service is operated out of Auckland and Christchurch.

Approach Control provides an Air Traffic Control Service to arriving or departing flights.

Aerodrome Control is responsible for a safe and efficient traffic flow within the vicinity of an aerodrome and on the maneuvering area.

An example is an aircraft flying from Auckland to Wellington:

- The Aerodrome Controller ensures a safe and efficient taxi and departure. Prior to leaving the vicinity of the aerodrome it is handed off to the Auckland Terminal Sector Controller.
- The Auckland Terminal Sector ensures a safe and efficient departure and climb until approximately 50 nautical miles (NM) when it is handed to the Area Control Sector.
- The Area Control Sector(s) ensure a safe and efficient cruise and descent until within 50 NM of Wellington when it is handed into the Wellington Terminal Control Sector.
- The Wellington Terminal Control Sector ensure the safe integration of the aircraft with other arriving and departing traffic until the aircraft has landed or Wellington Tower have accepted responsibility for its integration with other traffic within the vicinity of the aerodrome.
- Wellington Tower ensure the safe integration with local traffic, the runway is vacant and there is a safe taxi to the parking gate.

In addition to managing aircraft movement across New Zealand, Airways also provides core aeronautical information which is collated and published for all airlines, pilots and air service related organisations. The operational activities are supported by corporate services from Airways Head Office. Below is an Airways activity snapshot:

- 1 million aircraft movements annually
- 58,000 oceanic (across sea) movements annually
- 44 peak hour aerodrome movements
- 2 flight information regions (37m sq km)
- 2 area control centres
- 6 international airports
- 16 control towers
- 1 Aeronautical Flight Information Service

Airways has two key government agencies that it works closely with: the Civil Aviation Authority and the Transport Accident Investigation Commission. The Civil Aviation Authority is the regulatory authority and sets the standards that Airways must abide by. The Transport Accident Investigation Commission is the agency responsible for investigating any incidents or accidents that occur within the transport sector - including aircraft.

Airways also works at times in partnership with a number of other companies and joint ventures. The records generated from those entities are excluded from this retention and disposal authority as they are not covered by the Public Records Act (being 50% or less owned by Airways).

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## Airways Organisational Structure

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Airways was commercialised in 1987 and was the world's first fully commercial air traffic management company. It currently employs around 680 staff. Airways' shareholders (on behalf of the Government) are the Ministers for State-Owned Enterprises and Finance.

Airways' revenue comes from services it provides to airlines and pilots flying into or over New Zealand and from the advice and services it provides to overseas organisations and international business partners. It receives no funding directly from the Government. The company is managed by an independent, commercial, Board of Directors. The Board is supported by an Executive Management team. See Organisation Structure diagram below.



## Airways Recordkeeping Environment

Airways operates a distributed recordkeeping environment – essentially every team/unit within the organisation is responsible for its own records – both hard copy and electronic. A file classification structure for some parts of the organisation was developed in 2006/7. The classification structure is in the process of being rolled out. A diagram showing the top two levels is below.



There is no central records policy or procedures within Airways, however several of the core operational manuals have recordkeeping standards and processes outlined in them. These manuals are followed by all operational staff.

Hard copy records are used throughout the organisation, however the electronic versions of most records are the prime source for use.

Airways currently have some 2246 boxes of records in storage with a Wellington off-site storage provider.

Electronic records are stored in a mixture of shared drives and line of business databases such as the finance system, human resources system, AIPNZ (air information publication database) etc. Airways will ultimately move to an electronic document and records management system, however this is not planned for several years.

Current network storage is just over 6 Terabytes. Growth over the last four years has been approximately 1.1 terabyte per year. This includes databases and network drive storage.

There are presently no dedicated records staff within Airways. However, Airways is currently in the process of developing a more robust plan to manage its information and records which will foster the need for internal expertise, a central records coordination role and development of recordkeeping tools and processes. This will facilitate the implementation of the retention and disposal schedule.

## 4. Methodology

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The retention and disposal schedule was developed in consultation with members of Airways staff covering a range of roles and levels of experience in Airways. A list of those people consulted is outlined below. Site visits were made to the Wellington Air Traffic Control Tower, Christchurch Air Traffic Control Centre, and the Wellington Head Office. These visit included interviews with selected staff, plus examination of groups of records.

Background research into the organisation, previous appraisals, and both current and non-current records (paper and electronic) was undertaken. In addition specific consultation was carried out with stakeholder groups regarding the research potential of the records.

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### Previous Appraisals/Relevant Precedent

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| <b>Disposal Authority</b> | <b>Notes</b>   |
|---------------------------|--|
| DA21                      | An ad hoc appraisal of ex Ministry of Transport records covered some records dealing with the Ministry's Civil Aviation/Air series of files that dealt with radar stations for RNZAF bases. No direct relationship between DA21 and the Airways Retention and Disposal Schedule was established and therefore no precedent has been applied. |

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### Scope of schedule

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The schedule covers:

- Current and future hard copy corporate records from all Airways offices that are not already covered by the General Disposal Authorities
- Current and future electronic records from all Airways offices that are not already covered by the General Disposal Authorities
- Electronic and hard copy operational records from all Airways offices

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### Consultation

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#### Within Airways

The following staff members participated in consultation sessions, or provided feedback on drafts of the retention and disposal schedule.

| <b>POSITION</b>   |
|---|
| Documentation Specialist, Training and Information Support, Facilities Unit, Technology and Support Group |
| Property Co-ordinator, Christchurch Campus, Corporate Group.  |
| Facilities Manager, Technology and Support Group  |
| ATS Policy and Standards Manager  |
| Software Engineering Manager, Technology and Support Group  |
| Manager, Air Traffic Support Sector, Regional Business Unit, ANS Group.                                   |
| Manager, Training and Information Support, Facilities Unit, Technology and Support Group                  |
| Audit Manager   |
| Manager, Airways Training Centre, Regional Business Unit, ANS Group                                       |
| GM Corporate Services   |
| Head of Safety and Risk   |
| Project Manager, Technology and Support Group   |

|  |
|--|
| Technical Editor, Aeronautical Information Delivery Team, Aeronautical Information Management Unit, technology and Support Group |
| Technical Editor, Aeronautical Information Delivery Team, Aeronautical Information Management Unit, technology and Support Group |
| Team Leader, Aeronautical Information Delivery Team, Aeronautical Information Management Unit, technology and Support Group      |
| Team Leader, Aeronautical Design and development Team, Aeronautical Information Management Unit, Technology and Support Group    |
| Manager Legal Services and Company Secretary   |
| ATS Manager Wellington, Main Trunk Business Unit, ANS Group.   |

### External Consultation

A letter outlining the project was sent to identified Airways external stakeholders seeking feedback during the drafting phase of the retention and disposal schedule. Organisations that were invited to take part in this process were:

- Aviation Historical Society
- Lockheed Martin
- Thales
- Civil Aviation Authority
- Ministry of Transport
- Transport Accident Investigation Commission
- Meteorological Service of New Zealand
- NZ Airline Pilots Association
- Aviation and Marine Engineers Association
- New Zealand Public Service Association
- Aviation Industry Association

Issues, ideas and feedback from those organisations have been incorporated into the retention and disposal schedule. This approach has enabled incorporation of external considerations as well as Airways' ongoing administrative needs when developing the disposal recommendations and time periods.

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### Schedule format

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The retention and disposal schedule is attached as a spreadsheet. A definition for each of the fields in the spreadsheet is outlined below:

| Field                    | Description  |
|--------------------------|--|
| ID                       | Unique identifier  |
| Record Class Description | High level class title and sub-class titles and descriptions   |
| Examples of Records      | Provides examples and descriptions of types of records covered by the class and specific sub-classes. In some cases will also document records excluded and refer to relevant class. <i>Note: examples given are not an exhaustive list of records</i> |
| Total Retention          | The total period of time from when the record becomes non-current until the disposal action  |
| Trigger                  | The point at which the record is considered to be non-current. Examples of the trigger point have been provided to assist Airways staff in interpretation and implementation of the schedule   |
| Disposal                 | The disposal action for records in the class or sub-class. Two disposal  |

|                   |  |
|-------------------|--|
| Action            | actions are listed:<br>A – Retain as Public Archive<br>D – Destroy   |
| Disposal Criteria | Provides reference to the disposal criteria (as outlined below) used to support the recommended disposal action and time period. |

## 5. Disposal Criteria

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### Public Archives

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The criteria for recommending the retention of public records as public archives are:

- 
- A1 Provide proof of a particular event or agreement, document the rights/legal interests/ obligations of the Government, the Airways Corporation or the citizens of New Zealand, or permit the settlement of legal claims
- 
- A2 Provide evidence of the structure, organisation, administration and planning of the Airways Corporation
- 
- A3 Document the performance of a substantive function of the Airways Corporation or provide information about a current or past event significant to the history of the country or to the Airways Corporation
- 
- A4 Provide evidence of the development of public policy in the area of aviation policy
- 
- A5 Document the financial accountability of the Airways Corporation, its financial standing, obligations, and its conduct of financial affairs
- 
- A6 Provide evidence of the Airways Corporation position or perspective on, or involvement in, significant national events or government initiatives
- 
- A7 Provide evidence of the Airways Corporation interaction with outside groups and their influence on the development of policy and/or procedures
- 
- A8 Provide information that has research potential in the areas of aviation history and air traffic control
-

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## **Destruction**

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The criteria for recommending the destruction of public records are:

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D1 Concern routine administrative matters only, including duplicate records or reference material that can be obtained from other sources.

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D2 Concern routine operational matters only.

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D3 Contain information summarised, more complete and/or more readily accessible in other records recommended for retention or elsewhere.

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## **Use of the General Disposal Authorities**

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For ease of reference and consistency with other government agencies the already approved Archives New Zealand General Disposal Authorities have been included as Worksheet Two of the Retention and Disposal spreadsheet. This means Airways staff have a single disposal schedule to refer to during implementation. No changes to disposal actions have been made.

## 6. Class Information

This schedule contains eight records disposal classes that are particular to Airways New Zealand. Class descriptions and evaluations are outlined below.

### Class One – Air Traffic Management System Operating Records

|                                  |  |
|----------------------------------|--|
| <p><b>Class Description:</b></p> | <p>This class covers records generated in support of the design and maintenance of technology based Air Traffic Management Systems, including the Air Traffic Support System.</p> <p>Air Traffic Management systems are used to record data and movement of aircraft. This class relates to the management of those systems – not to the actual operations of aircraft movement.</p> <p>This class covers records documenting system design, management of faults and malfunctions, plus routine inspection and investigation activities. Systems included in this class are air traffic management systems (Skyline, Oceanic Control System, Airways' Communications Network), air traffic support systems (AFTN, Flight Planning Database, Navigation Aids (ILS, VOR), databases recording inspection and fault management activities. This class also includes systems controlling scheduled and unscheduled maintenance of equipment, plus Facilities Diaries that record all activity on airways owned equipment.</p> |
| <p><b>Value:</b></p>             | <p>The records in this class are mostly of a routine operational nature. They are specific to Airways technology systems and therefore have significance to Airways while the system is in operation however they do not have any enduring value. They are therefore recommended for destruction.</p> <p>The one sub class which is viewed as an exception to this is the System Design subclass. This is because records within that class document key developments and design elements in air traffic management systems. New Zealand is considered a leader in this field and these records document the evolution of such systems, which in turn provide insight into the field of air traffic management and control. Records within this sub-class are recommended for retention and public archives.</p>   |

#### Recommended for retention as public archives:

| Class   | Description  | Retention Period | Disposal Action          | Criteria  |
|---------|--|------------------|--------------------------|-----------|
| 1/3.1** | System Design - records documenting system design and drawings | 3 years          | Retain as Public Archive | A2 and A8 |

\*\* To be restricted for 10 years. See section 7 of report.

**Recommended for destruction:**

| <b>Class</b> | <b>Description</b>  | <b>Retention Period</b> | <b>Disposal Action</b> | <b>Criteria</b> |
|--------------|---|-------------------------|------------------------|-----------------|
| 1/1.1        | Fault and Malfunction Reporting - records reporting faults and actions taken in response  | 3 years                 | Destroy                | D2              |
| 1/1.2        | Incident and Defect Notices - records of incidents and defects within the system  | 3 years                 | Destroy                | D2              |
| 1/2.1        | Flight Inspection Records - records of inspection of any type of air traffic management or navigation system for example Instrument Landing Systems | 3 years                 | Destroy                | D2              |
| 1/2.2        | T32/AMMS Data and Analysis  | 3 years                 | Destroy                | D2              |
| 1/2.3        | Investigation Reports - records of investigation into any Air Traffic management or navigation System and corrective actions taken                  | 10 years                | Destroy                | D2              |
| 1/2.4        | Facilities Diary AC1918   | 5 years                 | Destroy                | D2              |
| 1/2.5        | Maintenance Records - records of routine and planned maintenance of systems and equipment.  | 3 years                 | Destroy                | D2              |
| 1/3.2        | Design Reviews - records of any reviews of design of the system   | 3 years                 | Destroy                | D2              |
| 1/3.3        | Requests for Change - records of any change requests in relation to a particular system   | 3 years                 | Destroy                | D2              |
| 1/3.4        | Manuals - system operating and technical manuals  | 3 years                 | Destroy                | D2              |

## Class Two - Air Traffic Control Operating Records

|                                  |   |
|----------------------------------|---|
| <p><b>Class Description:</b></p> | <p>This class covers records generated as part of Air Traffic Control operations, including managing aircraft during landing, take off and in the air. The class includes electronic data recorded within the Air Traffic System and Air Traffic Support System – i.e. systems that record aircraft movements. It also includes the hard copy records that complement the electronic data such as the Aircraft Position Report Log, Flight Plans, Aircraft Progress Strips etc.</p> <p>The class also includes records generated within Air Traffic Control Centres and Control Towers such as:</p> <ul style="list-style-type: none"> <li>• Log Books - kept in every Tower</li> <li>• Flight Progress Strips</li> <li>• Staff duty Rosters</li> <li>• ATS Position Log Strips – strips identifying what position/role in a control centre each individual was in at any given time.</li> </ul> <p>This class also includes records of air traffic incidents and investigations. Whenever any incident involving an aircraft occurs, the electronically recorded data is transcribed to hard copy. This is associated with any hard copy information (such as the Flight Progress Strips) and a “package” of information about that incident is created.</p> <p>When a full investigation is undertaken by the Transport Accident Investigation Commission (TAIC), a certified copy of these records is provided to that agency to assist with the investigation. The outcome of any investigation is an TAIC Air Safety Incident Report. TAIC generated Air Safety Incident Reports are transferred to Archives New Zealand for permanent retention under the TAIC retention and disposal schedule. Airways also prepare their own version of incident reports when they complete investigations which may differ from the formal TAIC reports.</p> |
| <p><b>Value:</b></p>             | <p>Many of the records in this class already have minimum retention periods governed by Civil Aviation Rules. This retention schedule has therefore been developed to be consistent with those rules and a cross reference to the specific CA Rule has been provided in the retention schedule spreadsheet.</p> <p>The majority of the records in this class are considered routine operational records only as they record the day-to-day activity of managing air traffic within New Zealand. Most records in this class are therefore recommended for destruction.</p> <p>Completed Air Safety Incident Reports are recommended for retention as public archives. These records have long term value as they document significant aviation incidents and accidents within New Zealand. While TAIC is the agency responsible for investigating selected incidents, Airways also carry out their own investigations into incidents, and develop their own reports of each incident. The findings and content may differ from those completed by TAIC. These records have value because they provide an important resource for learning and ongoing air safety management, and provide a historic picture of air accidents and incidents within New Zealand.</p>  |

**Recommended for retention as public archives:**

| <b>Class</b> | <b>Description</b>                    | <b>Retention Period</b> | <b>Disposal Action</b>   | <b>Criteria</b> |
|--------------|---------------------------------------|-------------------------|--------------------------|-----------------|
| 2/4.2**      | Completed Air Safety Incident Reports | 10 years                | Retain as Public Archive | A3 and A8       |

\*\* To be restricted for 40 years. See section 7 of report.

**Recommended for destruction:**

| <b>Class</b> | <b>Description</b>  | <b>Retention Period</b> | <b>Disposal Action</b> | <b>Criteria</b>           |
|--------------|---|-------------------------|------------------------|---------------------------|
| 2/1.1        | Electronically Recorded Data - records of any air traffic control data recorded via electronic means  | 31 days                 | Destroy                | D2<br>CA Rules<br>172.115 |
| 2/2.1        | Aeronautical Fixed Telecommunications Network (AFTN) tapes  | 62 days                 | Destroy                | D2<br>CA Rules<br>172.115 |
| 2/2.2        | AC1508 Landing Report Strip (ATIS)  | 62 days                 | Destroy                | D2<br>CA Rules<br>172.115 |
| 2/2.3        | AC1521 Aircraft Position Report Log   | 31 days                 | Destroy                | D2<br>CA Rules<br>172.115 |
| 2/2.4        | AC1532, AC 1565 Flight Plans  | 31 days                 | Destroy                | D2<br>CA Rules<br>172.115 |
| 2/2.5        | AC2002 Flight Progress Strips   | 31 days                 | Destroy                | D2<br>CA Rules<br>172.115 |
| 2.5          | AC2002 Flight Progress Strips, including all electronically produced flight progress strips, displayed for control or flight information purposes | 6 months                | Destroy                | D2<br>CA Rules<br>172.115 |
| 2/3.1        | AC 1525 ATS Log Book  | 3 years                 | Destroy                | D2<br>CA Rules<br>172.117 |
| 2/3.2        | AC1559 ATS Position Log Strip   | 31 days                 | Destroy                | D2<br>CA Rules<br>172.117 |
| 2/3.3        | AC1567 Special Aerodrome Report (SPAR) strip  | 62 days                 | Destroy                | D2<br>CA Rules<br>172.115 |
| 2/3.4        | Aeronautical Information - records of aeronautical information displayed at operational positions within an Air Traffic Service Centre            | 31 days                 | Destroy                | D3                        |

|       |  |          |         |                           |
|-------|--|----------|---------|---------------------------|
| 2/3.5 | Staff Duty Rosters, including information held within electronic rostering systems.  | 2 years  | Destroy | D2<br>CA Rules<br>172.115 |
| 2/4.1 | Written records associated with the investigation and reporting of any reportable event associated with the provision of ATS | 10 years | Destroy | D3                        |

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## Class Three – Aeronautical Information Publication and Operating Procedure Records

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|                           |   |
|---------------------------|---|
| <b>Class Description:</b> | <p>This class includes records of standard operating procedures for pilots, airlines and air traffic controllers, plus those generated as part of the production of the published aeronautical information. One of Airways substantive functions is the production, under contract to the Civil Aviation Administration, of publications known as AIPNZ. These contain information that those flying and operating aircraft, and those managing aircraft traffic must have accessible such as:</p> <ul style="list-style-type: none"><li>• Aeronautical charts</li><li>• Visual charts</li><li>• Aerodrome obstacle charts</li><li>• Instrument flight rules procedures</li></ul> <p>Changes/updates might consist of a new/amended:</p> <ul style="list-style-type: none"><li>• Instrument departure, arrival and approach procedures</li><li>• Communication and navigation facilities</li><li>• Route descriptors on Enroute and Area Charts</li><li>• Airspace boundaries</li><li>• Danger/restricted/military operating areas</li><li>• Aviation pageants</li><li>• Gliding activities</li><li>• Hours of service for Air Traffic Services</li><li>• Obstructions to Air Navigation</li><li>• Changes to operation status of aerodromes</li></ul> <p>The publication process is at present largely hard copy based, however technology advances means that Airways is looking to manage the drafting processes and final publications in a more electronic format in the future. Airways staff do go back to previous versions of the publications in order to trace reasons for preceding amendments. Often this research can be over several years.</p> <p>Airways updates the information in the publications on a regular schedule and they are then distributed to locations where Air Traffic Control is established, it is also available for purchase. A copy of every publication is sent to the Civil Aviation Authority, as well as being lodged as part of the legal deposit system with the National Library.</p> <p>In order to update the information in the publications a system of "certified originators" is in place. The originators are particular people from throughout New Zealand (not necessarily always Airways staff) who submit written changes that need to be made so the publications can be updated. A database of who certified originators are is maintained so at any point in time, Airways has a record of who can submit changes.</p> <p>The requested changes, once submitted are drawn up by specialist procedure design staff (often as CAD drawings) who then submit a Request For change (RFC) so that the AIPNZ publication can be updated. Once the procedure has been updated in the new version of the AIPNZ a copy of the original submitted for publication is maintained in the Aeronautical database. This database holds current and superseded versions of the CAD drawings. It is separate to the copies of the drawings used for actual publications.</p> |
|---------------------------|---|

|               |   |
|---------------|---|
| <b>Value:</b> | All records in this class are recommended for destruction as they are of a routine nature only. Whilst the records of changes to procedures and the publication process have medium term value to Airways, they do not have long term archival value as they are ultimately published and available from other sources. |
|---------------|---|

**Recommended for retention as public archives:**

| <b>Class</b> | <b>Description</b>  | <b>Retention Period</b> | <b>Disposal Action</b> | <b>Criteria</b> |
|--------------|---|-------------------------|------------------------|-----------------|
|              | No records are recommended for retention as public archives |                         |                        |                 |

**Recommended for destruction:**

| <b>Class</b> | <b>Description</b>                                     | <b>Retention Period</b> | <b>Disposal Action</b> | <b>Criteria</b> |
|--------------|--|-------------------------|------------------------|-----------------|
| 3/1.1        | Aeronautical Information Publication Development       | 10 years                | Destroy                | D2              |
| 3/1.2        | AIP Publication Finals                                 | 10 years                | Destroy                | D3              |
| 3/2.1        | Originators Records                                    | 10 years                | Destroy                | D1              |
| 3/2.2        | Submissions from, and correspondence with, Originators | 10 years                | Destroy                | D2              |
| 3/3.1        | Master Prints of CAD design drawings                   | 5 years                 | Destroy                | D3              |
| 3/3.2        | Procedure design working documents                     | 5 years                 | Destroy                | D2              |
| 3/4.1        | Superseded digital records                             | 15 years                | Destroy                | D2              |
| 3/4.2        | Database change forms and task sheets                  | 15 years                | Destroy                | D1              |

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## Class Four - Training Records

---

|                           |  |
|---------------------------|--|
| <b>Class Description:</b> | <p>This class of records includes records associated with the training for air traffic controllers, air traffic support staff and technical training for the management and support of air navigation systems.</p> <p><b>Air Traffic Controller Training</b></p> <p>The Christchurch offices include the Airways Training Centre within the Airways Campus at Christchurch. About 700 applications are received via the web site each year and there are approximately 10 course participants per year. When accepted to the Training Centre an "Ab initio" file is created for each accepted trainee. This is the equivalent of a student record and documents the training they received during their training, up until the point they are transferred to a Tower for final certification. A list of all graduates is also maintained electronically.</p> <p>Once the student has completed their "Ab initio" training, they are transferred to a tower for final certification. At this time a second training record is created which contains a copy of the base information from the Ab initio file, their licence, current medical information and details of any subsequent training undertaken by the employee in the field. This file is held separate to the Airways personnel file and travels with the air traffic controller as they are posted to different tower locations. If an employee leaves, the second file is returned to the Training Centre in Christchurch.</p> <p>Course specifications for the aviation college cover the development and content of the course delivered and also include reviews of the courses and the course programme.</p> <p><b>Technical Training</b></p> <p>A training record for air traffic system technician is kept in both hard copy and on the CHRIS human resources database. This record shows evidence of what training has been received and certification for use of specific systems. This is held separately from the staff members' personnel files.</p> <p>A technical training programme stating what training is to be delivered and who is to attend is developed on an annual basis and is updated at least monthly. Course specifications cover the development and content of the course delivered and also include reviews of the courses. Course material is currently retained for the "life of the equipment" plus three years.</p> |
|---------------------------|--|

|               |   |
|---------------|---|
| <b>Value:</b> | <p>Records relating to the development of the course programmes and their administration have short term administrative value only and are recommended for destruction. Course materials developed for both the technicians training and air traffic controllers training are also recommended for destruction as they have no long term value. The course content must be reviewed and updated regularly in order to keep up with advances in technology and systems being used and there is no identified value in retaining copies of materials for long term use.</p> <p>Individuals training records are recommended for destruction 10 years after the date of last employment as they are of a routine administrative nature only. However, as they are an adjunct to the personnel record for a staff member and document training activities they must be retained by Airways for at least as long as the personnel files are. It is therefore recommended that the individual training records are retained for 10 years following the date of last employment.</p> |
|---------------|---|

**Recommended for retention as public archives:**

| Class | Description                          | Retention Period | Disposal Action | Criteria |
|-------|--------------------------------------|------------------|-----------------|----------|
|       | No records recommended for retention |                  |                 |          |

**Recommended for destruction:**

| Class | Description  | Retention Period | Disposal Action | Criteria |
|-------|--|------------------|-----------------|----------|
| 4/1.1 | "Ab initio" files - records of individuals completing training at aviation college   | 10 years         | Destroy         | D1       |
| 4/1.2 | Individual Traffic Controller Training Records   | 10 years         | Destroy         | D1       |
| 4/1.3 | Individual Technician Training Records   | 10 years         | Destroy         | D1       |
| 4/2.1 | Training Course Materials - records demonstrating what the training courses (both technician and air traffic controller) covered   | 10 years         | Destroy         | D1       |
| 4/2.2 | Training Programme Management and Administration - records documenting the formulation of course programmes and the administration of the delivery of the training programme and courses | 3 years          | Destroy         | D1       |

## Class Five – Operating Manuals

|                           |   |
|---------------------------|---|
| <b>Class Description:</b> | <p>This class covers manuals generated and maintained by Airways of standard operating procedures – excluding the manuals and aviation charts etc produced as part of aeronautical information services. See class eight for those records.</p> <p>There are four types of manuals generated within Airways.</p> <ol style="list-style-type: none"> <li>1. Those at Group level such as the AIL (Airways International) Process Manual, ANS (Air Navigation Service) Delivery Group Policy and Process Manual, T&amp;S (Technology and Services) Policy and Process Manual</li> <li>2. Those at Unit level such as routine maintenance and support manuals, Calibration Laboratory Quality Manual, MIS Operations Manuals, Navigation Procedures Manuals.</li> <li>3. Those at Team level which are akin to administrative procedures as described in GDA 4</li> <li>4. Those that relate to specific “positions” which are akin to a desk file for a specific role.</li> </ol> |
| <b>Value:</b>             | <p>The lower level manuals are recommended for destruction as they are of a routine nature only, and have relevance only for the point in time to which that operating procedure applies.</p> <p>The group level manuals however, are recommended for retention as public archives as they provide a high level view of what standard operating procedures for air navigation services in New Zealand are at any given point of time. Those manuals therefore have potential research and historic interest value in the field of aviation history.</p>   |

### Recommended for retention as public archives:

| Class | Description  | Retention Period | Disposal Action          | Criteria  |
|-------|--|------------------|--------------------------|-----------|
| 5/1.1 | Group Manuals Describing Standard Operating Procedures | 10 years         | Retain as Public Archive | A2 and A8 |

### Recommended for destruction:

| Class | Description   | Retention Period | Disposal Action | Criteria |
|-------|---|------------------|-----------------|----------|
| 5/1.2 | Unit Manuals Describing Standard Operating Procedures     | 3 years          | Destroy         | D2       |
| 5/1.3 | Team Manuals Describing Standard Operating Procedures     | 3 years          | Destroy         | D2       |
| 5/1.4 | Position Manuals Describing Standard Operating Procedures | 3 years          | Destroy         | D2       |

**Class Six – Airways Relationship Records**

|                                  |  |
|----------------------------------|--|
| <p><b>Class Description:</b></p> | <p>This class covers records generated by Airways in managing relationships. This class has been divided into five key types of relationships that Airways. They are: Client and Partner, Regional Participation, Strategic Participation, Vendor Management, Agency Relationships.</p> <p>In order to operate effectively Airways maintains strong relationships with both airlines and airport management companies as these are key clients and partners to the successful operation of air traffic management within New Zealand. Examples of such relationships are those that Airways has with Air New Zealand, or the Wellington Airport Company.</p> <p>To support the successful operations of air traffic control, Airways and the Air Traffic Management Service also work closely with regional and district authorities and local organisation and interest groups, for example the Wellington Airport Noise Committee. They also provide input into projects that have an effect on air traffic services at airports such as the Wellington project for the Runway End Safety Area.</p> <p>As part of supporting New Zealand overall travel infrastructure and services, Airways participates in national based forums and groups such as the Traffic Capacity Forum which plans how air travel services should operate and to what capacity within New Zealand control areas. Airways also participates in international bodies such as the Civil Air Navigation Services Organisation (CANSO).</p> <p>In order to effectively work with key suppliers and vendors, Airways also maintains strong relationships with vendors. Contract records and lower level administrative vendor records are covered by the GDAs, however Airways also has regular meetings and higher level agreements which in some cases lead to innovation in the area of Air Traffic Management Systems or Navigation System (for example) that may turn into international joint ventures.</p> <p>In addition, Airways works closely with two key regulating and investigating bodies – the Civil Aviation Authority and the Transport Accident Investigation Commission. This ensures that Airways has input into civil aviation rules and regulations and maintains strategic relationships with both the CAA and TAIC who investigate any incidents.</p> <p>Day to day operating/administrative records for all of these types of relationships will be held in other records classes, or be covered by the GDAs. The types of records that this class covers in relation to managing these strategic relationships are meeting minutes, agreements, correspondence, memorandums of understanding, discussion documents and feedback</p> |
|----------------------------------|--|

|               |  |
|---------------|--|
| <b>Value:</b> | <p>Records within the regional participation sub-class is recommended for destruction as the records cover regional level activity only and are of a routine operational nature.</p> <p>Substantive records from all other sub-classes are recommended for retention as public archives as they demonstrate how Airways operates long term relationships with key organisations in the air traffic arena. These records will provide a historic perspective on aviation history and the evolution of air traffic services in New Zealand. Specific mention should be made of the vendor relationship records as they often document unique joint venture type information where Airways and a vendor go into business to develop and market a product on the international market. For example Airways billing systems are being adapted for sale into China.</p> <p>Routine administrative records created to support the management of all relationships are recommended for destruction as they have no long term archival value.</p> |
|---------------|--|

**Recommended for retention as public archives:**

| <b>Class</b> | <b>Description</b>   | <b>Retention Period</b> | <b>Disposal Action</b>   | <b>Criteria</b> |
|--------------|--|-------------------------|--------------------------|-----------------|
| 6/1.1        | Client Relationship Management - records documenting Airways and ATS relationship with key clients and partners                              | 10 years                | Retain as Public Archive | A2 and A7       |
| 6/1.3        | Strategic Participation - records documenting Airways involvement in national and international strategic airways related groups and forums. | 10 years                | Retain as Public Archive | A2 and A7       |
| 6/1.4        | Vendor Relationship Management - records documenting Airways and ATS relationship with key vendors   | 10 years                | Retain as Public Archive | A2 and A7       |
| 6/1.5        | Agency Relationship Management - records documenting Airways relationship with other public sector agencies                                  | 10 years                | Retain as Public Archive | A2 and A7       |

**Recommended for destruction:**

| <b>Class</b> | <b>Description</b>   | <b>Retention Period</b> | <b>Disposal Action</b> | <b>Criteria</b> |
|--------------|--|-------------------------|------------------------|-----------------|
| 6/1.2        | Regional Participation - records documenting Airways involvement in regional based air traffic related committees, forums, groups.     | 10 years                | Destroy                | D2              |
| 6/1.6        | Routine Administrative records – records that document low level routine administrative actions that support all Airways relationships | 2 years                 | Destroy                | D1              |

**Class Seven – Company Records**

|                                  |   |
|----------------------------------|---|
| <p><b>Class Description:</b></p> | <p>This class covers records generated in the fulfillment of company legislation compliance, plus high level governance records. As a State Owned Enterprise Airways operates as a fully commercial entity and therefore must generate records in accordance with company legislation such as share and shareholder related records. This includes records related to:</p> <ul style="list-style-type: none"> <li>• Company registration</li> <li>• The Board and Directors</li> <li>• Shares and shareholders</li> </ul> <p>Many of the records in this class are required to be created by company and financial legislation. Where there is a legislative requirement for either creation or retention this has been noted on the retention and disposal spreadsheet.</p>  |
| <p><b>Value:</b></p>             | <p>Many of the records in this class have a legislated requirement to be retained for relatively long periods of time. This includes foundation company records such as the certificate of incorporation, company constitution, seal book and trust deeds. As well as required medium term retention under company legislation, these company registration records provide an insight into how an State Owned Enterprise which is fully government owned operated effectively as a private sector type organisation. A number of sub-classes have therefore been recommended for permanent retention.</p> <p>Records that pertain to the operation and decision-making of the Airways Board, and all matters surrounding the registration of Directors of Airways have been recommended for retention as public archives. They document and provide evidence of the high level decision making authority and processes within Airways.</p> <p>Records related to the Airways shareholders and shareholding processes have mixed value – with some being recommended for destruction and some being recommended for retention as public archives. Those recommended for destruction include routine shareholding processes such as dividend and interest payment lists, unclaimed dividend interest lists etc. Those recommended for retention include more foundation type records such as the minutes of shareholders meetings, correspondence with shareholders, power of attorney etc. These records have high evidential value as they document how Airways managed its relationship with its shareholders, and followed legislated requirements when it comes to shareholding processes.</p> |

**Recommended for retention as public archives:**

| <b>Class</b> | <b>Description</b>   | <b>Retention Period</b> | <b>Disposal Action</b>   | <b>Criteria</b> |
|--------------|--|-------------------------|--------------------------|-----------------|
| 7/1.1        | Certificate of Incorporation   | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/1.2        | Certificate to commence business   | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/1.3        | Constitution of the Company  | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/1.4        | Trust Deeds  | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/1.5        | Seal book  | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/2.1        | Register of Directors and Secretaries  | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/2.2        | Interests Register   | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/2.3        | Directors Certificates   | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/2.4        | Board Minutes  | 25 years                | Retain as Public Archive | A2              |
| 7/2.5        | Board Committee Minutes  | 25 years                | Retain as Public Archive | A2              |
| 7/2.6        | Resolutions of Board and Board Committee                                     | 25 years                | Retain as Public Archive | A2              |
| 7/2.7        | Annual Report and Accounts   | 10 years                | Retain as Public Archive | A2 and A5       |
| 7/3.1        | Minutes of general and class meetings of shareholders                        | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/3.2        | Resolutions (prints of) passed at general and class meetings of shareholders | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/3.3        | Memoranda and Articles of Association  | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/3.5        | Written communications to shareholders                                       | 10 years                | Retain as Public Archive | A2              |
| 7/3.6        | Registers of all Securities  | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/3.7        | Annual Return  | 25 years                | Retain as Public Archive | A2 and A5       |
| 7/3.8        | Power of Attorney  | 25 years                | Retain as Public Archive | A1              |
| 7/3.13       | Unclaimed money register   | 25 years                | Retain as Public Archive | A5              |
| 7/3.14       | Substantial security holder notices received                                 | 25 years                | Retain as Public Archive | A5              |

**Recommended for destruction:**

| <b>Class</b> | <b>Description</b>                  | <b>Retention Period</b> | <b>Disposal Action</b> | <b>Criteria</b> |
|--------------|-------------------------------------|-------------------------|------------------------|-----------------|
| 7/3.4        | Proxy form / polling cards          | 25 years                | Destroy                | D1              |
| 7/3.9        | Dividend and interest payment lists | 12 years                | Destroy                | D1              |
| 7/3.10       | Paid dividend and interest warrants | 7 years                 | Destroy                | D1              |
| 7/3.11       | Dividend and interest mandates      | 4 years                 | Destroy                | D1              |
| 7/3.12       | Unclaimed dividend / interest lists | 7 years                 | Destroy                | D1              |

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**Class Eight – Strategic Management and Governance**

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|---------------------------|--|
| <b>Class Description:</b> | <p>This class covers records around the creation and review of Airways strategy, decision-making and directions for the future. This includes the development of high level corporate and operational policies for all functions and procedures, internal standards and guidelines for all areas of the organisation as well as input into external standards and rules.</p> <p>This class also covers records created during the systematic management planning and internal decision-making processes for the organisation. This includes activities such as business planning, communications management, risk management and internal audit processes.</p> <p>Examples of records covered in this class are:</p> <ul style="list-style-type: none"><li>• Policy and strategy development</li><li>• Rules development</li><li>• Internal audit</li><li>• Litigation records</li><li>• Non-financial planning and reporting</li><li>• Work programme management</li><li>• Organisation internal governance and decision-making</li></ul> <p>For many of the sub-classes defined, the general disposal authorities provide recommendations for the lower level administration type records that are generated as part of the activities listed above. This class therefore primarily covers the higher level records related to core strategic management and governance functions.</p> |
|---------------------------|--|

|                      |   |
|----------------------|---|
| <p><b>Value:</b></p> | <p>Records covering the development of Airways policy and strategy are recommended for retention as public archives because they contribute to the development of aviation policy and direction-setting for the organisation and therefore have high evidential value.</p> <p>Records related to the development of rules and legislation that Airways may be a party to are recommended for retention as public archives as they provide evidence of consultation processes undertaken in the formulation of civil aviation rules and/or legislation pertaining to the aviation industry. In general terms, legislation governing aviation activities is led and administered by the Civil Aviation authority. Compliance with that legislation by organisations such as airways is managed through Civil Aviation Rules. The CAA therefore consult with Airways on any proposed changes to the rules.</p> <p>Internal audit records are recommended for retention as they provide evidence of how Airways operated and of what internal quality and risk management processes were in place. Major internal audits are undertaken within Airways as part of an annual internal audit programme which is approved by the Board. Records created for such audits are recommended for retention as public archives. The administrative records surrounding this function are recommended for destruction as they are of a routine administrative nature only.</p> <p>Litigation records are recommended for destruction. This is consistent with the principles of the general disposal authorities in that if the case goes to Court then the Court record provided evidence of the litigation.</p> <p>Finals of non-financial planning and reporting records are recommended for retention as public archives as these records provide evidence of how Airways planned, reported and interacted with its Minister. Likewise records relating to the Airways work-programme are recommended for retention. The development/draft versions of these records are recommended for destruction as they are of a routine nature only.</p> <p>Records of internal governance and decision-making created at the Executive Management team level are recommended for retention as public archives as they document Airways decisions, plus provide evidence of decision-making processes within the organisation. Administrative records supporting the Executive Management team, plus those of more operational governance bodies such as the Senior Management team are recommended for destruction as they are of a routine nature only.</p> |
|----------------------|---|

**Recommended for retention as public archives:**

| <b>Class</b> | <b>Description</b>  | <b>Retention Period</b> | <b>Disposal Action</b>   | <b>Criteria</b> |
|--------------|---|-------------------------|--------------------------|-----------------|
| 8/1.1        | Policy/strategy development process records   | 10 years                | Retain as Public Archive | A4              |
| 8/2.1        | Rules and legislation consultation  | 10 years                | Retain as Public Archive | A6              |
| 8/3.1        | Internal Audit Reports  | 10 years                | Retain as Public Archive | A2              |
| 8/5.4        | Strategic plan finals   | 10 years                | Retain as Public Archive | A2              |
| 8/5.5        | NAV Plans - records documenting a technical view of the Strategic Plan                  | 10 years                | Retain as Public Archive | A2              |
| 8/5.6        | Strategic Advice  | 10 years                | Retain as Public Archive | A2 and A4       |
| 8/5.9        | Reporting to Minister's   | 10 years                | Retain as Public Archive | A2              |
| 8/6.1        | Airways-wide work programme review, quality assurance, coordination and planning        | 10 years                | Retain as Public Archive | A3              |
| 8/7.1        | Records of executive management team - executive management team formal meeting records | 10 years                | Retain as Public Archive | A2              |

**Recommended for destruction:**

| <b>Class</b> | <b>Description</b>  | <b>Retention Period</b> | <b>Disposal Action</b> | <b>Criteria</b> |
|--------------|---|-------------------------|------------------------|-----------------|
| 8/3.2        | Internal Audit Administration                                 | 7 years                 | Destroy                | D1              |
| 8/4.1        | All cases of litigation or claims against Airways Corporation | 10 years                | Destroy                | D2              |
| 8/5.1        | Annual plan and output plan - development                     | 3 years                 | Destroy                | D1              |
| 8/5.3        | Strategic plan development                                    | 3 years                 | Destroy                | D1              |
| 8/5.7        | Reporting to Minister - consolidated regular reporting        | 3 years                 | Destroy                | D2              |
| 8/5.8        | Reporting to Minister - annual report drafts                  | 3 years                 | Destroy                | D2              |
| 8/5.10       | Statement of intent development and finals                    | 3 years                 | Destroy                | D1              |
| 8/6.2        | Group/team based work programme planning                      | 3 years                 | Destroy                | D2              |
| 8/7.2        | Administration of executive management team meetings          | 1 year                  | Destroy                | D1              |
| 8/7.1        | Records of senior management                                  | 10 years                | Destroy                | D2              |
| 8/7.2        | Administration of senior management group meetings            | 1 year                  | Destroy                | D1              |

## **7. Access Recommendations**

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[Removed]

## **8. Transfer Arrangements**

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## **9. and 10. Appendices**

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