

Appraisal Report Legacy Functions, Activities and Records Evaluation Template

Appraisal Report

Legacy Functions, activities and records evaluation for Health Promotion Agency

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Agency	Health Promotion Agency
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Purpose
<p>In 2009 the records of the Health Sponsorship Council (HSC) were appraised and a Disposal Authority (DA387) was approved. The scope of DA387 was all current and future hard copy and electronic records created and received by HSC. Disposal of administrative records of HSC was to be covered by the General Disposal Authorities (GDAs).</p> <p>HSC was disestablished in 2012. All functions carried out by HSC were transferred to the Health Promotion Agency (HPA). Related records were also transferred to HPA under section 23 of the <i>Public Records Act 2005</i>. However, at this time the responsibility for administering DA387 was not transferred to HPA.</p> <p>The purpose of this Appraisal Report is to review and revalidate the appraisal recommendations made for HSC records in 2009. This will allow a new Disposal Authority to be issued to HPA and enable the sentencing and disposal of HSC records by HPA. HPA does not have a current Disposal Authority which covers HSC records.</p>
Scope
<p>All records that were created and received by HSC other than those administrative records covered by the GDAs.</p>

The volume of all HSC hard copy records held by HPA is c. 137 linear metres and the volume of all HSC electronic records held by HPA is c. 1.18 TB. However, the volume of records covered by this Appraisal Report is likely to be significantly smaller. This is because administrative records of HSC will be sentenced and disposed of under the GDAs.

Format

All formats.

Function/Activity Information/Collection

All records were created or received by HSC between 1990 and 2012.

The Health Sponsorship Council was established as a Crown Entity in 1990 following enactment of the *Smoke-free Environments Act 1990*.

HSC was funded through purchase agreements (e.g., with the Ministry of Health), and promoted health and healthy lifestyles with a focus on reducing personal, social, financial and healthcare costs associated with negative health behaviours.

To do this, HSC provided leadership and drew on the principles and practices of public health, health promotion and communication, and social marketing. Primary areas of work were tobacco control, sun safety, healthy eating and problem gambling.

Key activities of the HSC were marketing and communications, promotions, educational programmes, resources, 'research, evaluation and monitoring', facilitating community action, media activities, and branding and resources.

HSC maintained records in a variety of physical and electronic formats including tapes, posters, leaflets, photographs and merchandise. Electronic records were stored in a shared drive (known as 'Shortcircuit'), as well as other business systems (including a financial management system and a human resource system).

HSC was disestablished on 30 June 2012 following enactment of the *New Zealand Public Health and Disability Amendment Act 2012* and all functions and related records were transferred to HPA.

Physical HSC records have been managed by HPA since 1 July 2012. Electronic HSC records stored in Shortcircuit have been read only since 1 July 2012, and stored on HPA's network since January 2013.

Methodology

The appraisal methodology included:

1. Taking precedents into consideration

DA387, which covered functions and records of HSC, is due to expire on 26 August 2019

without having been fully implemented. This DA will supersede DA387, so HPA can complete the disposal of HSC records.

After reviewing the disposal decision made in DA387, it has been determined that the decision is still fit for purpose. This is because the functions of HSC remained unchanged between 2009 and its disestablishment in 2012, and HSC records transferred to HPA remain unchanged through until present day.

2. Adopting a risk-based approach

HPA does not consider it necessary to reappraise the records of the predecessor agency. The appropriate process was followed in 2009 and a decision was made and approved by the Chief Archivist at this time. Maintaining the same disposal decision is seen as low risk because the records have remained unchanged since HSC was disestablished.

3. Archives New Zealand Appraisal Statement 2014

The criteria for long-term retention as public archive that was used in 2009 was reviewed using the current Archives New Zealand appraisal criteria from the Archives New Zealand Appraisal Statement 2014, which has been developed to provide the rationale for long-term retention of records as public archives. This is to ensure that the decision is in line with Archives New Zealand's current appraisal policy. The appraisal criteria are:

Criteria 1. Business value	Information and records that are fundamental to the ability of a public office or local authority to carry out its business and enable continuity of services to the New Zealand public.
Criteria 2. Accountability	Information and records that are fundamental to providing citizens with trust in government; providing evidence of the well-being of the community and the impact of government activities on them, in compliance with relevant legislation and regulations.
Criteria 3. Rights and entitlements	Information and records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups.
Criteria 4. Legitimacy of Authority	Information and records that identify and document the source of authority and foundation of the machinery of government of New Zealand and its public sector bodies.
Criteria 5. Treaty of Waitangi/Te Tiriti o Waitangi	Information and records that provide evidence of recognition and respect for, fulfilment of or aspirations to the Treaty of Waitangi/ Te Tiriti o Waitangi principles and the Crown's obligations, or in the absence of this, evidence of failure to fulfil obligations and/or principles.
Criteria 6. Knowledge	Information and records that will substantially contribute to knowledge and understanding of New Zealand, its history, geography, society, culture and achievements and New Zealanders' sense of their national identity.

Class or class grouping – 1. Governance and Accountability

Description

This class covers governance and accountability papers created by both the Board and the Chief Executive functions, including establishment records, minutes and policy documents.

Value Statement

Key governance and accountability records such as meeting papers, minutes and policy are recommended for retention as public archives as they provide evidence of the key decisions made by HSC. Records documenting the relationship with the funding bodies (e.g. Ministry of Health) are also recommended for retention as public archives because they demonstrate how the funding of activities changes over time.

The records recommended for retention as public archives in this class meet the **Accountability** and **Legitimacy of Authority** criteria of Archives New Zealand's Appraisal Statement. They provide high-level evidence of how the HSC board was established and managed its obligations under the Smoke-free Environments Act 1990.

Administrative records in this class are lower level operational records and therefore they have only short-term business value. They are therefore recommended for destruction.

Retention and disposal recommendation

Recommended for retention as public archives:

Class #	Description	Minimum Retention Period	Trigger	Disposal Action
1.1	Meeting Papers - Papers collated for Board e.g. meeting papers and agenda	10 years	Date of last action	Retain as public archive
1.2	Meeting Minutes - Final minutes of Board Meetings	10 years	Date of last action	Retain as public archive
1.3	Board/Council Members Appointments - Records related to Board appointments and resignations	10 years	Date of last action	Retain as public archive
1.4	Board Policy - Policy about how the Board operates	10 years	Date of last action	Retain as public archive
1.5	Establishment Records - Establishment of the Board	10 years	Date of last action	Retain as public archive
1.6	Funding Contracts and Relationships - Records relating to the relationship with the funding bodies for HSC services	10 years	Date of last action	Retain as public archive

Recommended for destruction:				
Class #	Description	Minimum Retention Period	Trigger	Disposal Action
1.7	Board Administration - Remuneration and personal information, processing of reimbursements for fees and expenses etc, Conflicts of Interest, training for Board Members	7 years	Date of last action	Destroy

Class or class grouping – 2. Research and Evaluation				
Description				
<p>This class covers records related to research and evaluation activities, including research for developing new programmes, evaluation and monitoring of existing programmes, and co-ordination of research for programmes developed by both HSC and other agencies. Both “one-off” research projects and long-term research is included.</p>				
Value Statement				
<p>The final reports for research and the associated final data sets that the HSC either funded or participated in are recommended for retention as public archives because they provide evidence for the work undertaken by HSC and on the outcomes achieved.</p> <p>The records recommended for retention as public archives in this class meet the Knowledge criteria of the Archives New Zealand’s Appraisal Statement. They provide important information about, and contribute to our understanding of, health and wellbeing in New Zealand during the period 1990-2012.</p> <p>Records associated with research design and analysis such as methodologies and questionnaires are lower level routine and operational and have only short-term business value. These records are therefore recommended for destruction.</p>				
Retention and disposal recommendation				
Recommended for retention as public archives:				
Class #	Description	Minimum Retention Period	Trigger	Disposal Action

2.1	Research Reports and Associated Finalised Data Sets - Final reports and final data sets of research that HSC has funded or participated in.	10 years	Date of last action	Retain as public archive
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Recommended for destruction:

Class #	Description	Minimum Retention Period	Trigger	Disposal Action
2.2	Research Design and Analysis - Methodologies, raw data and questionnaires used to collate final reports.	10 years	Date of last action	Destroy

Class or class grouping – 3. Sponsorships

Description

This class covers records related to HSC sponsored programmes, projects and organisations that are directly linked to achieving healthy lifestyles. For example, sponsorship of community groups to run healthy eating activities and sponsorship of smoke free events.

Value Statement

Approved sponsorships and the associated papers, for example agreements, performance management and correspondence are recommended for retention as public archives because they provide evidence of the transfer of funding to various organisations and demonstrate the work undertaken by HSC to achieve programme outcomes.

These records recommended for retention as public archives in this class meet the **Accountability** criteria of the Archives New Zealand's Appraisal Statement because they demonstrate a core function of HSC.

Unsuccessful applications and requests for resources, for example merchandise, are recommended for destruction.

Retention and disposal recommendation

Recommended for retention as public archives:

Class #	Description	Minimum Retention Period	Trigger	Disposal Action
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3.1	Sponsorships – Approved Sponsorships - Agreements, performance management, correspondence	10 years	Date of last action	Retain as public archive
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Recommended for destruction:

Class #	Description	Minimum Retention Period	Trigger	Disposal Action
3.2	Sponsorships – Administration of Applications Applications received, decision process, correspondence	7 years	Date of last action	Destroy
3.3	Sponsorships – Unsuccessful Applications	7 years	Date of last action	Destroy
3.4	Requests for Resources Requests from Organisations for merchandise and other resources	1 year	Date of last action	Destroy

Class or class grouping – 4. Programmes

Description

This class covers records related to the programmes developed and delivered by HSC. Examples include Sun Smart, Healthy Eating, Problem Gambling, and Tobacco Control. These programmes represent the core activities for conducting HSC's legislative requirements.

Value Statement

Records detailing the planning for programmes are recommended for retention as public archives. The minutes and agendas for the Advisory and Reference Groups set up to oversee the various programmes are recommended for retention as public archives. Action plans, communications and policy for campaigns and projects are also recommended for retention as public archives.

Records related to the internal audit of programmes, known as the Quality Improvement Process (QIP) (detailed analyses of the programmes using the social marketing paradigm to compare the programme with other initiatives, identify areas of improvement and provide recommendations on how to implement improvements) are recommended for retention as public archives. This is because they provide a detailed analysis of what the programmes are setting out to achieve and an assessment of how well this is being delivered.

The records recommended for retention as public archives in this class meet the **Accountability criteria** of the Archives New Zealand's Appraisal Statement because they provide evidence of how HSC developed and delivered its programmes that were core activities for conducting HSC's legislative requirements.

Administrative records created to support Advisory and Reference Groups have only short-term business value and they are recommended for destruction.

Retention and disposal recommendation

Recommended for retention as public archives:

Class #	Description	Minimum Retention Period	Trigger	Disposal Action
4.1	Strategy and Planning – Finals	10 years	Date of last action	Retain as public archive
4.2	Campaigns and Projects – Finals	10 years	Date of last action	Retain as public archive
4.3	Advisory and Reference Groups - Agenda, minutes, memberships	10 years	Date of last action	Retain as public archive
4.4	Quality Improvement Process - Internal audit of HSC programmes	10 years	Date of last action	Retain as public archive

Recommended for destruction:

Class #	Description	Minimum Retention Period	Trigger	Disposal Action
4.5	Advisory and Reference Groups – Administration	Until no longer administratively required		Destroy

Class or class grouping – 5. Communications and Branding

Description

This class covers records related to communication activities in all media, including television, pamphlets, radio and posters.

Value Statement

A master set of material is recommended for retention as public archives because they represent the final outputs of promotion as a core activity HSC carried out. These records also provide a strong visual representation of the way in which messages for campaigns were conveyed.

The records recommended for retention as public archives in this class meet the **Accountability** and **Knowledge** criteria of the Archives New Zealand's Appraisal Statement because they provide evidence of how HSC promoted its strategies and campaigns. The final products from HSC's campaigns and branding represent unique stories and perspectives about health and wellbeing over time which will be a useful resource for future researchers.

Retention and disposal recommendation

Recommended for retention as public archives:

Class #	Description	Minimum Retention Period	Trigger	Disposal Action
5.1	Audio Visual Images - Master set of audio and visual images produced for HSC to promote key messages	5 years	Date of last action	Retain as public archive

Recommended for destruction:

Class #	Description	Minimum Retention Period	Trigger	Disposal Action
5.2	Merchandise Management - Process and procedures, contract management, supplier stock level management	Until no longer administratively required		Destroy

Class or class grouping – 6. Relationship Management

Description

This class covers records related to HSC's key relationships with government agencies (for example the Alcohol Advisory Council of New Zealand¹ and Sport and Recreation New Zealand²) and with non-government agencies and other organisations (for example universities, District Health Boards and public health groups).

Value Statement

Records documenting the relationship with other organisations, for example terms of reference and letters of agreement, are recommended for retention as public archives because they demonstrate HSC's influence and input into the development of relationships with the wider

¹ Disestablished in 2012

² SPARC became Sport NZ on 1st February 2012.

community and provide information on cross-agency initiatives led by HSC. Therefore, these records meet the **Accountability criteria** of the Archives New Zealand's Appraisal Statement.

Retention and disposal recommendation

Recommended for retention as public archives:

Class #	Description	Minimum Retention Period	Trigger	Disposal Action
6.1	Government Departments, Non-Government Organisations, Other NZ Organisations - Terms of Reference, letters of agreements, minutes and papers, correspondence	10 years	Date of last action	Retain as public archive

Access Recommendations

[Details removed]