



General disposal authority 7

Facilitative, transitory, and/or short-term value records

2013

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Agency Coverage: All Public Offices

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Te Rua Mahara o te Kāwanatanga

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Version	Date	Description	Revision due
1.0	2013	Original release	
2.0	2016	Amended to remove confusion between sub-classes; expand examples of records covered and excluded; and add new sub-classes to cover born digital records.	
2.1	Jul 2016	Reformatted and rebranded. Addition of reference to new factsheet in second paragraph of Implementation (in square brackets) – no other changes to content.	Jul 2019
2.2	Oct 2017	Legislation reference changed due to repeal of the ETA 2002, replaced by the CCLA 2017.	
2.3	Jun 2021	Reformatted to new template.	

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1 Introduction

All public offices should establish a policy on managing facilitative and transitory records to ensure a consistent approach across the business. Decisions about whether a record can be destroyed under this General Disposal Authority (GDA) should be made with an understanding of the business context and content of the records and risks associated with that business. Records management staff should use this GDA to develop guidance for staff to perform disposal actions in accordance with their recordkeeping requirements.

These records should be disposed of routinely in the normal course of business to minimise costs of maintaining and managing records. The public office is responsible for determining when they are no longer needed for administrative, legal, financial, audit, reference or other operational purposes. There is no requirement to formally document the disposal of individual records under this GDA.

2 Coverage

GDA7 covers generic classes of records of any format that have only short-term transitory value in their immediate and minor facilitation of preparing a more complete public record. Therefore they are not required for evidential or legal purposes. These records are created through routine administrative and business processes common to most public offices in the course of performing a public office's primary core business functions, duties and responsibilities.

GDA7 only covers those records within the scope of the above description. For all other records refer to GDA6: *Common Corporate Service Public Records (DA 558)* and your agency-specific disposal authority.

GDA7 does not cover personal correspondence sent or received at work by a staff member as these are considered to be private records and the responsibility of the individual (e.g. family correspondence, medical appointments, lunch dates, light-hearted banter, etc.). Such records do not support or contribute to the business functions of the public office, and are therefore not considered public records under the Public Records Act 2005.

GDA7 does not apply under 17/Sp7 Authority to retain public records in electronic form only, a digitised record can be retained in place of the original source record in certain circumstances. This authority comes from the *Contract and Commercial Law Act 2017 (CCLA)* and is an authority to retain, not to dispose. The original source record ceases to be a public record once the authority has been appropriately applied, resulting in no need for authorisation to destroy the original source record. Records staff should read the guide *17/G13 Destruction of source information after digitisation* for guidance on meeting the requirements.

3 Implementation

It is intended that records management staff use this GDA to develop guidance for general staff to perform the disposal actions in accordance with their recordkeeping requirements under sections 17 and 18 of the *Public Records Act 2005*. Where there are concerns with implementing this GDA, staff should contact their records management team, who can contact Archives New Zealand.

Staff will ensure where the disposal action requires the destruction of records that they comply with secure destruction requirements outlined in fact sheet 16/F1 Methods of destruction.

Should staff be unclear on these requirements they should consult with their records management team.

4 These general instructions apply to the entire authority:

- This authority covers all facilitative, transitory, and/or short-term value public records in any format or medium.
- Record examples given in this GDA are only representative of records types. They are not an exhaustive list and should not be used as such. Public offices should compile their own list of example of records that are covered by the various record classes.
- If you think that records marked for destruction ought to be preserved permanently, for instance if they have potential evidentiary, cultural, or intrinsic value, do not destroy them. Contact the Disposal and Acquisition team at Archives New Zealand to discuss an appraisal of the records.
- The onus is on each agency to establish their specific legal obligations for record retention relating to their particular function.

5 Schedule

Class/sub class Number	Class Description	Examples may include but are not limited to	Excludes	Minimum retention period by agencies	Disposal Action
1.0	Facilitative, transitory, and/or short-term value records				
1.1	Appointment diaries and calendar entries records that document the process of scheduling meetings and other activities, organising and planning work during a given period.	<ul style="list-style-type: none"> • Expired diaries and calendar entries • Completed appointment logs • Duty rosters 	<ul style="list-style-type: none"> • Official diaries and appointment books of Ministers • Diaries or log books required for evidence of a particular function e.g. police notebooks • Diaries or rosters required as evidence of attendance 	Retain until material is not required, or is no longer actively used and referred to	Destroy
1.2	Solicited and unsolicited information received or downloaded by the individual employee or their agency for	<ul style="list-style-type: none"> • Externally sourced material from a bulletin board, listserv, website or social media • Information received due to membership in a discussion group or forum • Media reports and press cuttings 	<ul style="list-style-type: none"> • Material created internally in which case a master copy should be retained in line with internal 	Retain until material is not required, or is no longer actively used and referred to	Destroy

	<p>information or reference purposes only; or received from businesses or individuals acting in a business or professional capacity advertising or promoting their products or services</p>	<ul style="list-style-type: none"> • Information downloaded from libraries and databases • External publications, newsletters etc. • Company profiles or product bulletins • Course and seminar announcements • Catalogues or price lists • Free trial products • Direct marketing mail/email notices i.e. junk mail or spam 	<p>recordkeeping requirements</p> <ul style="list-style-type: none"> • Material created by the public office itself in which case a master copy should be retained in line with internal recordkeeping requirements 		
1.3	<p>Copies or duplicates of records, in the same or different format to the original, that have been created, published or distributed and used for convenience and reference purposes</p>	<ul style="list-style-type: none"> • Copies of records captured in a corporate recordkeeping or business system • Copies of records made for personal reference purposes • Copies of distributed material such as manuals, meeting agendas and minutes, reports, instructions etc. • Cc'd recipient of emails where another recipient has responsibility for capturing the message into the recordkeeping system • Copies of emails or documents in personal drives or email folders that have been already captured • Externally sourced records appropriately captured into a recordkeeping system • Duplicate copies of photographs or audio visual records 	<ul style="list-style-type: none"> • Digitised records and digitised source records. • Copies of records created externally which have affected decision-making, policy or operations • Records where no master copy exists • Master copies should be retained in line with internal recordkeeping requirements 	<p>Retain until material is not required, or is no longer actively used and referred to</p>	<p>Destroy</p>

		<ul style="list-style-type: none"> • Copies of items that have been legally deposited with the Legal Deposit Office • Decommissioned websites harvested by the National Library of NZ, see; https://natlib.govt.nz/collections/az/new-zealand-web-archive • Excess stock publications • Voice-mail messages once a file note has been created • Security back-up tapes 			
1.4	Routine communication of advice or information that is readily available to the public or of low level importance	<ul style="list-style-type: none"> • Social media and instant messaging communications created for informational or promotional purposes e.g. blogs or tweets • Provision of routine administrative information e.g. opening hours or requests for copies of publications; • Posted listserv messages 	<ul style="list-style-type: none"> • Social media posts where social media is used by a public office as a formal business channel for service delivery or consultation 	Retain until material is not required, or is no longer actively used and referred to	Destroy
1.5	Drafts, preliminary and incomplete versions that do not contain significant or substantial changes or annotations that provide insight into the evolution of the final version	<ul style="list-style-type: none"> • Drafts that have minor edits for grammar, spelling etc. • Drafts which do not proceed and of which no final version is created • Drafts which do not contain significant or substantive changes or annotations • Incomplete material where a more complete version exists • Temporary files (TMP files) or backup files (BK, WBK files), created automatically by an application, these are an earlier version of a final version 	<ul style="list-style-type: none"> • Drafts that provide evidence of new/significant decisions, reasons or actions or formal approvals • Drafts that contain significant or substantial changes or 	Retain until material is not required, or is no longer actively used and referred to	Destroy

		<ul style="list-style-type: none"> Files created automatically which have a similar function but different structure to a temporary or backup file, which can be classified as a version of a final record 	<p>annotations that provide insight into the evolution of the final version</p> <ul style="list-style-type: none"> Drafts relating to legislation formulation, legislative proposals or amendments Drafts relating to policy development where the draft provides evidence of the processes involved and/or significantly more information than the final version Temporary files (TMP files) or backup files (BK, WBK files) created automatically where no final version exists need to be 		
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			retained in line with internal recordkeeping requirements		
1.6	<p>Facilitative records, working notes, calculations and incomplete materials created, collected and used in the preparation of more substantial drafts or final documents. Includes records that facilitate another process or transaction that result in the creation of a more substantive record, or that is only required for a short period once the process or transaction is completed</p>	<ul style="list-style-type: none"> • Background research • Statistics and figures • Routine or rough calculations • Spreadsheets or other documents incorporated into other documents • System reports to verify data which are not part of regular reporting • Outlines, calculations or designs that were discarded or superseded • Personal meeting minutes and versions of material not communicated beyond the individual creating the document • Audio recordings of meetings, conferences used to create transcripts or minutes • Unused audio visual material not used in the final version and are not defined as original footage or recordings • Records containing information that is compiled into a list, and is no longer required for business purposes 	<ul style="list-style-type: none"> • Working notes of a project officer or investigative officer where they are the substantive record • Records in an unofficial filing system where a full, official record has not been captured in the corporate recordkeeping system 	Retain until material is not required, or is no longer actively used and referred to	Destroy
1.7	<p>Internal routine material usually not individually</p>	<ul style="list-style-type: none"> • All-staff emails • Intranet material • Internal newsletters 	<ul style="list-style-type: none"> • Material created by an internal business unit 	Retain until material is not required, or is no	Destroy

	addressed to the recipient and published or circulated for information or general instruction only	<ul style="list-style-type: none"> • Instructions and notifications 	should be retained by the unit as the official record in line with internal recordkeeping requirements	longer actively used and referred to	
1.8	Casual or instantaneous communications that contain information of an ephemeral, non-transactional nature	<ul style="list-style-type: none"> • Seasonal greetings • Invitations • Transmittal documents which do not contain substantive information e.g. compliment slips; listserv messages; arrangements for meetings; sms messages (short message service) 	<ul style="list-style-type: none"> • Transmittal documents required as evidence of receipt or an action 	Retain until material is not required, or is no longer actively used and referred to	Destroy
1.9	Non user generated files (system generated files) , these are files not purposefully created by a person but are generated by an operating system	<ul style="list-style-type: none"> • Microsoft XP/Windows 7 operating system files • Microsoft Office owner files • Microsoft Windows thumbnail cache files (Thumbs.db files) • Microsoft Windows shortcut files (Ink files) • Executable software files • System configuration or initialisation files 	<ul style="list-style-type: none"> • Does not apply to the metadata associated with the files • Files still in use by the system e.g. current operating system files 	Retain until material is not required, or is no longer actively used and referred to	Destroy
1.10	Zero byte files and empty folders	<ul style="list-style-type: none"> • No content files and folders • Zero byte file • Empty folder 	<ul style="list-style-type: none"> • Files and folders providing context as part of an initial structure that may still be required e.g. 	Retain until material is not required, or is no longer actively used and referred to	Destroy

			populated in the near future		
1.11	Digital source records , left behind in an historical database or recordkeeping system after migration	<ul style="list-style-type: none"> Historical recordkeeping systems and databases e.g. 'system A' has been migrated to current database 'system B'. Examples; Shared drives, databases, recordkeeping systems 	<ul style="list-style-type: none"> Files migrated e.g. 'system B' (system, recordkeeping system or database) from 'system A' (system, recordkeeping system or database) 	Retain material until quality assurance procedures have been completed and signed off by appropriate delegate	Destroy