

Appraisal Report Amendment to an Existing Disposal Authority

Appraisal Report Amendment to an Existing Disposal Authority New Zealand Qualifications Authority

File/Document ID	APP2017/0004
Agency	New Zealand Qualifications Authority (NZQA)
Contact Name and Details	[Name removed]
Date	11/08/2017
Disposal Authority to be changed	DA622

Purpose/Circumstances

NZQA's Retention and Disposal Schedule was approved on 28 July 2015.

The introduction of a new business process tool and electronic content management system for the Qualifications Recognition Services (QRS) business unit at NZQA has resulted in a review of their processes and records created. This review has determined that an amendment to NZQA's Retention and Disposal Schedule DA622 is required to better reflect the on-going business value and use of QRS records.

Amending DA622 will ensure that all QRS records are managed appropriately in line with their value to NZQA, and can continue to be legally disposed of in a timely manner.

Description of Amendment

1. Creation of a new sub-class 3.1.2, covering International Qualifications Assessment (IQA) completed applications, allowing for a longer, more appropriate retention period that reflects the business value and use of those records.

**1. Minor changes and amendments to existing sub-classes not requiring Chief Archivist approval
[Removed]**

1.b. Proposed Inclusion of a New Class or Class Grouping

New Class Details	
Title	Applications for International Qualifications Assessment (IQA) - completed.
Number	3.1.2
Description	IQA queries, application forms, certified copies of qualifications records, correspondence to and from applicant, reports, and results statements.
Retention Period	10 years
Disposal Action	Destroy
Justification	<p>When NZQA's retention and disposal schedule was initially approved in 2015, IQA application records were covered within the scope of sub-class 3.1.1.</p> <p>New technological capabilities, a review of QRS processes, and the change to a risk-based approach for managing IQA applications has resulted in a new appraisal of IQA records and a determination that they have a greater value to the business than the other types of completed application records. This value requires a longer retention period.</p> <p>The total volume of applications received by QRS each year across all types of application is in excess of 10,000 applications, and this number is forecast to continue increasing. The financial cost of retaining all application type records for a longer retention period is not viable, therefore the logical action is to have two sub-classes. This will allow for continued timely disposal of lower value PAR and OSA application records after 5 years, and the disposal of IQA application records after 10 years.</p>

Class or class grouping

Description

This sub-class of records covers one activity carried out within NZQA that relates to NZQA's role in the recognition of international qualifications within New Zealand.

This sub-class covers: Completed applications for International Qualifications Assessments (IQA). These records document all the processes involved with international qualification assessment, from the initial query sent by persons with international qualifications, to qualification approval or decline.

This is a user-pays service whereby individuals from overseas wishing to work in New Zealand can have their qualifications checked and compared with current New Zealand qualifications listed on the New Zealand Qualifications Framework (NZQF). Qualifications are checked to ensure that they have been awarded by a recognised overseas institution and that any documents submitted are not fraudulent.

After initial queries are received and responded to, applicants can provide an application form and their qualification documents and/or certified copies. Once the checking process is completed an international qualifications assessment report is written and a letter is sent to the applicant, together with their original documents. Certified copies are not returned to the applicants. In a case where the applicants are dissatisfied with the assessment given, they can apply for a review within 12 months of the original decision. To determine that the qualifications presented are bona fide, NZQA verifies them mainly through the awarding institution.

Over the previous three financial years an average of 6400 IQA applications have been processed per year, each resulting in an electronic case file comprising between 25-50 pages. The average number of IQA applications received each year is forecast to continue increasing over the next several years. Case files are currently stored on a FileNet platform, however Qualifications Recognition Services is shortly moving their workflow process and information storage to ContentWorX ECMS.

See <http://www.nzqa.govt.nz/qualifications-standards/international-qualifications/> for further information.

Value Statement

Based on an assessment of IQA records against the criteria set out in the Appraisal Statement, the primary value of IQA records is Business value. These records provide evidence of decision making and are frequently referred to as evidence of previous decisions when assessing new applications for the same or similar qualifications. IQA records are also used for business intelligence purposes and risk management, supporting the business unit's risk-based approach to managing IQA applications.

The business value of IQA records diminishes over time, as the assessment criteria for evaluating applications changes (i.e. the New Zealand Qualifications Framework is updated), and as services provided to applicants evolves based on revised risk assessments.

These records do not meet the criteria set out in the Appraisal Statement for retention as public archives.

Retention and disposal recommendation

A retention period of 10 years is recommended. The trigger point is 12 months after the IQA application has been evaluated and a decision has been issued to the applicant (the review period). The disposal action is 'Destroy'.

These records are considered to have value to the business for assessing new and future applications, business intelligence, and risk management for up to 10 years. After 10 years the information contained within these records is considered to be 'out of date', and will have been superseded by more current information, thus diminishing the business value of the records to NZQA.

Access Recommendations

Do not apply.

