



Disposal Schedule Appraisal Report

Appraisal Report

Waka Kotahi NZ Transport Agency

File/Document ID	
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1 Purpose

The disposal of Waka Kotahi NZ Transport Agency (Waka Kotahi) information and records must be authorised by the Chief Archivist as per the requirements of the Public Records Act 2005.

The purpose of this appraisal report is to outline the context in which information and records are created and managed at Waka Kotahi, and to document the disposal recommendations and appraisal evaluation of information and records not covered by the General Disposal Authorities (GDA's), for approval by the Chief Archivist.

The accompanying disposal schedule identifies classes of Waka Kotahi-specific information and records that are created and received by the agency, and the recommended time period for keeping them prior to their destruction or transfer to Archives New Zealand.

2 Schedule overview and scope


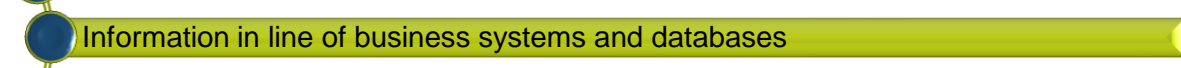

Waka Kotahi has a current disposal authority that expires in 2024 (DA601). Several transfers of public records have been made to Archives New Zealand under that authority. And some public records have been destroyed under the existing GDAs.

- *GDA 6 Common corporate service public records, and*
- *GDA 7 Facilitative, transitory, and/or short-term value records*

The disposal schedule accompanying this report applies to information and records pertaining to the functions of Waka Kotahi that are not covered by the GDAs. The schedule consists of twelve classes of records. These classes provide disposal coverage over Waka Kotahi core operational records relating to the functions of funding, planning, building, maintaining, and operating New Zealand's land transport system. The disposal classes are:

1. Accountability, governance, and strategic management
2. External relationship management
3. Policy development and advice to government
4. Planning and change initiative management
5. Research programme management
6. Road safety
7. Licencing and registration
8. Transport network operations
9. State highway management and maintenance
10. Public education campaigns/programmes
11. Managing national ticketing
12. Managing information technology, information management and data management

This disposal schedule applies to all information and records in any format, within all systems created and used by Waka Kotahi which aren't already included in the existing Archives New Zealand General Disposal Authorities. That includes:

-  Digital documents and records
-  Information in line of business systems and databases
-  Legacy hard-copy records

3 Public office (Agency) information

Name of public office:	Waka Kotahi NZ Transport Agency
Alternative name:	Waka Kotahi
Public office's physical location:	National office is in Wellington Regional offices are: <ul style="list-style-type: none">• Upper North Island (Auckland, Tauranga, Whangārei)• Central North Island (Hamilton, New Plymouth)• Lower North Island (Gisborne, Napier, Palmerston North)• South Island (Nelson, Blenheim, Christchurch, Dunedin)
Year established:	2008
Year disestablished:	Current

3.1 Functions

Waka Kotahi was established on 1 August 2008 and has offices around New Zealand. It is a Crown entity governed by a statutory board.

Waka Kotahi primary objective is to contribute to an effective, efficient, and safe land transport system in the public interest.

Waka Kothi has regulatory, infrastructure, planning, investment management and general functions.

Its regulatory functions include:

- contributing to establishing, operating, and enforcing regulation of the land transport system
- issuing warnings, reports, and guidance
- managing and overseeing regulatory requirements for land transport
- investigating and reviewing accidents and incidents involving transport on land
- appointing and overseeing the performance of the Director of Land Transport.

The functions of the Director of Land Transport include:

- exercising control over entry into and exit from the land transport system
- monitoring, investigating, managing, and enforcing compliance
- monitoring adherence of the land transport system to regulatory requirements in other legislation
- monitoring and evaluating the performance of persons working in land transport regulation
- ensuring regular reviews of the land transport regulatory system (including the funding system)
- issuing warnings, reports, guidance, or commentary
- undertaking statutorily independent functions.

Its infrastructure, planning and investment management functions include:

- managing the state highway system
- overseeing the planning and delivery of public transport
- managing the funding of the land transport system
- monitoring and reporting to the Minister of Transport on matters relating to rail network investment programmes.

In addition, Waka Kotahi general functions include:

- delivering or managing activities relating to research, education, and training
- delivering or managing activities for ticketing systems and payments
- issuing reports and guidance

- providing the Minister of Transport with any advice relating to the function of Waka Kotahi that the Minister requests
- carrying out any other functions relating to land transport that the Minister of Transport directs.

Waka Kotahi works with a range of agents to provide transport users with safe access to the land transport system. This is completed through:

- driver testing services
- issuing driver licences and transport service licences
- vehicle certification, registration, and licensing activities
- collecting road user charges and other revenue.

Waka Kotahi is one of the government agencies operating in the transport sector. The agency works closely with sector partner agencies to meet the transport needs of all New Zealanders. Its role is to provide a vital link between government policy making and the operation of the sector.

See Appendix 5 for the history of Waka Kotahi.

3.2 Legal framework

Waka Kotahi is a Crown entity. While it is a public body at arm's length from Ministers, it is still part of the state sector.

Waka Kotahi is contracted by the Ministry of Transport to develop rules, a form of legislation that, together with regulations, shapes the transport sector in New Zealand.

Under the Land Transport Management Act 2003 (amended 2008), Waka Kotahi has the following responsibilities:

- to contribute to an effective, efficient, and safe land transport system in the public interest;
- to contribute to establishing, implementing, operating, delivering, monitoring, and enforcing the regulation of the land transport system;
- to publish its regulatory strategy in accordance with section 96A;
- to appoint and oversee the performance of the Director, including by ensuring that the Director performs efficiently and effectively;
- to issue warnings, reports, and guidance, and to comment about any regulatory matter relating to the land transport system and its participants or any other persons engaged with it;
- to manage and oversee regulatory requirements for land transport, including maintaining and preserving records and documents concerning activities within the land transport system and providing and maintaining registers;
- to investigate and review accidents and incidents involving transport on land in its capacity as the responsible safety authority (subject to any limitations set out in the Transport Accident Investigation Commission Act 1990);
- to manage the State highway system (including its planning, funding, design, supervision, construction, maintenance, and operation) in accordance with this Act and the Government Roadway Powers Act 1989;
- to oversee the planning, operation, implementation, and delivery of public transport (including issuing guidelines for regional public transport plans);
- to manage funding of the land transport system, including:
 - administering land transport revenue; and
 - auditing the performance of approved organisations in relation to activities approved by the Agency; and
 - auditing the operation of the land transport disbursement accounts of those organisations;
- to assist, advise, and co-operate with approved organisations;
- to assist, advise, and co-operate with KiwiRail in relation to KiwiRail's role in preparing each rail network investment programme;
- to monitor and report to the Minister on the matters set out in section 102A;

- to deliver, or manage the delivery of, activities relating to research, education, and training in relation to the land transport system;
- to deliver, or manage the delivery of, activities for ticketing systems and payments in relation to the land transport system;
- to issue reports and guidance and to comment about any matter relating to the land transport system and its participants or any other persons engaged with it;
- to advise, assist, or co-operate with any government agency or local government agency when requested to do so by the Minister, but only if the Minister and the Agency are satisfied that the performance of the Agency's functions and duties will not be compromised;
- to advise, assist, or co-operate with other specified agencies and overseas agencies (including under section 109B);
- to carry out any other functions relating to land transport that the Minister directs in accordance with section 112 of the Crown Entities Act 2004;
- to provide the Minister with any advice relating to the Agency's functions that the Minister requests;
- to carry out the Agency's functions, powers, and duties under other provisions of this Act or any other Act.

The main pieces of legislation that shape Waka Kotahi business and activities are listed in Appendix 3.

3.3 Organisation structure

Waka Kotahi is managed by an Executive Leadership Team (ELT) reporting to the Chief Executive. The Chief Executive reports to the Waka Kotahi Board.

The Waka Kotahi Board is appointed by the Minister of Transport. Its' role includes operating in accordance with the Crown Entities Act and Land Transport Management Act, and monitoring and reporting on the performance of Waka Kotahi. The Board has four standing committees which meet at least quarterly:

- Risk and Assurance Committee
- Investment and Delivery Committee
- People and Culture Committee
- Regulatory Committee

Waka Kotahi is made up of nine groups:

- Chief Executive Office
- Transport Services
- Te Rōpū Waeture | Regulatory Services
- Te Mātangi | Māori Partnerships
- Haumarū Taiao | Safety, Health and Environment
- Te Aukaha | Digital
- Corporate Support
- Pūmanawa Tāngata | People
- Te Waka Kōtuia | Engagement and Partnerships

There are also five Directors of Regional Relationships, who build, maintain, and enhance the Waka Kotahi strategic alignment and reputation within a specific geographical boundary.

3.4 Information management environment

3.4.1 Capability

The Information Management (IM) team, formally called the Corporate Information and Records (CI&R) team, is based in Wellington. The IM team provides information and records management expertise across the organisation to support and enhance Waka Kotahi core business functions and activities.

The team is responsible for providing a framework for the systematic creation, management, disposal and protection of Waka Kotahi information and records. Its role is to ensure that information and records support all business functions and operations (including capital projects), while complying with our legislative requirements.

Key services:

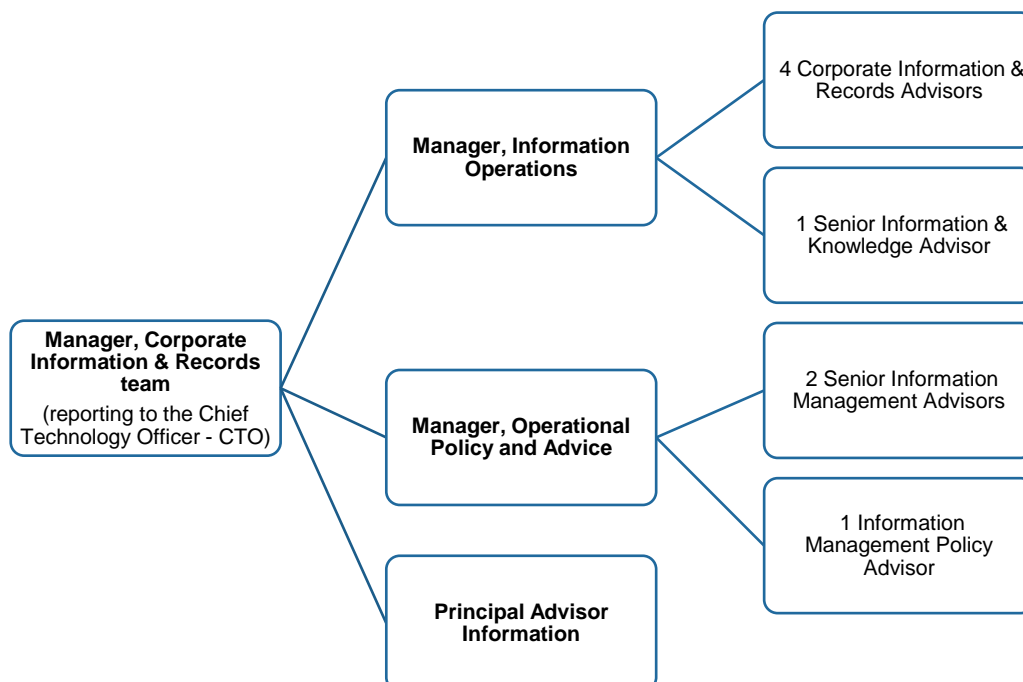
- InfoHub (OpenText ECM) ownership, support, and administration
- M365/SharePoint/Teams support and administration
- Records management services
- Library and reference services
- Information management advice and guidance
- Information assurance
- Information training support

Key responsibilities:

- Governance, strategic alignment, and partnerships
- Accountability and value
- Monitoring, assurance, and compliance
- Advice and customer support

Within the business, team, and business administrators, also Personal and Executive Assistants may provide additional information management support. These roles may include 'folder coordinators', which is a 'super user' role associated to InfoHub. Folder coordinators receive additional induction training.

Recently the IM team has launched an IM Network Group (IMNG) which is made up of people across the business. The group is about championing IM within the organisation, and members can act as first port of call in their team or group to help and support good IM practices, and information systems usage.



3.4.2 Physical information and records

There is a formal hard copy filing system that works across Waka Kotahi, however, there are still remnants of legacy filing systems. Physical file classifications are recorded manually on spreadsheets and on the offsite (TIMG) safe system. The formal hard copy filing systems at the national office are managed by the IM team while team / business support administrators manage in the regions.

Although most of the information and records are born digital, there are still some teams that create low volume physical records, with the exception to Palmerston North office which is mainly due to regulatory processing. These are all filed under Waka Kotahi filing system. There are collections of 'working papers' around some desks, which may or may not end up in the formal hard copy filing systems.

Waka Kotahi has many hard copy non-current records stored off-site at TIMG facilities across New Zealand.

At the national office, all lodgements and retrievals of records go through the CI&R team except for those from the People group, who arrange these processes themselves. Each regional office also works directly with TIMG to manage off-site storage for records created in the regional offices.

See the table below for a breakdown of the number of boxes stored off-site for each region. This equals a total of 45,496 boxes as of March 2022 This equals approximately 15,165 linear metres.

Offices	Number of boxes
Hamilton and Auckland	12,309
Christchurch, Blenheim & Dunedin	4,669
Wellington	10,945
Palmerston North & Napier	17,573
Total boxes stored off-site	45,496

3.4.3 Digital information and records

Current electronic documents – InfoHub (OpenText) is the corporate electronic document management system in place at Waka Kotahi. Most business units are using the system as the primary repository for their electronic documents, but the introduction of MS Teams and SharePoint online (rolled out in 2019) has caused the creation of a second information repository in the organisation which keeps growing. There is also a wide-spread use shared network drives within Waka Kotahi.

There is current project to upgrade InfoHub, i.e. migration from InfoHub on premise to InfoHub in the Cloud and improve its usability and uptake. In addition, work is underway to improve the governance and use of Teams and SharePoint and a formal initiative is currently being scoped.

All staff have received full training on the system as part of the implementation across Waka Kotahi in 2016. Since then, how to use InfoHub is part of the mandatory core induction training. User guides/manuals, phone and email support are also available as required. IM team members provide support in relation to information architecture, creation of new metadata headings / classifications, naming conventions and database administration activities.

Business information systems and data stores – Waka Kotahi, like many large organisations, operates a number of key databases and line-of-business systems that are also information repositories such as SAP (finance system) and Workday (human resources and payroll system). In addition, Waka Kotahi has a number of databases that support its functions relating to licencing, registration, and inspections. Appendix 4 provides an overview of key digital data sets and systems as of August 2022.

The management and control of these databases sit with the business units that manage the functions to which they relate. To date, the IM team has had little or no influence on the management of these core databases even though they may be used as recordkeeping systems.

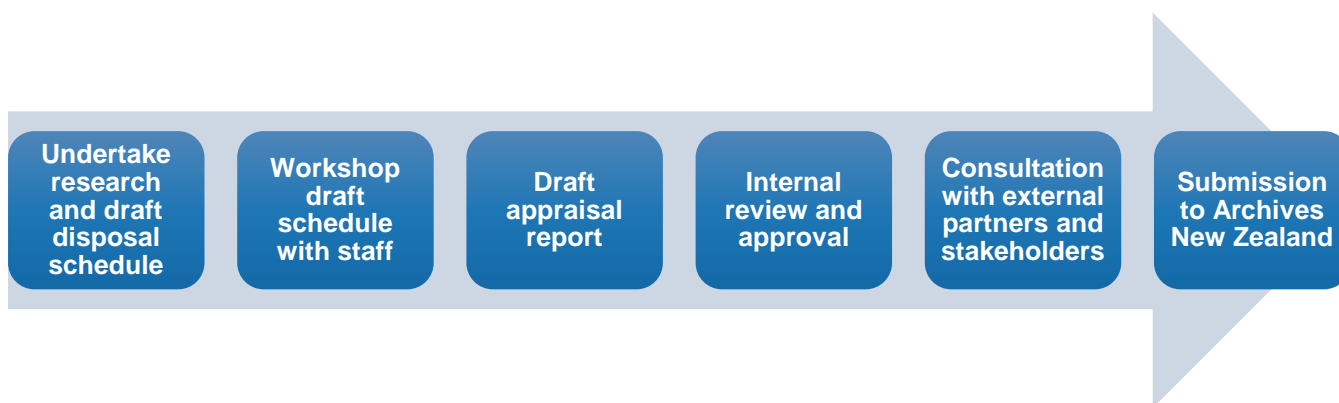
The Manager of the Corporate Information and Records team is a member of the Architecture Review Board (ARB) which approves the design of new systems (or upgrades) so it complies with standards within the technology group including data and information management.

Long-term nature of assets, and asset information and records – roads and other roading assets are built and maintained for generations. This means that Waka Kotahi will hold and actively use these records over a long period of time, as these only become non-current once the asset has been decommissioned. Therefore, the likelihood of transfer of records within the next decade from Class 9 of the schedule (State Highway Management and Maintenance) is low. A Deferral Agreement will be required for the class mentioned above as Waka Kotahi will be retaining public records that are older than 25 years.

4 Methodology

4.1 Development Activities

To develop the disposal schedule and appraisal report, the following activities were undertaken:



The existing schedule, i.e. DA601, was used as a starting point in developing this updated disposal schedule. Additions and changes were made to reflect the organisational and functional changes in Waka Kotahi since DA601 was approved. Additions and changes were also made based on changes noted from projects over the last decade that involved implementation of DA601.

4.2 Appraisal criteria

The following selection principles have been used in assessing the value of the information and records covered by this disposal schedule. These principles are from the Archives New Zealand Appraisal Public Sector Selection Statement (published in August 2019) which was developed to provide the rationale for selecting public records as archives.

Principle 1 – New Zealand public sector authority, functions, and activities

Description:

Information and records that provide evidence of the authority and performance of the New Zealand public sector (including all public offices and local authorities as well as public/private partnerships and outsourced providers).

This includes information and records that illustrate and provide clarity on the functions of governing New Zealand, such as the development and implementation of public policies and programmes in response to national as well as international issues. Particularly where the information and records:

- set a legal precedent and/or impact the development and/or implementation of legislation
- generate public interest, debate and/or controversy due to the costs involved, risks taken and/or impact created
- affect the obligations, responsibilities and/or liabilities of a public organisation
- document the development and implementation of innovative, unique, or precedent-setting practices, techniques, or methods.

Principle 2 – Treaty of Waitangi/Te Tiriti o Waitangi

Description:

Information and records that provide evidence of recognition and respect for, or fulfilment of the Treaty of Waitangi/Te Tiriti o Waitangi (the Treaty) principles and the Crown's obligations, or in the absence of this, evidence of failure to fulfil these principles and/or obligations. Particularly where the information and records:

- provide evidence of negotiations and settlements between the Crown and iwi Māori in relation to the Treaty principles
- detail how the principles of the Treaty are being acknowledged and embedded
- document strategies to identify opportunities for partnerships with tangata whenua.

Principle 3 – Individual and community knowledge, identity, and memory

Description:

Information and records that contribute to the knowledge and understanding of New Zealand, its history, geography, society, culture, and achievements, and to all New Zealanders' sense of their local, regional and national identity and legal status, their Māori iwi/hapū and whānau, ethnic or other communities. Particularly where the information and records:

- involve land and/or resources considered to have community, cultural, Māori, environmental or heritage significance
- enable connections across generations or communities, providing links between the past and the present
- contribute to an understanding of New Zealand's history and the health, well-being, and development of its society.

4.3 Internal review

Following the development of the draft disposal schedule and accompanying appraisal report, a process of internal review was undertaken to ensure that the identified classes, recommended disposal actions and time periods were appropriate and suitable from Waka Kotahi's perspective.

The draft documentation was then submitted for approval to the Public Records Act Executive Sponsor (on behalf of the Executive Leadership Team).

Appendix 1 lists all Waka Kotahi staff consulted during the development of the disposal schedule or who reviewed the draft.

4.4 External consultation

A number of organisations were identified as key external partners and/or stakeholders for the disposal schedule because they may have an interest in the disposal of Waka Kotahi information and records.

Appendix 2 lists all external partners/stakeholders provided with the draft documents for review.

4.5 Format of the schedule

The disposal schedule spreadsheet accompanying this appraisal report contains the following fields:

Field	Name and Position
Class ID	The reference number of the disposal class
Class/sub-class title	The title of the broad class and sub-classes of information and records
Description and examples	A description and/or examples of the information and records covered
Trigger	The point when the minimum retention period begins
Minimum retention period	The minimum period of time for which the information and records must be kept after the trigger point before final disposal
Disposal action	The final disposal action on the information and records: D – Destroy A – Retain as public archive
Notes	For any additional notes that may assist with interpretation or implementation of the schedule

5 Description and evaluation of classes

The following sections outline each class and provide details of information and records within it, an evaluation, and the recommended disposal action.

There are twelve classes of information and records in Waka Kotahi's disposal schedule which cover core functions that are not already covered by Archives New Zealand GDA's. Waka Kotahi will utilise the GDA's for the disposal of information and records covered by those authorities.

5.1 Class 1 – Accountability, governance, and strategic management

5.1.1 Description

This class covers information and records not covered by the Archives New Zealand General Disposal Authority GDA6 which covers common corporate activities relating to accountability, governance, and strategic management. Its focus is on the formal governance bodies and processes within Waka Kotahi such as recording the decisions of and providing support for the Waka Kotahi Board, and the internal governance groups. Also included are some activities which may have strategic impact such as litigation, development of operational policy and procedures and organisational risk management. Learning content

is also included as it encompasses an enterprise-wide approach to learning and delivery of education to staff. Class 1's sub-classes are:

- 1.1 Board and subcommittee meeting agendas, minutes, and papers
- 1.2 Administration of the Board and subcommittees
- 1.3 Board induction programme records - content
- 1.4 Board induction programme records - administration
- 1.5 Directors' disclosures
- 1.6 Chair's correspondence
- 1.7 Advice to Chief Executive
- 1.8 Administrative support to Chief Executive
- 1.9 Chief Executive correspondence
- 1.10 Internal Governance Board/Group/Committee records
- 1.11 Litigation records - significant cases
- 1.12 Litigation records - minor/routine cases
- 1.13 Litigation Register
- 1.14 Legislation development and review
- 1.15 Operational policy, procedures and manuals
- 1.16 Supporting Coroners Report activities
- 1.17 Monitoring implementation of Coroners recommendations
- 1.18 Managing privacy incidents and breaches
- 1.19 Provision of privacy advice
- 1.20 Organisational risk management
- 1.22 Privacy impact assessments
- 1.23 Learning content

Board and subcommittee meeting agendas, minutes, and papers (sub-class 1.1) covers the formal information and records of the Board and its sub-committees held in National Office. Sub-committees include:

- Investment and Delivery Committee
- Risk and Assurance Committee
- People and Culture Committee
- Regulatory Committee

Example information and records are all agendas and minutes and final papers and reports submitted such as:

- Chief Executive's report
- policy discussion papers
- National Land Transport Fund documentation and approvals

Administration of the Board and subcommittees (sub-class 1.2) covers information and records created as part of the administrative activities that support the Board and subcommittees. Example information and records are:

- records of meeting arrangements

- travel records

Board induction programme records – content (sub-class 1.3) covers the information and records developed to introduce new Board members to Waka Kotahi functions and Board responsibilities. Example information and records are:

- induction material

Board induction programme records – administration (sub-class 1.4) covers information and records of the administration of induction training for Board members. Example information and records are:

- venue details
- catering arrangements

Directors' disclosures (sub-class 1.5) covers information and records documenting Directors' disclosures. Example information and records are:

- Register of Directors' disclosure of interests
- Declarations of Conflict of Interest

Chair's correspondence (sub-class 1.6) covers correspondence to and from the Waka Kotahi Board Chair. Example information and records are:

- Advice to Police commissioner re board decisions
- Briefing to the district mayor
- Letter to Minister of Finance about board matters

Advice to Chief Executive (sub-class 1.7) covers information and records documenting advice to Chief Executive is about the documented advice provided specifically to the Chief Executive, often by roles such as Principal Advisor or National Manager covering topics ranging from policy advice, organisational strategy, relationship management, or issues response. Example information and records are:

- briefings
- discussion papers
- responses to specific requests for advice

Administrative support to Chief Executive (sub-class 1.8) covers information and records of a routine administrative nature created to support the office of the Chief Executive. Examples are:

- diary records
- itineraries
- copies of information supplied for reference purposes
- invitations
- congratulation and condolence messages

Chief Executive correspondence (sub-class 1.9) covers information and records of correspondence to the Chief Executive where a response is required that is not a request for information. For example, correspondence from members of the public expressing their view of the agency and the response given.

Internal Governance Board/Group/Committee records (sub-class 1.10) covers records of formal Waka Kotahi governance groups or boards established internally to provide guidance and act as a decision-making forum such as:

- Executive Leadership Team meetings
- Regional management meetings
- Divisional management meetings
- Executive Sub-Committee meetings. Example Executive Sub-Committees are:
 - Regulatory
 - Road to Zero
 - Agency Operations
 - Digital

Example information and records are:

- agendas
- meeting minutes
- papers presented to the Board/Group/Committee

Litigation records – significant cases (sub-class 1.11) covers information and records that document Waka Kotahi involvement in significant litigation such as:

- judicial reviews
- litigation regarding issues that sets a precedent or is of high public interest

Example information and records are:

- evidence gathered
- correspondence about litigation
- internal working papers
- legal file notes
- summary of facts
- interview/briefing transcripts (witness or suspect)
- victim impact information (statements)
- witness statements

Litigation records – minor/routine cases (sub-class 1.12) covers information and records of litigation that Waka Kotahi may be involved in where there is not a high public interest, and/or that is of a routine nature, and/or does not set a precedent. Covers all information and records of the litigation such as:

- evidence gathered
- correspondence about litigation
- internal working papers
- legal file notes
- summary of facts
- interview/briefing transcripts (witness or suspect)
- victim impact information (statements)
- witness statements

Litigation Register (sub-class 1.13) covers information and records summarising litigation cases in which Waka Kotahi has been involved. Example information and records are:

- litigation register

Legislation development and review (sub-class 1.14) covers information and records that document the development of, and amendments to legislation and regulations where Waka Kotahi is the lead agency such as:

- Land Transport Management Act 2003
- Transport Accident Investigation Commission Act 1990
- Government Roadings Powers Act 1989
- Land Transport Act 1998
- Railways Act 2005
- Road User Charges Act 2012
- Land Transport Regulations 2008
- Railways Regulations 2019
- Land Transport Rules

Includes all information and records relating to the development and passing of primary and secondary legislation and any amendments or reviews, such as:

- drafts of legislation
- submissions and other consultation documents
- records of readings in the House

Operational policy, procedures, and manuals (sub-class 1.15) covers information and records relating to the development of policy, procedures, manuals, guidelines in all areas of Waka Kotahi substantive functions such as:

- Contract Procedures Manual
- Bitumen Manual
- Funding Assistance Rates/Funding Manual
- Planning and Investment Framework
- Competitive Pricing Procedures
- Safety Manuals
- Overweight Permitting Manuals
- Funding decision-making criteria
- Investment Policy Manuals
- Monetised Benefit and Cost Manual
- Economic Evaluation Manual
- Community Engagement Manual

Example information and records are:

- research documents
- think pieces
- reports and briefings
- peer reviews
- major drafts
- final documentation

Supporting Coroners Report activities (sub-class 1.16) Coroners play an important part towards creating a system that protects people from death and serious injury when mistakes occur. The Safe System approach (Waka Kotahi's approach to building a safe transport system) strongly supports and reinforces the coroners' mandate to independently inquire into the causes and circumstances of deaths, identify lessons to be learned and make recommendations to help prevent such deaths occurring in the future. This sub-class covers information and records that support the coroner's investigation process, and any changes that the coroner may recommend for Waka Kotahi. Example information and records are:

- requests from the coroner in relation to individual or crash details
- draft recommendations from the coroner that may impact on Waka Kotahi operations
- final Coroners Reports, and recommendations for Waka Kotahi

Monitoring implementation of Coroners recommendations (sub-class 1.17) covers information and records that monitor the implementation of changes made by Waka Kotahi as a result of recommendations made by the coroner. Example information and records are:

- summary spreadsheet of recommendations made, and actions taken

Managing privacy incidents and breaches (sub-class 1.18) covers information and records that document the management and resolution of privacy incidents and breaches. Example information and records are:

- privacy incident report
- notification of breaches to the Privacy Commissioner

Provision of privacy advice (sub-class 1.19) covers information and records documenting the provision of privacy advice to staff. Example information and records are:

- email correspondence
- meeting notes
- advice given

Organisational risk management (sub-class 1.20) covers information and records documenting the management of organisational risk. Example information and records are:

- Waka Kotahi Risk and Assurance Management Framework
- operational risk reviews
- enterprise risk registers such as the Privacy Risk Register
- quarterly risk updates

Privacy impact assessments (sub-class 1.21) covers information and records documenting the completion of privacy impact assessments (PIA) for new systems being implemented or business processes being undertaken by Waka Kotahi. Example information and records are:

- Completed privacy impact assessments

Learning content (sub-class 1.22) covers information and records documenting the content of learning modules/courses developed and offered by Waka Kotahi through Puna Koi (the human resources system). The training offered, primarily to internal staff, ranges across all Waka Kotahi functions and activities. Example learning content is:

- Understanding HPMV and 50MAX
- The Investment Assessment Framework
- WorkSafe NZ - L1M9 Introduction to Regulations
- Thriving with Resilience (EPP)
- Te Rito - Course One - Introduction to Te Rito
- Storytelling at Work - C1 Module 1/2
- Managing our information
- How to update customer addresses in DLR
- Electric vehicle information session - Auckland

Example information and records are:

- course materials

5.1.2 Evaluation

A number of the sub-classes in Class 1 contain information and records of archival value.

Information and records relating to the management, decision-making and operation of Waka Kotahi's Board (sub-classes 1.1 and 1.6) are recommended for retention as public archives because they provide evidence of the strategic decision-making at Waka Kotahi and the accountability and governance of its Board. In addition to evidence of strategic decision-making, sub-class 1.6, Chairman's correspondence provides evidence of the interactions between the Chairman and whoever writes to him/her such as members of the public. They are recommended for retention under Principle 1 of the Public Sector Archival Selection Statement.

Similar to Board records, the records that are associated with the support and advice provided to the Waka Kotahi Chief Executive (sub-classes 1.7 and 1.10) and its Senior Managers are also considered to have archival value as they provide evidence of the structure, organisation, planning and decision-making of Waka Kotahi at a strategic level. Internal Governance Board/Group/Committee records also provide evidence of the strategic and high-level decisions and decision-making processes within Waka Kotahi. These sub-classes record what decisions were made about how the organisation is managed as well as provide evidence of the approach to decision-making within the agency. They are recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement.

Litigation records pertaining to significant cases (sub-class 1.11) are recommended for retention as public archives as they provide proof of an agreement or protect the legal rights of the parties involved as well as providing evidence of accountability of Waka Kotahi. The litigation register (sub-class 1.13) is also recommended for retention as it provides a summary view of all litigation that Waka Kotahi may be involved in. They are recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement.

Records of legislation review, and development (sub-class 1.14) provide evidence of the development of legislation and legislative amendments from the perspective of the agency charged with the administration

and oversight of that legislation. Responsibility for such legislation is a key function of Waka Kotahi. Such records complement those being retained by the Parliamentary Counsel Office. They are recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement.

Operational policies and procedure records, and manuals (sub-class 1.15) cover the development of operational policy and procedures across all areas of Waka Kotahi's substantive functions. They provide key evidence of 'how' the agency intended to carry out its core functions, and the policy and standards which it set itself to follow. Such records provide important context about the agency, and evidence of how its functions operated at a high level over time. They also provide evidence and accountability of proof behind the actions of the day in managing the national highway network as well as a source of vital information about potential network failings if assessment is required. They are recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement.

Waka Kotahi plays a vital role in ensuring the safety of our roads and transport systems. As a result of a fatality on the roads, the coroner, as part of their investigation may make recommendations to Waka Kotahi for changes to improve safety. Waka Kotahi tracks all recommendations and monitors progress on changes made as a result of Coroners findings (sub-class 1.17). These records provide evidence of how Waka Kotahi improves safety of our transport system and responds to recommended changes from the coroner. They are recommended for retention under Principle 1 of the Public Sector Archival Selection Statement.

The remaining sub-classes in this class contain routine administrative or routine operational information and records. This is sub-classes 1.2, 1.3, 1.4, 1.5, 1.8, 1.9, 1.12, 1.16, 1.18, 1.19, 1.20, 1.21, 1.22. They have short – medium term business value only and are therefore recommended for destruction.

5.1.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
1.1	Board and subcommittee meeting agendas, minutes, and papers
1.6	Chair's correspondence
1.7	Advice to Chief Executive
1.10	Internal Governance Board/Group/Committee records
1.11	Litigation records - significant cases
1.13	Litigation Register
1.14	Legislation development and review
1.15	Operational policy, procedures, and manuals
1.17	Monitoring implementation of Coroners recommendations

Information and records recommended for destruction

Sub-class	Title
1.2	Administration of the Board and subcommittees
1.3	Board induction programme records - content
1.4	Board induction programme records - administration

Sub-class	Title
1.5	Directors' disclosures
1.8	Administrative support to Chief Executive
1.9	Chief Executive correspondence
1.12	Litigation records - minor/routine cases
1.16	Supporting Coroners Report activities
1.18	Managing privacy incidents and breaches
1.19	Provision of privacy advice
1.20	Organisational risk management
1.21	Privacy impact assessments
1.22	Learning content

5.2 Class 2 – External relationship management

5.2.1 Description

This class covers information and records that document how Waka Kotahi interacts with other organisations, agencies, and customers. Waka Kotahi works very closely with:

- transport operators
- service delivery agents, who, through their 4000 outlets, support the agency to process motor vehicle and driver licensing transactions
- transport committees, regional councils, and territorial local authorities, which are responsible for implementing transport projects and other activities funded through the National Land Transport Programme
- suppliers, including contractors and consultants
- the New Zealand Police, who Waka Kotahi fund and work with to provide a range of road policing services
- the Te Manatū Waka Ministry of Transport, which is responsible for leading the development of strategic transport policy and monitoring performance of the sector's Crown entities and industry groups
- other central government and local government organisations

In some cases, there are specific protocols and agreements in place to guide how Waka Kotahi engages with these stakeholders on a regular basis. In addition to the relationships with external organisations/stakeholders (both national and international), this class covers the activities involved in customer relationships delivered through Waka Kotahi call centres. Class 2's sub-classes are:

- 2.1 Stakeholder relationship programme management
- 2.2 Strategic partner/stakeholder relationship management
- 2.3 Routine relationship management records
- 2.4 International Participation
- 2.5 International Visits
- 2.6 Records of Customer Interactions

- 2.7 Call recordings
- 2.8 Call centre tracking records
- 2.9 Unreasonable complainant escalation

Stakeholder relationship programme management (sub-class 2.1) covers information and records of the development and oversight of the Waka Kotahi stakeholder relationship programme. Example information and records are:

- stakeholder management strategy
- stakeholder mapping
- reports for Regional Transport Committees

Strategic partner/stakeholder relationship management (sub-class 2.2) covers information and records of relationship management activities that document the relationship between the Chief Executive/Regional Managers and stakeholders or partners. That is, the relationship at an organisational and oversight level, not the relationship as part of an operational project or activity (which is covered by the sub-class that covers that project or activity). Examples of such stakeholders include:

- Government Agencies
 - New Zealand Police
 - Department of Internal Affairs
 - Ministry of Transport
 - Stronger Christchurch Infrastructure Rebuild Team (SCIRT)
 - NZ Bus and Coach
- Iwi/Māori organisations
 - Te Maara a Hineamaru (tribal governance group of Ngāti Hine)
 - Nga Tangata Tiaki O Whanganui
 - Te Pouwhenua O Tiakiriri Kukupa Trust (on behalf of Te Parawhau Ki Tai Hapu)
- Local Authorities/Road Controlling Authorities
 - Greater Wellington Regional Council
 - Auckland Transport
- Industry bodies
 - the Automobile Association
 - Heavy Haulage Association
 - Australian Road Transport organisation
 - Road Engineering Association of Asia and Australasia
 - Austroads: International Road Federation
 - Bus and Coach Association
 - NZ Trucking Association
 - Road Transport Association
 - National Road Carriers Inc.
- Other organisations
 - Fulton Hogan
 - Vehicle Testing New Zealand
 - New Zealand Historic Places Trust
 - All ports such as SouthPort, Lyttelton Port of Christchurch, PrimePort Timaru, Ports of Auckland
 - All airports such as Auckland International Airport Ltd, Hamilton Airport
 - Auckland City Mission
 - Bike Auckland
 - Infrastructure NZ
 - Northland Freight Group
 - Northland Inc
 - Chambers of commerce
 - Transporting NZ

- Strait NZ

Example information and records are:

- memoranda of understanding
- meeting records
- strategy records
- correspondence
- internal notes about the relationship
- reports on the External Stakeholders Survey

Routine relationship management records (sub-class 2.3) covers information and records of an administrative or routine level created to support relationship management activities with strategic partners/stakeholders. Example information and records are:

- low-level correspondence
- routine internal memos
- contact details
- drafts of documents

International Participation (sub-class 2.4) covers information and records of participation by Waka Kotahi business groups on international associations and organisations. For example, there are a number of Waka Kotahi staff on technical committees, working groups and task forces. Example associations and organisations are:

- AUSTROAD
- PIARC (the World Road Association)
- IRF (International Roading Federation)
- ROADS AUSTRALIA

Example information and records are:

- correspondence
- meeting papers
- discussion papers

International Visits (sub-class 2.5) covers Information and records that document Waka Kotahi participation and support of visits from international transport organisations or overseas government agencies. Example information and records are:

- initial request
- information about the proposed visit
- Waka Kotahi response to a visit request
- planning for the visit

Records of Customer Interactions (sub-class 2.6) covers information and records of customer interactions covering interactions such as enquiries, requests for information, feedback and complaints made by Waka Kotahi customers and the responses given. They may or may not be recorded within a database such as HEAT, SAPCRM or Consultation Manager. Examples of records may include:

- requests to access motor vehicle information (under section 241 of the Land Transport Act 1988)
- applications for registered person name and address (MR31 applications under section 237 of the Land Transport Act 1998)
- compliments on service staff behaviour
- complaints about a project, e.g., excessive noise on the Waterview project
- complaints received relating to licence and registration actions
- complaints or service requests received saying that a road sign is damaged or that a tree has fallen on the road
- complaints about service delivery

Call recordings (sub-class 2.7) covers information and records of the voice recordings of calls made to Waka Kotahi call centres. Example information and records are:

- voice recordings of call centre calls

Call centre tracking records (sub-class 2.8) covers information and records tracking call centre enquiries. Example information and records are:

- data about numbers of calls to each call centre
- trend analysis

Unreasonable complainant escalation (sub-class 2.9) covers information and records of customer complaints that are escalated by Waka Kotahi staff to be managed under the Waka Kotahi Unreasonable Complainant Conduct policy. Example information and records are:

- complaint received
- response/correspondence with complainant

5.2.2 Evaluation

In order to carry out its substantive functions, Waka Kotahi needs to work closely with a number of stakeholders and partners. Records of the stakeholder relationship management programme and, those documenting at a high level the actual relationship with its stakeholders are key to its ability to perform those functions. The relationships that the agency forms and maintains with its stakeholders demonstrate how it works across New Zealand with agencies and organisations (central government, local government and industry bodies, community/iwi groups) as well as its international relationships. The records of sub-classes 2.1 and 2.2 are recommended for retention as public archives under Principle 1, Principle 2 and Principle 3 of the Public Sector Archival Selection Statement as they provide evidence of performance of key functions as well as providing evidence of Waka Kotahi's Transport Agency's relationships with its stakeholders.

The lower-level or routine records of relationships between Waka Kotahi and its stakeholders, its involvement with international visits and the records of customer interactions (sub-classes 2.3, 2.4, 2.5, 2.6, 2.7, 2.8 and 2.9) are all routine operational records. They have short – medium term business value only and are therefore recommended for destruction.

5.2.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
2.1	Stakeholder relationship programme management
2.2	Strategic partner/stakeholder relationship management

Information and records recommended for destruction:

Sub-class	Title
2.3	Routine relationship management records
2.4	International Participation
2.5	International Visits
2.6	Records of Customer Interactions

Sub-class	Title
2.7	Call recordings
2.8	Call centre tracking records
2.9	Unreasonable complainant escalation

5.3 Class 3 – Policy development and advice to government

5.3.1 Description

This class covers information and records of the function of development and providing policy advice to the New Zealand government and Ministers. It includes all topics and advice areas of Waka Kotahi. Its sub-classes are:

- 3.1 Policy review and development where Waka Kotahi is the lead - Significant records
- 3.2 Policy review and development where Waka Kotahi is the lead - Routine records
- 3.3 Policy development or review where development is led by another agency
- 3.4 Road Safety Partnership Programme - development and approval
- 3.5 Road Safety Partnership Programme - monitoring

Policy review and development where Waka Kotahi is the lead - Significant records (sub-class 3.1)

covers information and records of a significant nature that document the development of policy papers. Includes government and sector strategic direction such as the Government Policy Statements, policy on sector reforms, policy on transport issues, services etc. Example information and records are:

- substantive drafts of reports
- research and analysis supporting policy development
- analysis models (whether for one-off projects or developed to support the long-term modelling activities)
- consultation process documents
- feedback provided by external parties
- discussion papers drafted for external comment and input
- briefings to Ministers
- finalised policy papers

Policy review and development where Waka Kotahi is the lead - Routine records (sub-class 3.2)

covers information and records of a routine nature that support the development of policy papers. Example information and records are:

- minor drafts of reports, briefings to Ministers, policy papers, Cabinet papers
- routine internal correspondence and policy project planning

Policy development or review where development is led by another agency (sub-class 3.3) covers information and records that document the development of policy papers where the project is being led by another agency. Example information and records are:

- information received
- contributions and feedback provided

Road Safety Partnership Programme - development and approval (sub-class 3.4) covers information and records documenting the development and preparation of the Waka Kotahi's Road Safety Partnership

Programme recommendation to the Minister of Transport. In 2018, the NZ Police, Waka Kotahi and the Ministry of Transport established a Road Safety Partnership to develop and implement a new operating model and investment approach for road policing. The 2021–24 Road Safety Partnership Programme provides for a three-year investment into road policing activities for the period of the 2021–24 National Land Transport Plan (NLTP). It's based on the strategic outcomes required under Road to Zero. It provides a more detailed operational framework and a series of commitments made by the partners of the programme to achieve these outcomes.

NOTE: the predecessor programme was called the Road Policing Programme. Its records are also covered by this class. Example information and records are:

- relevant Waka Kotahi Board and ELT papers
- correspondence
- Road Safety Partnership Programme Board Papers
- final recommended programme to the Minister of Transport and related briefing/cover letter
- the Minister's approval
- variation approvals

Road Safety Partnership Programme – monitoring (sub-class 3.4) covers information and records documenting the Waka Kotahi's monitoring of Police delivery of the Road Safety Partnership Programme. Example information and records are:

- quarterly reports
- meeting agendas, notes and papers
- Road Policing Programme and Road Safety Action Planning Survey reports and related documents
- related correspondence
- advisory records of the Commercial Vehicle Investigation Unit

5.3.2 Evaluation

Information and records relating to the development of government policy where Waka Kotahi Transport Agency is the lead agency (sub-class 3.1) directly supports and influences the government's approach to managing New Zealand's land transport. Policy development records support government transparency and accountability as well as provide evidence of Waka Kotahi's NZ Transport Agency's role with the development and management of the land transport sector in New Zealand. They are recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement.

The information and records created to support the development, approval, and monitoring of the Road Safety Partnership Programme (sub-classes 3.4 and 3.5) provide evidence of the multi-agency approach to road safety approach and how the three core agencies involved in road safety work together. This includes the development of the programme; the initiatives being delivered by the programme and the monitoring of the results in improving road safety across New Zealand. They are recommended for retention as public archives under Principle 1 and Principle 3 of the Public Sector Archival Selection Statement.

Routine information and records of policy development or review, or records where policy development is led by another agency (sub-classes 3.2 and 3.3) are considered to be routine operational. For sub-class 3.3 in particular, the expectation is that the lead agency would retain the authoritative set of information and records. They have short-medium term business value only and are therefore recommended for destruction.

5.3.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
3.1	Policy review and development where Waka Kotahi is the lead - Significant records
3.4	Road Safety Partnership Programme - development and approval
3.5	Road Safety Partnership Programme - monitoring

Information and records recommended for destruction:

Sub-class	Title
3.2	Policy review and development where Waka Kotahi is the lead - Routine records
3.3	Policy development or review where development is led by another agency

5.4 Class 4 – Planning and change initiative management

5.4.1 Description

This class covers information and records created as part of planning and investing in change initiatives and an integrated transport system. Waka Kotahi primary planning and investment functions are:

- promoting an affordable, integrated, safe, responsive, and sustainable land transport system
- giving effect to the Government policy statement on land transport funding
- investing in transport activities throughout New Zealand, e.g., local roads, public transport, and the road policing
- planning and management of the state highway system
- delivering or managing the delivery of activities such as research, education, and coastal shipping
- advising and working with approved organisations, i.e. regional and territorial local authorities.

As part of these functions Waka Kotahi also:

- determines whether particular activities should be included in the National Land Transport Programme
- approves investment in activities as outlined under section 20 of the Land Transport Management Act 2003 (LTMA)
- approves procurement procedures
- produces guidelines for, and monitors the development of, regional public transport plans under the Public Transport Management Act 2008.

At a regional level Waka Kotahi undertakes various transport and investment activities through its regional offices. The regional planning and investment function is responsible for:

- building and maintaining relationships with local government
- contributing to and supporting regional transport stakeholders to ensure regional strategies and programmes are forward looking, evidence based, fundable, achievable, realistic and in line with the Transport Agency objectives and policy direction
- membership on regional transport committees
- assessing regional land transport strategies and regional land transport programmes and implementation plans.

To ensure that the planning process includes all relevant aspects of transport planning, Waka Kotahi has adopted an integrated approach to planning. Decisions about transport systems, the form of urban development and how land is used all impact on each other. Integrated transport planning – planning that takes account of and connects all these considerations – helps ensure that development of the transportation network and land use is coordinated. In this way, it ensures the most efficient use of public funds and avoids creating unintended impacts. Integration of planning activities means that there are a number of different planning levels and multiple parties involved in the planning activities.

Change initiatives are those programmes and initiatives that are not funded through the NLTP. These may be focussed on Waka Kotahi enterprise improvement initiatives, regulatory changes or wider government focussed initiatives. Change activities are critical to drive improvements to the way Waka Kotahi do things and help ensure 'Te kāpehu – Our Compass' outcomes are achieved. Te kāpehu sets out the direction for what Waka Kotahi wants to achieve as an organisation, how we will go about this, and why we are here. Example change initiatives are:

- Funding and Fees Review Programme
- Security Uplift Programme
- People Technology (HRIS) Project
- eProcurement Project
- Climate Change Mitigation Project

Class 4's sub-classes are:

- 4.1 Enterprise coordination and support for portfolios, programmes, and projects
- 4.2 Planning and change initiative process documentation
- 4.3 Strategic Government planning records
- 4.4 Change committees
- 4.5 Portfolio/programme governance
- 4.6 Portfolio/programme establishment
- 4.7 Programme business case
- 4.8 Allocation and monitoring of funds
- 4.9 Programme and project delivery - Change initiatives - Key documents
- 4.10 Programme and project delivery - Enterprise change - Routine documents
- 4.11 30 Year Plan
- 4.12 National Land Transport Programme key documents
- 4.13 National Land Transport Programme development documents
- 4.14 Regional Land Transport Plans
- 4.15 Regional Transport Committees
- 4.16 Spatial planning
- 4.17 Local Authority strategic planning records and district and/or regional planning records
- 4.18 Local Authority consent records
- 4.19 Local Road reviews
- 4.20 Contribution to wider Government initiatives

Enterprise coordination and support for portfolios, programmes, and projects (sub-class 4.1) Waka Kotahi has an Enterprise Portfolio Management Office (EPMO) which is responsible for developing and

implementing a Waka Kotahi centre of excellence for Portfolio, Programme and Project Management. The role of the EPMO is to provide methodology, training support and oversight ensuring consistency in the agency's project management approach which improves governance and transparent decision-making across the organisation to support Waka Kotahi functions and activities. This sub-class covers information and records documenting the coordination of portfolios, programmes, and projects across Waka Kotahi to ensure standard practice. Example information and records are:

- programme and project register
- centralised lessons learnt
- advice and training provided to programme/project leads
- monitoring and tracking of projects

Planning and change initiative process documentation (sub-class 4.2) covers information and records documenting standard process documentation and templates to support planning and change initiative portfolios, programmes, and projects. Example information and records are:

- portfolio management framework
- programme management framework
- programme and project management templates and models
- training materials for education of project managers/coordinators

Strategic Government planning records (sub-class 4.3) covers information and records that document the development of strategic and long-term planning and direction statements for land transport at central government level such as:

- National Infrastructure Plan
- Government Policy Statement on Land Transport
- Predicted Transport Programme
- Heavy Motor Vehicle Strategy
- Road to Zero Action Plan

Examples are:

- substantive drafts of reports
- consultation process documents
- discussion papers drafted for external comment and input
- briefings to Ministers
- finalised strategy/planning papers

Change committees (sub-class 4.4) covers information and records of the formal committees who approve change investment within Waka Kotahi. It includes the Change Plan Committee, who approve change initiatives, and the National Land Transport Fund Committee who approve the infrastructure programmes of work being undertaken as part of the NLTP. Example information and records are:

- agendas, minutes
- papers/reports presented
- approvals
- memos

Portfolio/programme governance (sub-class 4.5) covers information and records that document the governance of Waka Kotahi change initiatives or infrastructure programmes of work. Example programmes are:

- State Highway Asset Management Plan
- State Highway Investment Plan
- Our map programme
- Road to Zero - safety cameras
- Driver's licensing review programme
- Asset Management Data Standards
- Funding Fees Review Programme

- NZ Upgrade Programme (NZUP)
- Clean Car Standard Scheme
- One Network Framework programme
- Provincial Growth Fund programme
- Innovation Fund programme

Example information and records are:

- Governance Board/Group Terms of Reference
- agendas, minutes
- papers/reports presented
- partnership documentation/memorandum of understanding records

Portfolio/programme establishment (sub-class 4.6) covers information and records that document the establishment of Waka Kotahi enterprise change or infrastructure programmes of work. Example information and records are:

- point of entry memo/investment proposal
- finalised strategic business case
- research and analysis supporting the development of the strategic business case
- finalised transport studies
- investment logic map
- benefits plan
- minutes of inter-agency meetings
- feedback provided by external parties
- discussion papers drafted for external comment and input
- records of any partnership entered into to deliver the portfolio or programme

Programme business case (sub-class 4.7) covers information and records are those that document the development of programme level business cases. Example information and records are:

- finalised Programme business case - business case documents
- approval documentation
- research and analysis supporting the development of the business case
- feedback provided by external parties
- discussion papers drafted for external comment and input
- cost benefit analysis documentation

Allocation and monitoring of funds (sub-class 4.8) covers information and records relating to the securing of funding for programmes and projects (whether continuous funding or improvement funding), approval of the funding, and monitoring of the funds. Example information and records are:

- finalised detailed project business case/s (e.g., single stage, indicative, or detailed business case)
- applications for funding
- funding deeds
- policy discussion documents and interpretation
- Ministerial briefings
- submissions to the Board
- consultancy reports
- programme/project models and costing's
- legal opinions
- correspondence from MPs and community groups
- Transport Investment Online (TIO) database records
- annual project reviews

Programme and project delivery - Change initiatives - Key documents (sub-class 4.9) covers key information and records relating to the delivery and implementation of enterprise change programmes and projects. Example change initiative programmes/projects are:

- Funding and Fees Review Programme
- Security Uplift Programme
- People Technology (HRIS) Project
- eProcurement Project
- Climate Change Mitigation Project

Example information and records are:

- feasibility studies
- project governance group meeting records
- stakeholder engagement plans and management
- approvals
- assurance records

Programme and project delivery - Enterprise change - Routine documents (sub-class 4.10) covers routine information and records of an operational/low level created during enterprise change programmes and projects. Example information and records are:

- procurement information/successful tenders
- contracts and variations
- routine correspondence
- risk and issue registers
- project plans and reports
- project close out reports
- administrative meeting records
- drafts of key documents
- background reference information from other sources

30 Year Plan (sub-class 4.11) covers information and records of the development of the 30 Year Plan and reporting against the Plan. The 30-year plan documents the major work that is planned on the state highway and rail networks to help with development of the land transport system during the next 30 years. It details what the land transport system needs to look like in 30 years to support the wellbeing, growth, and economic prosperity of New Zealand. Example information and records are:

- development and research documentation relating to the development of Arataki and its iterations
- development and research documentation relating to the development of the 30 Year Plan Baseline Network Version
- documentation relating to the implementation and embedding of the 30 Year Plan Baseline Network Version
- process and research documentation relating to the development of the National Vehicle Kilometres Travelled (VKT) Reduction Plan
- development and research documentation relating to the development of the core 30-year plan
- approval documents relating to the entire programme

National Land Transport Programme key documents (sub-class 4.12) covers information and records of the National Land Transport Programme (NLTP) that are considered key documents about development of and reporting against the programme. The NLTP is a three-year programme of prioritised activities with a 10-year forecast of revenue and expenditure. It is prepared by Waka Kotahi to give effect to the Government Policy Statement on land transport (GPS) 2021 and is a partnership between Waka Kotahi, which invests National Land Transport Fund (NLTF) funding on behalf of the Crown, and local government, which invests local funding on behalf of ratepayers. It includes activities in the Rail Network Investment Programme (RNIP) which is approved by the Minister of Transport and funded from the NLTF through the rail network and public transport infrastructure activity classes. Everyone who drives a vehicle contributes to the National Land Transport Fund (NLTF). Revenue in the NLTF comes from two main sources – fuel taxes and road user charges, with further revenue coming from vehicle licensing. There is also a smaller sum collected from the sale of surplus land/property and rail track user charges.

The majority of this revenue is gathered into the NLTF and allocated to the National Land Transport Programme (NLTP). The NLTF is to be solely used for activities in the NLTP, with limited exceptions. These include search and rescue, and regulatory activities. Funds are also provided by local government, to invest in their local and regional land transport system on behalf of their ratepayers. There is also targeted Crown funding for some activities, such as subsidies under the SuperGold scheme.

In 2021–24, \$24.3 billion of funding is forecast to be managed under the NLTP. Example information and records are:

- final version of the NLTP
- approval documents
- formal programme reports
- records documenting assistance and advice to organisations to develop land transport activities
- proposals from organisations to include land transport activities in the NLTP

National Land Transport Programme development documents (sub-class 4.13) covers information and records documenting the development of the National Land Transport Programme (NLTP). Example information and records are:

- development and drafting records for the NLTP
- guidance on strategy development and integrated planning
- process records such as how the Waka Kotahi will categorise the nature of proposals the agency expects to include in the NLTP

Regional Land Transport Plans (sub-class 4.14) covers information and records documenting Waka Kotahi involvement with the preparation of Regional Land Transport Plans (RLTP). Example information and records are:

- advice and assistance provided to Regional Transport Committees as they develop their RLTP

Regional Transport Committees (sub-class 4.15) covers information and records documenting Waka Kotahi membership on Regional Transport Committees. Example information and records are:

- meeting records
- correspondence
- Waka Kotahi status reports against agreed Regional Land Transport Plans

Spatial planning (sub-class 4.16) Information and records documenting Waka Kotahi input into spatial, structure and master plans from local authorities, private sector and other government agencies. Example information and records are:

- correspondence
- spatial plans
- growth Plans
- future development Plans
- workshop outputs
- evidence gathered
- Waka Kotahi submission documents/feedback documents

Local Authority strategic planning records and district and/or regional planning records (sub-class 4.17) covers information and records documenting Waka Kotahi input on local authority strategic plans. Example local authority strategic plans are:

- District Plans
- Regional Public Transport Plans

Example information and records are:

- correspondence and submissions from community groups on transport issues/concerns
- correspondence between the Waka Kotahi and the local authority
- District Plan review/changes

The strategic function of state highways is primarily about keeping through traffic moving safely and efficiently with appropriately efficient access, especially in urban areas and areas of economic activity. Developments that occur alongside state highways can impact on that function. Activities that may affect the state highway include:

- subdivision, development, or changes made to the use of land near a state highway
- the creation of or change to a direct access onto a state highway
- any activity that may affect a state highway, even if not directly adjacent to it.

As part of gaining resource consents, landowners and/or developers need to consider how their proposals affect the safety and efficiency of the state highway. The Resource Management Act 1991 establishes the Transport Agency as 'an affected person' and occupier of state highways, which means developers need written approval from the Transport Agency for any activities affecting state highways. Similarly, if a local authority proposes any changes to its district plan that may impact on state highways, Waka Kotahi is provided with an opportunity to have input on the changes.

Local Authority consent records (sub-class 4.18) covers information and records documenting Waka Kotahi approval/input into various local authority regulatory processes where there is an effect on state highways such as:

- Sub-division approvals
- Limited access road approvals
- Resource consents

Example information and records are:

- correspondence
- copies of consent documentation
- Waka Kotahi submission documents

Local Road reviews (sub-class 4.19) covers information and records of the annual financial assistance review carried out in relation to local roads funding and assistance. Example information and records are:

- correspondence
- annual review documentation and reports
- Funding assistance rate reviews (FAR Reviews)

Contribution to wider Government initiatives (sub-class 4.20) covers information and records of investment plans or funds operated by other government agencies where Waka Kotahi may contribute in some way. Example initiatives are:

- Rail Network Investment Programme run by KiwiRail
- NZ Infrastructure Acceleration Fund run by Kainga Ora
- Climate Emissions Response Fund

Example information and records are:

- correspondence
- annual review documentation and reports
- meeting records

5.4.2 Evaluation

The strategic level records (sub-classes 4.3, 4.4, 4.5, 4.7, 4.8, 4.9, 4.11, 4.12, 4.16, 4.18, 4.19) created to support the planning, investment and change functions of Waka Kotahi provide primary evidence of the performance of a substantive function of Waka Kotahi as well as evidence of the agency's role in how land transport managed and funded in New Zealand.

Classes 4.4, 4.5, 4.7, 4.8, 4.9 are focussed on the funding decisions, governance and execution of initiatives funded through the NLTP, or Waka Kotahi change initiative funding. They provide evidence of

decision-making, transparency, and accountability about how the money is spent and the obligations of the government in relation to commitment to fund state highway and public transport projects, as well as operate an effective land transport agency. They also provide evidence at a high level of the initiatives undertaken with this funding. They are therefore recommended for retention as public archives Principle 1 of the Public Sector Archival Selection Statement.

Classes 4.3, 4.11 and 4.12 cover the planning and development of the core approach taken by Waka Kotahi, and the wider government in relationship to land transport. The Strategic Government planning records, National Land Transport Programme, and the 30 Year Plan, document the approach to planned investment that sits at the heart of land transport spending for New Zealand. They provide evidence of the strategic planning for roading investment and as such are recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement.

The records of Waka Kotahi’s involvement with the local authority consent process and local road reviews (sub-classes 4.16, 4.18, 4.19) provide evidence of the core function of managing the state highways, as well as evidence of how Waka Kotahi works with local authorities who are some of its main stakeholders. They also provide accountability evidence and formal approval of consents that Waka Kotahi has signed off on as part of the formal resource consent process. The records in these sub-classes are recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement. It is noted that local authorities may have copies of some of the documents created by Waka Kotahi as part of their consent records (sub-class 4.18) however given variable recordkeeping practices across local authorities there is no guarantee of this. For the purposes of having a complete and accurate record of consents relating to land use activities along New Zealand’s state highways it is therefore reasonable to recommend that the Waka Kotahi records are retained as a central collection for future use.

Information and records of regional and local transport programmes, committees and local authority planning process records (sub-classes 4.14, 4.15, 4.17) are of an operational nature in Waka Kotahi as the lead agency is the local authority. It is expected that the local authorities will have the original records from these sub-classes. They are therefore recommended for destruction.

The remaining sub-classes in this class contain routine administrative or routine operational information and records. This is sub-classes 4.1, 4.2, 4.6, 4.10, 4.13, 4.20. They have short – medium term business value only and are therefore recommended for destruction.

5.4.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
4.3	Strategic Government planning records
4.4	Change committees
4.5	Portfolio/programme governance
4.7	Programme business case
4.8	Allocation and monitoring of funds
4.9	Programme and project delivery - Change initiatives - Key documents
4.11	30 Year Plan
4.12	National Land Transport Programme key documents
4.16	Spatial planning
4.18	Local Authority consent records

Sub-class	Title
4.19	Local Road reviews

Information and records recommended for destruction:

Sub-class	Title
4.1	Enterprise coordination and support for portfolios, programmes, and projects
4.2	Planning and change initiative process documentation
4.6	Portfolio/programme establishment
4.10	Programme and project delivery - Enterprise change - Routine documents
4.13	National Land Transport Programme development documents
4.14	Regional Land Transport Plans
4.15	Regional Transport Committees
4.17	Local Authority strategic planning records and district and/or regional planning records
4.20	Contribution to wider Government initiatives

5.5 Class 5 – Research programme management

5.5.1 Description

This class comprises information and records documenting the management of the Waka Kotahi research programme. Through its research programme, the Waka Kotahi invests in relevant research which plays a critical role in contributing to the government's goals for transport. The results of the Waka Kotahi's research must be readily applicable to interventions that can be cost effectively applied in New Zealand in the short-to-medium term for longer-term impacts. Class 5's sub-classes are:

- 5.1 Research programme management
- 5.2 Research reports and research project output
- 5.3 Research project administration

Research programme management (sub-class 5.1) covers information and records documenting Waka Kotahi research strategy and policy formulation. Example information and records are:

- agendas and minutes of meetings
- discussion of evaluation processes
- strategy and policy development
- programme planning
- programme reporting

Research reports and research project output (sub-class 5.2) covers information and records of the final output from Waka Kotahi funded research projects. Example research reports are:

- National Ticketing Research Report

- Accessibility: its role and impact on labour and housing markets in New Zealand's main metropolitan centres
- Determining the ecological and air quality impacts of particulate matter from vehicle brake and tyre wear and road surface dust: review and recommendations
- How well do New Zealanders understand advanced driver assistance systems?
- Improving our understanding of New Zealand's vehicle fleet greenhouse gas and harmful emissions

Example information and records are:

- final master of the research report produced
- research summary
- presentation slides
- analysed data used to inform research

Research project administration (sub-class 5.3) covers information and records documenting the administrative aspect of supporting a research project. Examples are:

- contract records between Waka Kotahi and researcher
- research brief
- research agreement
- correspondence between Waka Kotahi and researcher
- copies of invoices
- working papers
- drafts of research reports/project outputs
- report distribution details

5.5.2 Evaluation

The information and records of the Waka Kotahi research programme (classes 5.1 and 5.2) provide research potential into a number of topics such as road use, road events, driver behaviours, road safety, rail events – or any other topic deemed to be included within the research programme. These sub-classes provide evidence of how Waka Kotahi contributes to the body of research knowledge through investment and management of a research programme, plus the actual research output funded by the programme. They are therefore recommended for retention as public archives under Principle 1 and Principle 3 of the Public Sector Archives Selection Statement.

Information and records relating to the administration of the research programme and the projects completed under that programme (sub-class 5.3) have short term administrative value only. They are therefore recommended for destruction.

5.5.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
5.1	Research programme management
5.2	Research reports and research project output

Information and records recommended for destruction:

Sub-class	Title
5.3	Research project administration

5.6 Class 6 – Road safety

5.6.1 Description

This class covers information and records that are created primarily at a strategic level relating to road safety. As transport system designers who influence road safety Waka Kotahi identifies how, during design processes, it can make the road system safer. A 'safe system' requires a mix of solutions that combine to keep people safe. It covers the whole road and transport system including safe vehicles, safe behaviours, safe roads, and safe speeds.

This approach is monitored through safety audits on new roading developments or maintenance projects, setting of road rules and speeds, considering safety of drivers during roading design etc. In conjunction with working on the design aspects of the New Zealand Road system, the safe system approach also targets road users to ensure that they drive while alert and unimpaired, comply with road rules, choose safer vehicles, and take steps to improve safety and demand safety improvements.

Note - operational safety audits carried out as part of state highway management and maintenance are in class 9.

Class 6's sub-classes are:

- 6.1 Road Safety strategic planning and reporting
- 6.2 Contribution to wider Government initiatives
- 6.3 Safety audit methodology
- 6.4 Speed setting records
- 6.5 Vehicle safety rating
- 6.6 Improving safety outcomes for Māori
- 6.7 Safety community of interest records
- 6.8 Community Road Safety Fund Advisory Board
- 6.9 Community Road Safety Fund coordination
- 6.10 Register of Land Transport Records

The Road to Zero strategy sets out a vision for a New Zealand where no one is killed or seriously injured in road crashes. It includes guiding principles for how the road network is designed and how road safety decisions are made. It also sets targets for 2030. The strategy defines the 5 focus areas for the next decade and includes a framework for how those involved will hold themselves to account. The Road to Zero partners are Te Manatū Waka Ministry of Transport, Waka Kotahi, and New Zealand Police.

Road Safety strategic planning and reporting (sub-class 6.1) covers information and records documenting the development of the Waka Kotahi Road Safety Strategic Plan which guides how Waka Kotahi will contribute to the Road to Zero vision. Example information and records are:

- strategic plan development documentation
- internal safety strategy meeting records
- reports on implementation of plan

- safety reporting

Contribution to wider Government initiatives (sub-class 6.2) covers information and records that document the involvement that Waka Kotahi has with cross-agency initiatives such as the Road to Zero initiative. Example information and records are:

- Road to Zero action plan
- cross agency meeting records
- Road to Zero annual monitoring report
- Road to Zero dashboards

Safety audit methodology (sub-class 6.3) covers information and records that document the Safety Audit Methodology covering:

- safety audits
- audit methodology
- safety management systems project
- best practice guidelines

Example information and records are:

- discussion documents
- progress reports
- pilot projects

Speed setting records (sub-class 6.4) covers information and records documenting the setting of speed limits and review of speed limits. Example information and records are:

- discussion documents
- research and analysis
- completed survey forms
- speed limit setting process documents
- all speed safety research

Vehicle safety rating (sub-class 6.5) covers information and records of the development of the vehicle safety rating methodology and application of that methodology in New Zealand. Example information and records are:

- methodology documentation
- ratings for the New Zealand fleet
- modelling data
- supporting documentation explaining how the rating has been applied

Improving safety outcomes for Māori (sub-class 6.6) covers Information and records that document the activities being undertaken by Waka Kotahi to improve safety outcomes for Māori. Example information and records are:

- planning documentation
- meeting records
- project plans
- research and resources

Safety community of interest records (sub-class 6.7) covers information and records of the Waka Kotahi group that links up safety activity within NZTA. It has both internal and external members. Example information and records are:

- newsletters
- internal memos

Community Road Safety Fund Advisory Board (sub-class 6.8) covers information and records that document the activities and decisions of the Community Road Safety Advisory Board. The Advisory Board

comprises senior representatives from AA, NZ Police, ACC, Safe & Sustainable Transport Association (SASTA) and Waka Kotahi. Example information and records are:

- agendas
- meeting minutes
- papers and project proposals presented to the Group

Community Road Safety Fund coordination (sub-class 6.9) covers information and records that document the coordination of the Community Road Safety Fund. The Community Road Safety Fund works with other organisations to support community-based road safety initiatives. Investment decisions are made by an advisory group, made up of representatives from Waka Kotahi, ACC, NZ Police, the Safe and Sustainable Transport Association, and the AA. Funding for the Community Road Safety Fund comes from the sale of personalised plates. Example information and records are:

- project proposals
- approval for funding
- funding agreement
- project reporting

A **Register of Land Transport Records (sub-class 6.10)** must be created and maintained by Waka Kotahi under section 200E of the Land Transport Regulations 2022. The register documents land transport decisions as prescribed by the regulations. This includes any decision made or recorded and the surrounding records about decisions made. For example, decisions of speed limits. Example information and records are:

- meeting records
- research and resources
- internal papers and memos

5.6.2 Evaluation

The information and records of road safety strategic planning, contribution to wider government initiatives to do with transport safety and the methodology for conducting safety audits (sub-classes 6.1, 6.2, 6.3, and 6.4) all provide evidence of one of Waka Kotahi's substantive functions, that is providing access to and use of the land transport system. In addition, sub-class 6.2 provides evidence of how Waka Kotahi is involved in the wider transport sector in New Zealand as well as providing evidence of how it works with other key agencies involved in the transport sector. Sub-class 6.6 demonstrates how Waka Kotahi, as a representative of the crown, is focussing on improving the safety outcomes for its partners under Te Tiriti o Waitangi. These records are therefore recommended for retention as public archives under Principle 1 and Principle 2 of the Public Sector Archival Selection Statement.

Sub-class 6.8 covers the decisions and actions of the Community Road Safety Fund Advisory Board. The funding decisions of that Board demonstrate how road safety is funded and supported at a community level. These records are therefore recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement.

The records relating to operational activities such as the setting of speed limits, vehicle safety rating processes and the Waka Kotahi internal safety community of interest records (sub-classes 6.4, 6.5 and 6.7, 6.9 and 6.10) are of a routine operational nature only. They have short term administrative and operational business value only and are therefore recommended for destruction.

Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
6.1	Road Safety strategic planning and reporting
6.2	Contribution to wider Government initiatives
6.3	Safety audit methodology
6.6	Improving safety outcomes for Māori
6.8	Community Road Safety Fund Advisory Board

Information and records recommended for destruction:

Sub-class	Title
6.4	Speed setting records
6.5	Vehicle safety rating
6.7	Safety community of interest records
6.9	Community Road Safety Fund coordination
6.10	Register of Land Transport Records

5.7 Class 7 – Licensing and registration

5.7.1 Description

This class covers information and records created as part of the function to authorise people, operators, and their vehicles using the transport network. It is one of the major operational functions of Waka Kotahi. Note - Information and records relating to customer interactions are covered in Class 2.

Sub-classes in Class 7 are:

- 7.1 Agent and supplier management
- 7.2 Audit and investigation
- 7.3 Driver licensing framework
- 7.4 Personal information collected in DRIVE
- 7.5 Driver licence applications
- 7.6 Driver licence test records
- 7.7 Alcohol interlock subsidy records
- 7.8 Drivers Licence Register
- 7.9 Demerit Suspension Letters
- 7.10 Transport service licence records
- 7.11 Vehicle inspector records

- 7.12 Issuing of permits
- 7.13 Issuing of exemptions
- 7.14 Motor Vehicle Register
- 7.15 Motor Vehicle Register updates
- 7.16 Administering road and toll user charges
- 7.17 Toll road images
- 7.18 Rail licensing
- 7.19 Rail licence safety records
- 7.20 Motor vehicle impounding
- 7.21 Register of carbon dioxide accounts

Agent and supplier management (sub-class 7.1) covers information and records are those that relate to the contracts awarded to agents and suppliers who carry out activities on behalf of the Waka Kotahi, such as:

- Driver licencing agents
- Motor Vehicle Registration and Licencing Agents
- Warrant of fitness Agents
- Certificate of Fitness Agents

Example information and records are:

- contracts
- correspondence with suppliers including advice
- agent certification documentation

Audit and investigation (sub-class 7.2) covers information and records of cases that relate to the audit and investigation of drivers and vehicles, such as:

- Driver investigations
- Transport operators' investigations
- Agent operations audits

Example information and records are:

- investigation documentation
- final reports
- correspondence with agent

Driver licencing framework (sub-class 7.3) covers information and records that document the drivers licence process and framework. Example information and records are:

- licencing procedures
- test routes
- training and exercises
- content from DRIVE such as virtual reality routes, online road code learning modules

Personal information collected in DRIVE (sub-class 7.4) covers Information and records of individuals using the DRIVE suite of online products such as:

- DRIVE VR - an app which simulates a drive to help people learn about hazard identification
- Drive Go – an app specifically to help learner drivers get their restricted

Example information and records are:

- personal account registration details

Driver licence applications (sub-class 7.5) covers information and records created as part of the process to licence drivers. Includes those received/processed in hard copy, as well as those that are digital. Example information and records are:

- applications
- endorsements for passenger (P), vehicle recovery (V), driving instructor (I), testing officer (O)
- exemptions
- renewals
- replacements
- medical reviews
- driving hours & logbooks

Driver licence test records (sub-class 7.6) information and records created as part of the process to complete driver license tests. Example information and records are:

- form completed by the testing officer during the practical test
- completed computerised theory tests (CTT)

Alcohol interlock subsidy records (sub-class 7.7) covers information and records documenting vehicle use for those sentenced to be on Alcohol Interlock special licence. Examples are:

- reports provided to Waka Kotahi by the individual at the end of their sentence

Drivers Licence Register (sub-class 7.8) covers the formal record of driver's licences. Waka Kotahi is responsible for administering and maintaining the national driver licence register. The register contains database entries and scanned copies of application records pertaining to all drivers' licences as required under section 199 of the Land Transport Act 1988 as outlined below.

“199 Agency to maintain register of driver licences

(1) The Agency must continue and maintain the national register of all driver licences that was established under [section 45](#) of the Transport (Vehicle and Driver Registration and Licensing) Act 1986.

(2) The national register must show for each driver licence the following information:

- (a) the holder's full name, address, gender, date of birth, place of birth (if known to the Agency), and signature:
- (b) the number of the licence:
- (c) the original date of issue of the licence and the date of issue of the current licence:
- (d) the date of expiry of the licence:
- (e) the class or classes of vehicles to which the licence applies:
- (f) endorsements applying to the licence:
- (g) any conditions applying to the licence:
- (h) information about any order of disqualification made against the holder of the licence under this Act or any former enactment:
- (i) information about any court order under this Act or any former enactment authorising the issue of a limited licence to the holder (if the holder has been disqualified from holding or obtaining a driver licence):
- (ia) information about any court order under this Act authorising the issue of an alcohol interlock licence or zero alcohol licence to the holder:
- (j) information about any order removing a disqualification imposed on the holder under this Act or any former enactment:
- (k) information about any suspension of any licence held by the holder or any disqualification from holding or obtaining a licence imposed on the holder under this Act or any former enactment:

- (l) information about any revocation or suspension of a driver licence entitling the holder to drive a transport service vehicle, or a prohibition placed on the holder from driving any such vehicle, under [Part 4A](#);
- (m) information about any order of disqualification made against the holder under [section 83](#) of the Criminal Justice Act 1985 or [section 124](#) of the Sentencing Act 2002;
- (n) information about any revocation or suspension under this Act or any former enactment of any driver licence held by the holder;
- (o) photographic images of the holder taken for the purposes of this Act;
- (p) information about demerit points recorded under this Act or any other enactment against the holder for any offence;
- (q) organ donor information about the holder.”

Demerit Suspension (sub-class 7.9) covers letters that document the demerit suspension letters sent to drivers to notify them of suspension of their licence due to their total demerit points.

Transport Service Licence (sub-class 7.10) records document applications and issuing of Transport Service Licences. Drivers and operators of freight, vehicle recovery and passenger transport services industries are required to comply with a range of rules and regulations. In most cases these requirements include holding an appropriate transport service licence. Transport Service Licences are required to operate:

- *A goods service* - A goods service delivers or carries goods, whether or not for hire or reward, using a motor vehicle that has a gross laden weight of 6000 kg or more, including one that is 'on hire' to carry goods.
- *A passenger service* - A passenger service carries passengers, usually for hire or reward. There are two types of passenger service: small and large. A **small passenger service** uses vehicles that carry 12 or fewer people (including the driver), for hire or reward. Small passenger services include taxi services, shuttle services and private hire services. A **large passenger service** uses vehicles that are designed or adapted to carry more than 12 people (including the driver), whether or not they operate for hire or reward.
- *A vehicle recovery service* - A vehicle recovery service tows or carries vehicles. It requires a transport service licence if it is not exempt under the Land Transport Act (e.g., a person doesn't need a transport service licence to tow a friend's car with their own personal car in the case of a breakdown).
- *A rental service* - A rental service hires out vehicles to carry goods or passengers.

Example information and records are:

- application forms
- police vetting records
- criminal histories
- person of interest records

Vehicle inspector records (sub-class 7.11) covers information and records that document the licencing of vehicle inspectors who undertake warrant of fitness inspections on vehicles. Example information and records are:

- application for a vehicle inspectors' certificate
- completed theory tests
- correspondence with inspectors

Issuing of permits (sub-class 7.12) covers information and records covering the issuing of permits in relation to:

- high productivity motor vehicles (HPMV)

- over dimension permits
- load pilot licences
- 22 metre plus exemption permits
- permit/licence to construct/operate
- import approvals
- agricultural equipment stamps
- vehicle design approval
- approval to certify compliance
- applications for approval of vehicles for use as taxi's/small passenger service vehicles

Examples of information and records are:

- applications for permits
- approval/decline details

Issuing of exemptions (sub-class 7.13) covers information and records covering the issuing of exemptions in relation to:

- visible load exemption records
- time travel exemptions
- trade plate exemptions

Examples of information and records are:

- applications for exemptions
- approval/decline details

Motor Vehicle Register (sub-class 7.14) covers motor vehicle registration and licencing records which document the registration, licencing, and certification of motor vehicles in the Motor Vehicle Register (MVR). Registration is generally a one-off process that officially recognises an identified person as being legally responsible for a certain vehicle. When a vehicle is registered, its details are added to the Motor Vehicle Register and its registration plates are issues. This sub-class includes:

- Motor Vehicle Register
- Registration plates
- Personalised plates
- Diplomatic and Crown Plates

Vehicle licencing is the regular process through which people pay a fee to use a vehicle on public roads. The fee helps to pay for roading projects and road safety programmes and is required annually. All vehicles must meet a range of safety and other requirements before you can legally drive them on New Zealand roads. Some requirements must be met before a vehicle can be registered on entering the country. Other requirements, like warrants and certificates of fitness inspection, apply once a vehicle is in use to regularly check its ongoing road worthiness. Information and records relating to the certification of motor vehicles includes records of:

- border inspection
- certificate of fitness
- vehicle recalls
- warrant of fitness

Motor Vehicle Register updates (sub-class 7.15) covers information and records created to update the Motor Vehicle Register, whether via forms collected by Waka Kotahi agents, or direct through online transactions from the Waka Kotahi website. Example information and records are:

- hard copy vehicle registration form
- online relicensing of a car
- online change of address details
- online buying of a vehicle form

Administering road and toll user charges (sub-class 7.16) covers information and records documenting the administration of road user charges i.e., collecting the payments or making refunds for road use charges, or toll road charges. The cost of using New Zealand's roads is recovered from road users via levies in the price of some fuels or through road user charges (RUC). The revenue collected from road user charges is dedicated to the National Land Transport Fund. Road user charges are collected by Waka Kotahi and enforced by the New Zealand Police. All diesel-powered vehicles and other vehicles powered by a fuel not taxed at source, regardless of weight, must pay RUC. Vehicles with a manufacturer's gross laden weight of more than 3.5 tonnes (3500kg) must also pay RUC. Applications for an exemption to pay road user charges may be applied for. A vehicle is exempt from paying road user charges if:

- it is a light electric RUC vehicle (gross laden weight 3.5 tonnes or less) whose motive power is derived wholly or partly from an external source of electricity, or
- it belongs to a class of vehicles whose purpose or design means it is unsuitable for regular road use.

Example information and records are:

- applications for road user charges
- applications for road user charges exemptions
- records of collection of payments
- refund records

Toll road images (sub-class 7.17) covers information and records of the images captured on a toll road of the vehicle registration plate. Examples are:

- images

Rail licencing (sub-class 7.18) covers information and records of the licencing of rail operators. Covers the operator files which contain:

- application and licence to operate
- site and safety information
- correspondence with the operator
- fit and proper assessments
- exemptions
- rail licence assessments

Rail licence safety records (sub-class 7.19) covers information and records of the plans developed to document how the licence holder will manage safety in a crisis. The rail safety licence records are those records that document the safety systems and overarching safety case which covers the rail activities of all rail participants with whom a licence holder may have contractual relationships (for which they are responsible) as required by the Railways Act 2005. This sub-class covers the plans developed to document how the licence holder will manage safety in a crisis or the adoption of an emergency management plan. Includes records of the safety cases and safety case variations relating to rail rolling stock. Example information and records are:

- records of safety cases
- safety case variations relating to rail rolling stock

Motor vehicle impounding (sub-class 7.20) covers the information and records of notices issued by enforcement officers who seize and impound (or authorise the impoundment of) a motor vehicle. Example information and records are:

- copies of notices issued

Register of carbon dioxide accounts (sub-class 7.21) covers information and records documenting all carbon dioxide accounts. Example information and records are

- records of all carbon dioxide account holders
- carbon dioxide account number that corresponds to each account holder

- the carbon dioxide emissions of the vehicle

5.7.2 Evaluation

Class 7 contains nineteen sub-classes of records pertaining to activities associated with licencing and registration. They document and reflect the activities associated with the granting of licences, permits and road user charges relating to New Zealand land transport systems.

This class covers a large quantity of information and records – for example most of the c. 9700 boxes stored off-site in Palmerston North are likely to be disposed of under sub-classes of this class as the primary location that the activities relating to records in this class are carried out is in the Palmerston North office. The records are of a routine operational nature. They do have some medium-term value from a business perspective but no long-term archival value. Sub-class 7.8 has been identified for destruction as it has no archival value. However, it has long-term business value for Waka Kotahi operations, so it is planned for Waka Kotahi to retain this dataset indefinitely. Thirteen of the sub-classes are therefore recommended for destruction.

The only sub-class that has been recommended for retention as public archives is the Motor Vehicle Register (class 7.14). The register is an operational level record; however, it was recommended for retention at the request of Archives New Zealand and Statistics New Zealand, when DA601 was approved in 2014, who consider the register to be a national dataset of some significance. This updated disposal schedule has maintained that decision.

5.7.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
7.14	Motor Vehicle Register

Information and records recommended for destruction:

Sub-class	Title
7.1	Agent and supplier management
7.2	Audit and investigation
7.3	Driver licensing framework
7.4	Personal information collected in DRIVE
7.5	Driver licence applications
7.6	Driver licence test records
7.7	Alcohol interlock subsidy records
7.8	Drivers Licence Register
7.9	Demerit Suspension Letters
7.10	Transport service licence records
7.11	Vehicle inspector records

Sub-class	Title
7.12	Issuing of permits
7.13	Issuing of exemptions
7.15	Motor Vehicle Register updates
7.16	Administering road and toll user charges
7.17	Toll road images
7.18	Rail licensing
7.19	Rail licence safety records
7.20	Motor vehicle impounding
7.21	Register of carbon dioxide accounts

5.8 Class 8 – Transport network operations

5.8.1 Description

This class contains information and records that cover the activities associated with monitoring the network to manage planned and unplanned events and to optimise network performance. Its sub-classes are:

- 8.1 Rail occurrence investigations
- 8.2 Rail occurrences contribution to TAIC reports
- 8.3 Disqualified Traffic Crash Reports
- 8.4 Traffic Crash Reports not ingested directly into the Crash Analysis System
- 8.5 Crash Analysis System data
- 8.6 Copies of crash related reports from other agencies
- 8.7 Road events summary records (not crashes)
- 8.8 Road events detailed records (not crashes)
- 8.9 Road use monitoring and reporting records
- 8.10 Road use monitoring detailed records
- 8.11 Road use notifications
- 8.12 Traffic monitoring video feed
- 8.13 Traffic signal coordination records
- 8.14 Sign messages
- 8.15 Tunnel monitoring video feed
- 8.16 Security camera video feed

Rail occurrence investigations (sub-class 8.1) covers information and records relating to incidents and events on the rail network reported by operators to Waka Kotahi. Under the Railways Act 2005, all rail

licensees are required to report any accident or incident to the Waka Kotahi as soon as practicable. Depending on the nature of the occurrence Waka Kotahi may undertake its own investigation or may notify the Transport Accident Investigation Commission (TAIC) of any incidents that it considers the commission should investigate. Examples information and records are:

- completed accident and incident notification forms
- correspondence between operators and Waka Kotahi
- correspondence with TAIC
- Waka Kotahi investigation records

Rail occurrences contribution to TAIC reports (sub-class 8.2) covers information and records documenting draft reports prepared by TAIC during an investigation of a rail event and provided to Waka Kotahi for comment. Examples are:

- draft reports prepared by TAIC
- comments from Waka Kotahi to TAIC about the draft reports

Disqualified Traffic Crash Reports (sub-class 8.3) covers information and records of Traffic Crash Reports received by NZTA that are disqualified from being entered into CAS. For example, when there is a non-injury crash, or a crash not on a road (such as two cars backing into each other in the supermarket car park. Example information and records are:

- disqualified TCRs

The Crash Analysis System (CAS) is an integrated computer system that provides tools to collect, map, query, and report on road crash and related data. It contains data from all traffic crashes reported by New Zealand Police. It provides a platform for the development and implementation of new road safety initiatives, making a large contribution towards crash prevention.

The information provided by CAS is used to determine and analyse trends, which helps direct recommendations around road safety funding allocations, and to target road safety programmes and monitor their performance. Waka Kotahi develops a range of crash analysis reports. These reports provide information at a variety of levels (national, regional and territorial authority) and across a number of key road safety themes. To support the gathering of crash data and analysis there are three distinct sub-classes of records.

Traffic Crash Reports not ingested directly into the Crash Analysis System (sub-class 8.4) covers information and records of the Traffic Crash Reports (TCR) received by NZTA from NZ Police that must be loaded into the Crash Analysis System (CAS). Once the TCRs are entered into CAS the hard copies/email attachments are considered copies as CAS becomes the authoritative data source. Example information and records are:

- TCRs that are received as hard copy reports, digitised then loaded into CAS
- TCRs that are received as email attachments so must be manually loaded into CAS

Crash Analysis System data (sub-class 8.5) covers information and records held within the Crash Analysis System of road crash events. Example information and records are:

- Traffic Crash Reports
- analysis of database records on each crash
- analysis of crash data
- reports about crashes in specific locations
- statistical reports

Copies of crash related reports from other agencies (sub-class 8.6) covers information and records that document reports received from NZ Police Serious Crash Unit and/or Coronial Services Ministry of Justice about serious or fatal crashes. Example information and records are:

- copies of NZ Police Serious Crash Unit reports
- copies of Coroners reports

Road events summary records - not crashes (sub-class 8.7) covers information and records at a summary level of road events gathered to support planning activities. Example information and records are:

- analysed summary data relating to natural events resulting in impact on roads such as slips, snow/ice closures
- analysed summary data relating to planned road closure events such as parades, maintenance
- models produced to support data analysis
- reports produced
- validated data in the Road Assessment and Maintenance Management (RAMM) database
- validated data from the Traffic Road Event Information System (TREIS)

Road events detailed records - not crashes (sub-class 8.8) covers information and records at a detailed level of road events gathered to support planning activities. Example information and records are:

- raw data relating to natural events resulting in impact on roads such as slips, snow/ice closures
- raw data relating to planned road closure events such as parades, maintenance

Road use monitoring and reporting records (sub-class 8.9) covers information and records of a summary and analysed nature documenting road use that are prepared to support planning activities. Reports may be ad hoc reports, or regular reports. Example information and records are:

- analysed travel speed data
- models produced to support data analysis
- reports about the number of accidents on a certain stretch of highway
- analysis of speeds being driven in a certain location
- performance reporting for the National Operations Centres
- traffic volume reporting

Road use monitoring detailed records (sub-class 8.10) covers information and records at a detailed level documenting road use and congestion. Example information and records are:

- travel speed data
- traffic count data

Road use notifications (sub-class 8.11) covers information and records generated to notify road users of network conditions, roadworks, journey delays to support road user journey planning. Example information and records are:

- social media posts about road conditions

Traffic monitoring video feed (sub-class 8.12) covers information and records of video footage of the joint traffic operations centres operated by Waka Kotahi in Auckland and Wellington (Johnsonville). Example information and records are:

- CCTV footage
- requests for footage from New Zealand Police

Traffic signal coordination records (sub-class 8.13) covers information and records gathered to support the coordination role the traffic operations centres perform with traffic signals. Example information and records are:

- data from road sensors
- CCTV footage
- Police incident information
- feedback from contractors
- feedback from public lodged via 0800 number

Sign messages (sub-class 8.14) covers information and records documenting digital sign messages made on the network. Example information and records are:

- messages about road conditions posted to electronic boards on state highways

- estimated journey times on road signs
- variable speed limit notifications

Tunnel monitoring video feed (sub-class 8.15) covers information and records of video footage from tunnels along state highways, such as Lyttelton Tunnel and Homer Tunnel. Example information and records are:

- CCTV footage
- requests for footage from New Zealand Police

covers information and records of video footage from security cameras placed by Waka Kotahi in places such as tunnel portals covering doors, in service rooms in underpasses and shared use paths. Example information and records are:

- CCTV footage
- requests for footage from New Zealand Police

5.8.2 Evaluation

Information and records to do with rail occurrence investigations, crash data, road event summaries and road use monitoring (sub-classes 8.1, 8.5, 8.7, and 8.9) provide evidence of one of Waka Kotahi's substantive functions, that optimising the use of the network through monitoring its use and events on that network. The records in these sub-classes also provide valuable summary information that has high research value in relation to land transport use and land transport systems and events. It is expected that such records have research use for agencies responsible for any aspect of land transport use, but in addition, that they are also of potential research interest to local communities and special interest groups. The information and records in these sub-classes are therefore recommended for retention as public archives under Principle 1 and Principle 3 of the Public Sector Archival Selection Statement.

The detailed records relating to rail occurrences, road events, road crashes and road use, traffic monitoring video and traffic signal coordination and message records (sub-class 8.2, 8.3, 8.4, 8.6, 8.8, 8.10, 8.11, 8.12, 8.13, 8.14, 8.15 and 8.16). are of a routine operational nature only. They have short-medium business value only and are therefore recommended for destruction.

5.8.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
8.1	Rail occurrence investigations
8.5	Crash Analysis System data
8.7	Road events summary records (not crashes)
8.9	Road use monitoring and reporting records

Information and records recommended for destruction:

Sub-class	Title
8.2	Rail occurrences contribution to TAIC reports
8.3	Disqualified Traffic Crash Reports
8.4	Traffic Crash Reports not ingested directly into the Crash Analysis System

Sub-class	Title
8.6	Copies of crash related reports from other agencies
8.8	Road events detailed records (not crashes)
8.10	Road use monitoring detailed records
8.11	Road use notifications
8.12	Traffic monitoring video feed
8.13	Traffic signal coordination records
8.14	Sign messages
8.15	Tunnel monitoring video feed
8.16	Security camera video feed

5.9 Class 9 – State Highway management and maintenance

5.9.1 Description

This class covers information and records that document the management and maintenance operations of the state highway infrastructure. Its sub-classes are:

- 9.1 Asset management
- 9.2 State highway network maintenance and renewals consultant/contractor management
- 9.3 State highway network maintenance and renewal operations
- 9.4 Project summary information
- 9.5 Design, build, maintenance, and renewal project management records - key documents
- 9.6 Design, build, maintenance, and renewal project management records - routine documents
- 9.7 Property acquisition and disposal
- 9.8 Property management
- 9.9 Landowner relations
- 9.10 Partnership and/or alliance establishment and management
- 9.11 Local road management
- 9.12 By-law management
- 9.13 Declaration of state highways and motorways
- 9.14 Corridor management planning
- 9.15 Corridor access requests
- 9.16 State highway performance reports
- 9.17 State highway performance raw data

Asset management (sub-class 9.1) covers information and records relating to the management and maintenance of assets such as bridges, tunnels, lighting. Example information and records are:

- “as-builts” for each bridge or tunnel or other 'asset'
- the "bridge database" containing measurement and some structural diagrams
- road asset management and maintenance records (i.e., the information in the RAMM database)

State highway network maintenance and renewals consultant/contractor management (sub-class 9.2) covers information and records documenting the relationship between Waka Kotahi and the consultants/contractors that provide maintenance and renewal services across the State Highway Network. Example information and records are:

- overarching supplier contracts
- supplier relationship management
- relationship management meeting minutes
- contract management reporting

State highway network maintenance and renewal operations (sub-class 9.3) covers information and records documenting the management of maintenance and renewal activities for each state highway i.e., what work has been completed for any given stretch of road such as erection of barriers, improvement of drainage. Records are arranged by maintenance and/or renewal contract. Example information and records are:

- annual plans and programmes of work – including work plans, maintenance activity plans, work maps, monthly programmes of work
- reports (monthly, six monthly)
- documentation about the maintenance /renewal work carried out
- maintenance completion records
- surveys
- permits and onsite documentation and forms (such as inspection forms)

Project summary information (sub-class 9.4) covers information and records summarising project details gathered to support trend analysis and monitoring. Example information and records are:

- Waka Kotahi project register
- Waka Kotahi contract register
- lists of successful tenderers
- lessons learnt reports

Design, build, maintenance, and renewal project management records - key documents (sub-class 9.5) covers key information and records relating to design, build, maintenance, and renewal projects - whether state highway or roads of national significance projects. Includes both new build and maintenance projects. Example information and records are:

- business case/feasibility studies
- design records and reports
- detailed final design documentation
- as-builts
- asset-owners' manual
- engineering reports
- property records specific to project
- consent records granted under the Resource Management Act
- contracts and variations
- successful tenders
- stakeholder engagement plans and management
- stakeholder consultation documents
- completed safety audits
- scheme assessment reports
- project close out reports
- formal notices such as Notice to Contractor (NtC), Notice to Principle (NtP) and surrounding documentation, Notice to Tenderer (NtT), Notice to Engineer

- key investigation/construction phase documentation
- operation performance measures
- dispatch tables (usually held in RAMM)
- OFI – opportunity for improvement documentation
- NCR – non-conformance reports
- PIP – performance improvement plans
- quality plans and quality inspection and test data

Design, build, maintenance, and renewal project records – routine documents (sub-class 9.6)

covers routine information and records of an operational/low level created during design, build, maintenance, and renewal projects - whether state highway or roads of national significance projects. Example information and records are:

- project governance group meeting records
- project plans and reports
- unsuccessful tenders
- risk and issue registers
- response to issues raised in safety audits
- draft drawings
- inspection and sign off sheets from sub-contractors
- administrative meeting records
- drafts of other documents
- background reference information from other sources
- records of sub-contractors that are summarised or reported on by major contractor
- traffic control plans
- incident responses
- maintenance and renewal schedules and plans such as temporary traffic management plans, quality management plans, customer and stakeholder management plans, environmental and social management plans, road safety plans, data management plans
- environmental action plan
- space management documentation – including inspections, vegetation clearance
- customer databases and media photos

Property acquisition and disposal (sub-class 9.7) covers information and records of property acquisition and disposal created to support the purchase of specific pieces of land for specific projects, and the subsequent disposal of land not required. This sub-class includes the 'property file'.

The Public Works Act 1981 provides the power to acquire land for public works and to pay compensation. Land Information New Zealand (LINZ), on behalf of the Crown, is responsible for administering this Act. The Crown Property Unit of LINZ has the final record of the acquisition and disposal process. The property file created and managed by Waka Kotahi is used for the management of property acquisition and disposal processes only and understands that LINZ holds the formal government record.

NOTE - the acquisition property file and the disposal property file may well be two separate files as the parcels of land may have changed at point of disposal (i.e., the land parcel that is disposed of might not be the same parcel of land that was acquired).

Example information and records are:

- correspondence between landowner and Waka Kotahi/property acquisition company
- correspondence between Waka Kotahi/property acquisition company and LINZ
- file notes
- agreements for sale and purchase
- titles issued

Property management (sub-class 9.8) covers information and records documenting actions taken by Waka Kotahi in managing properties being 'held' until used for a project or disposed of. Includes all property management files. Example information and records are:

- tenancy agreements/leases

- property maintenance records
- correspondence between tenant and Waka Kotahi
- correspondence between tenant and property management company
- correspondence between Waka Kotahi and property management company

Landowner relations (sub-class 9.9) covers information and records documenting how Waka Kotahi interacts with landowners affected by state highway management and operations and the relationship between the two parties. Example information and records are:

- correspondence
- maps/aerial photographs
- agreements
- easements
- transaction execution documentation
- property strategies
- advice documents/notes
- meeting records

Partnership and/or alliance establishment and management (sub-class 9.10) covers information and records documenting the establishment and high-level management partnerships and/or alliances (including both new build and maintenance and renewal alliances) between Waka Kotahi and another organisation in order to fulfil the goals of a project. Partnerships are when organisations come together for a common outcome. During the project, the organisations tend to manage their own information, but they pool resources.

Alliances are the formation of a new business organisation for the purpose of a project. All information and records created by an alliance belongs to the alliance and it will have its own way of managing its information. The procurement model used by the Waka Kotahi states that at the end of the alliance, all information and records should be transferred to Waka Kotahi, as at completion of the project the alliance ceases to exist. Some Partnerships and Alliances that have been formed Waka Kotahi:

- Auckland Integrated Fare System (AIFS)
- The New Zealand Road Assessment Programme (KiwiRAP)
- Transmission Gully Partnership
- Auckland Transport
- Auckland Motorway Alliance
- Wellington Transport Alliance
- Memorial Park Alliance
- Iwi

Example information and records are:

- Memorandum of Understanding
- classification agreements
- operating agreements
- resource allocation
- funding records
- reporting records
- meeting minutes and strategic decisions about the relationship (if the meetings are about operational matters, they are considered project records, see sub-classes 9.5 and 9.6)

Local road management (sub-class 9.11) covers information and records created as part of the management of local roads in conjunction with a local authority such as Marlborough Roads. This sub-class has been created to recognise that Marlborough Roads is a separate activity. However, all the records created as part of the management of Marlborough Roads should have the disposal actions and time periods listed in the Marlborough District Council Disposal Schedule applied. Example information and records are:

- maintenance project records

- investigations
- stakeholder relationship management
- property information and management
- asset management
- safety records
- traffic management
- reporting
- relationship records about last mile of route
- parking management

By-law management (sub-class 9.12) covers information and records that document the invoking and revoking of by-laws to support state highway management. For example, by-laws covering:

- speed setting
- tunnels
- parking and stopping rules

Example information and records are:

- drafting records
- final by-law
- approval documentation

Declaration of state highways and motorways (sub-class 9.13) covers information and records documenting the declaration and revocation of State Highways. Example information and records are:

- application and approval documentation
- revocation documentation

Corridor management planning (sub-class 9.14) covers information and records that document the customer service delivery story for a specific state highway corridor (e.g., Wellington to Palmerston North). They describe the investment story (or why Waka Kotahi is going to invest) for each corridor whether the planned activities are delivered through investment in the State Highways maintenance, operations, renewals, and improvements programmes. Example information and records are:

- corridor management plans

Corridor access requests (sub-class 9.15) covers information and records that document requests and approvals for access to highway corridors for activities such as:

- use of the roadside
- removal of derelict vehicles
- building development
- utility installation and maintenance

Example information and records are:

- corridor access requests and responses

State highway performance reports (sub-class 9.16) covers information and records that document the performance of State Highways. Example information and records are:

- Monthly State Highway traffic volumes report
- Annual State Highway traffic volumes report
- National pavement conditions report
- Weigh-in-motions report

State highway performance raw data (sub-class 9.17) covers information and records that are collected to inform the monitoring of State Highway performance. Example information and records are:

- raw data/data sources (and associated metadata)
- process and methodology documents relating to performance

- ad hoc queries about State Highway performance

5.9.2 Evaluation

Class 9 contains information and records that document one of the core functions of Waka Kotahi, namely the management and maintenance of New Zealand's state highway network. The state highway network is considered to be part of New Zealand's core infrastructure and therefore the significant records that document how this national asset is managed have archival value. Information and records from sub-classes 9.1, .9.4, 9.5, 9.9, 9.10, 9.13 and 9.16 includes records documenting how assets such as bridges are developed, managed, how state highway development projects are carried out, how Waka Kotahi interacts with to landowners and project stakeholders (such as community groups and iwi), and how Waka Kotahi manages large scale land transport projects of national significance. As well as providing evidence of Waka Kotahi functions and activities, they are also on ongoing research value to support our understanding of the technical aspects of road building and maintenance, land use and the history of state highways in New Zealand. These records are therefore recommended for retention as public archives under Principle 1, Principle 2, and Principle 3 of the Public Sector Archival Selection Statement. It should be noted that for many of the records created in these sub-classes there is a long-term business need to retain the records as they are considered to be current records often for the life to the asset, or project which may extend over decades. A deferral of deposit will be sought for information and records from all sub-classes that meet this criterion.

The lower level and more detailed records relating to state highway management and maintenance (sub-classes 9.2, 9.3, 9.6, 9.7, 9.8, 9.12, 9.14, 9.15 and 9.17) are considered to be routine operational records with short-medium business value only. They are therefore recommended for destruction.

No value statement has been provided for sub-class 9.11 Local Road Management as it has been created as a sub-class only to recognise that local road management is a separate activity (rather than a separate group of records). All of the information and records created by local road companies should have the disposal actions and time periods listed in other relevant classes in this schedule applied.

5.9.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
9.1	Asset management
9.4	Project summary information
9.5	Design, build, maintenance, and renewal project management records - key documents
9.9	Landowner relations
9.10	Partnership and/or alliance establishment and management
9.13	Declaration of state highways and motorways
9.16	State highway performance reports

Information and records recommended for destruction:

Sub-class	Title
9.2	State highway network maintenance and renewals consultant/contractor management

Sub-class	Title
9.3	State highway network maintenance and renewal operations
9.6	Design, build, maintenance, and renewal project records - routine documents
9.7	Property acquisition and disposal
9.8	Property management
9.12	By-law management
9.14	Corridor management planning
9.15	Corridor access requests
9.17	State highway performance raw data

Cross reference to the disposal schedule used by Marlborough District Council which should be used for local road management information and records:

Sub-class	Title
9.11	Local road management

5.10 Class 10 – Public education campaigns/programmes

5.10.1 Description

This class covers information and records documenting the development and management of public education campaigns/programmes and publications relating to road safety, licensing etc. Its sub-classes are:

- 10.1 Oversight of education and marketing activities
- 10.2 Programme development and management records
- 10.3 Programme creative material/collateral finals
- 10.4 Programme creative material/collateral drafts
- 10.5 Programme coordination
- 10.6 Programme administration

Oversight of education and marketing activities (sub-class 10.1) covers information and records that document the oversight of education and marketing activities. Example information and records are:

- education and marketing strategy development
- history reel (list of all marketing and advertising carried out by Waka Kotahi)
- funding business cases
- newsletter for stakeholders

Programme development and management records (sub-class 10.2) covers information and records of the development and management of external education programmes and social marketing campaigns. Example campaigns are:

- Road to Zero

- Bike Ready Education Programme
- Feet First Campaign (walking to school campaign)
- Tinny Vision campaign (substance impaired driving)
- Drink driving campaigns.

Example information and records are:

- education programme planning
- liaison with stakeholders
- campaign reviews
- campaign surveys

Programme creative material/collateral finals (sub-class 10.3) covers information and records of the finals of campaign creative materials/collateral across all formats, e.g., finals of campaign creative work such as:

- campaign posters and print materials
- TV advertisements/online advertisements
- photographs/images used in campaign
- content of education websites

Programme creative material/collateral drafts (sub-class 10.4) covers information and records of the drafts and drafting processes for campaign creative materials/collateral across all formats. Example information and records are:

- draft campaign posters and print materials
- draft TV advertisements/online advertisements
- photographs/images taken but not used in campaign
- drafts of content for education websites

Programme coordination (sub-class 10.5) covers information and records that are created to support the coordination of public education and social marketing campaigns, including the relationship with creative agencies. Example information and records are:

- programme financial management
- contract arrangements with organisations such as advertising agencies, print companies, creative agencies
- project calendars
- advertising briefs
- contracts with advertising agencies
- market testing

Programme administration (sub-class 10.6) covers information and records of a routine administrative nature that are created to support public education and social marketing campaigns. Examples are:

- travel arrangements
- meeting arrangements

5.10.2 Evaluation

Information and records created that document the development and execution of public education campaigns at a high level (sub-classes 10.1, 10.2 and 10.3) are considered to have long term archival value. They provide evidence of the public education function of Waka Kotahi. They also demonstrate how Waka Kotahi was involved in the land transport sector in New Zealand through the management of education programmes that impact on the effectiveness of the sector and government policy established and operationalised within the sector. In addition, these records provide evidence of how Waka Kotahi interacted with the New Zealand public through safety and education campaigns. These records are

therefore recommended for retention and public archives under Principle 1 and Principle 3 of the Public Sector Archival Selection Statement.

The drafts of public education campaign materials and the coordination and administration level records surrounding such programmes (sub-classes 10.4, 10.5 and 10.6) are of a routine operational and routine administrative nature with short to medium business value only. They are therefore recommended for destruction.

5.10.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
10.1	Oversight of education and marketing activities
10.2	Programme development and management records
10.3	Programme creative material/collateral finals

Information and records recommended for destruction:

Sub-class	Title
10.4	Programme creative material/collateral drafts
10.5	Programme coordination
10.6	Programme administration

5.11 Class 11 – Managing national ticketing

5.11.1 Description

This class covers information and records created to support the management of the National Ticketing Solution (NTS) shared service. The NTS programme aims to improve public transport for New Zealanders through a standardised approach to paying for public transport which means having a single ticketing solution for public transport (bus, rail, and ferry) trips in all regions across New Zealand. The National Ticketing Programme was established in February 2016 to establish and deliver a national ticketing solution. Class 11's sub-classes are:

- 11.1 Strategy and planning
- 11.2 Insights and analysis
- 11.3 Operating policies and processes
- 11.4 Monitoring performance
- 11.5 Incident management and coordination
- 11.6 Customer support and service
- 11.7 Retailer management
- 11.8 Licence management
- 11.9 Training development and delivery

- 11.10 Supplier contract management
- 11.11 Relationship management
- 11.12 Management of change

Strategy and planning (sub-class 11.1) covers information and records that document the development of strategy, ongoing planning for the National Ticketing Solution and its operation. Example information and records are:

- NTS Strategy documents
- solution roadmap
- release management records
- planning documentation

Insights and analysis (sub-class 11.2) covers information and records used for insights and analysis to support strategy and planning processes and maintain an understanding of system performance. Example information and records are:

- data from operations activities
- reporting from the solution

Operating policies and processes (sub-class 11.3) covers information and records that document the development and approval of standard operating procedures and processes for the National Ticketing Solution and the surrounding operating activities that support it. Example information and records are:

- operational standards
- audit processes documentation
- disaster recovery process documentation
- asset management process documentation
- data sharing policy
- branding policy

Monitoring performance (sub-class 11.4) covers information and records that document the monitoring of the system to agreed performance measures (as agreed in Service Level Agreements with participants). Example information and records are:

- monthly and quarterly performance reports
- supplier performance reviews

Incident management and coordination (sub-class 11.5) covers information and records that cover the management and coordination of incidents. Includes incident notification, investigation, resolution, and reporting. Example information and records are:

- root cause analysis reviews
- critical incident reviews
- event incident and problem (EIP) management processes

Customer support and service (sub-class 11.6) covers information and records that document customer service activities. Example information and records are:

- level 2 support service requests
- support call resolution records

Retailer management (sub-class 11.7) covers information and records that document relationship and contract management activities with retailers participating in the NTS. Example information and records are:

- retailer agreements
- sales reports

Licence management (sub-class 11.8) covers information and records that document the licencing arrangements between Waka Kotahi and the solution suppliers. Example information and records are:

- correspondence
- licence register

Training development and delivery (sub-class 11.9) covers information and records that document the development and delivery of training for Public Transport Authority's national ticketing solution software and hardware. Example information and records are:

- course attendees
- course materials

Supplier contract management (sub-class 11.10) covers information and records that document supplier contract management activities. Example information and records are:

- contracts with suppliers
- correspondence with suppliers
- reporting records
- meeting records

Relationship management (sub-class 11.11) covers information and records that document overarching stakeholder relationship management activities for NTS with key stakeholders, in particular the public transport authorities and the solution suppliers. Example information and records are:

- communications logs
- meeting minutes

Management of change (sub-class 11.12) information and records that document changes made to the NTS - whether systemwide, technology change or operational change. Example information and records are:

- project documentation
- change requests
- change implementation plans
- impact assessments

5.11.2 Evaluation

Class 11 relates to a new function of Waka Kotahi, that of establishing and managing a national ticketing solution for New Zealand public transport. From the work completed by the programme to date, only one class, dealing with strategy and planning (sub-class 11.1) is considered to have archival value. The strategy and planning records document, at a strategic level, the establishment and planned operation of this new function for Waka Kotahi, and the New Zealand government. They reflect the high-level considerations, aims and decisions made for the programme. They are recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement.

All other sub-class (that is sub-classes 11.2 – 11.12) are considered to be of a routine operational or administrative nature. They are therefore recommended for destruction. However, it is recognised that as a new activity for Waka Kotahi and the New Zealand government, further sub-class of information may be identified or changes in value may become apparent. For this reason, a conservative disposal time period of 10 years has been set for the minimum time period prior to destruction in case changes are needed.

5.11.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
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11.1	Strategy and planning
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Information and records recommended for destruction:

Sub-class	Title
11.2	Insights and analysis
11.3	Operating policies and processes
11.4	Monitoring performance
11.5	Incident management and coordination
11.6	Customer support and service
11.7	Retailer management
11.8	Licence management
11.90	Training development and delivery
11.10	Supplier contract management
11.11	Relationship management
11.12	Management of change

5.12 Class 12 – Managing information technology, information management and data management

5.12.1 Description

This class covers information and records documenting the management and support for Waka Kotahi technologies and digital systems (IT), information management (IM) and data management (DM). It has been created as the sub-classes in GDA 6 relating to these areas do not provide appropriate cover for the complexities and breadth of such services at Waka Kotahi. This class should therefore be used instead of sub-classes 8.1.1, 8.1.2 and 8.1.4 of GDA 6. Its sub-classes are:

- 12.1 Information technology, information management and data management governance and strategy
- 12.2 Management and oversight of IT, IM and DM services
- 12.3 System specific management
- 12.4 IT, IM and DM operations
- 12.5 Machine generated logs

Information technology, information management and data management governance and strategy (sub-class 12.1) covers information and records documenting activities associated with the overall governance and strategy of Waka Kotahi IT, IM and DM. Example information and records are:

- internal governance bodies decisions and approvals, such as the Security Governance Board
- enterprise-wide IM and DM requirements, frameworks, strategies such as Te Hau Ora (the Digital Portfolio Framework)

Management and oversight of IT, IM, and DM services (sub-class 12.2) covers information and records documenting activities associated overarching enterprise management activities that support the performance, reporting and monitoring of Waka Kotahi IT, IM and DM activities. Example information and records are:

- enterprise architecture (i.e., architecture that covers more than one system)
- enterprise-wide IM procedures
- disposal schedule development
- data quality standards
- portfolio management
- organisation-wide information security assessment

System specific management (sub-class 12.3) covers information and records documenting activities associated with the management, oversight and control of Waka Kotahi information technology systems, networks, and assets. Includes both project activities and ongoing activities for any technology system. Example information and records are:

- system roadmaps
- outsourcing arrangements and contracts with third party suppliers
- upgrade documentation
- testing records
- technical specifications/system design
- technical as-builts
- system specific architecture
- information security assurance documentation
- security assessments
- system audits
- final backup
- certification and accreditation (compliance) of specific information systems and products
- implementation, upgrade or decommissioning project documentation
- software licencing records and renewals
- network designs
- network management documentation

IT, IM, and DM operations (sub-class 12.4) covers information and records documenting operational activities associated with the provision of IT, IM and DM services. Example information and records are:

- helpdesk/service desk support records
- day to day performance reporting
- IM advice requests
- library requests
- research enquiries
- records of system back-ups and restores
- allocation of equipment, screens, keyboards etc
- technology equipment asset management
- digitisation operations
- information security incidents and responses
- IT, IM, DM reporting

Machine generated logs (sub-class 12.5) covers information and records documenting machine generated logs from operating systems, networks, and applications. Example information and records are:

- data logs
- automated notifications

5.12.2 Evaluation

Class 12 covers the management of and provision of services relating to information technology, information management and data management activities and provision at Waka Kotahi.

As noted in section 5.12.1 above, this class should be used instead of sub-classes 8.1.1, 8.1.2 and 8.1.4 of GDA 6 to ensure that all relevant records and information are captured by the schedule.

Sub-class 12.1 holds the strategic level view of these activities within Waka Kotahi. The records contained in sub-class 12.1 provide evidence of the long-term planning, high level management, and the unique and complex environment in which Waka Kotahi technology, information and data is managed. As the use of technology continues to evolve, more road and transport network management and use activities rely on the specialist services covered by this class (e.g., digital state highway signage, high volumes of road use and event data) to support long term planning and the information documenting the care and management of core New Zealand infrastructure. Sub-class 12.1 is recommended for retention as public archives under Principle 1 of the Public Sector Archival Selection Statement.

Sub-class 12.2, 12.3, 12.4 and 12.5 are of a routine administrative or operational nature with short to medium term business value. They are therefore recommended of destruction.

5.12.3 Disposal recommendations

Information and records recommended for retention as public archives:

Sub-class	Title
12.1	Information technology, information management and data management governance and strategy

Information and records recommended for destruction:

Sub-class	Title
12.2	Management and oversight of IT, IM, and DM services
12.3	System specific management
12.4	IT, IM, and DM operations
12.5	Machine generate logs

6 Access Restrictions

The grounds for restriction identified for several classes of records covered by the disposal schedule have been based on the Archives New Zealand Access Guidelines. The period of restriction begins after the date of closure of the record.

Restrictions fall into the following categories and apply to the following sub-classes of records:

Grounds for Restriction	Sub-class reference	Description	Period of restriction following closure
To protect personal details of anyone involved in a rail event	8.1	Rail occurrence investigations	40 years

7 Appendix 1 – Internal consultation

Waka Kotahi staff who provided input for the development of the disposal schedule were:

Group and Team	Position
Regulatory Services	
Vehicle and Driver Licensing	Senior Technical lead
Chief Executive Office	
	EA to CEO
	Legal Executive, Board
Transport Services	
Alignment and Strategy	Senior Administration officer
Infrastructure Delivery	Principal project manager
	Principal project manager
	Principal Advisor - NZUP
	Programme Delivery lead - NZUP
Maintenance Operations	Network Manager, Asset information
	Technical Operations advisor
Policy and System Planning	Manager Long-term system planning
	Principal Planning advisor
	Manager Investment Planning
	Advisor
Programme and Standards	Principal Advisor network management
System Design	Practice Lead transport planning
	Planning technician
	Senior Safety engineer
	Principal Transport planner

Group and Team	Position
	Principal Investment advisor
Corporate Support	
Assurance and Risk	Senior Risk Assurance Advisor
Privacy	Privacy Work Programme Leader/Privacy Officer
Enterprise Change	Portfolio Director, Business
	Principal Advisor NLTP
	Principal Advisor Capability
	Lead Advisor, Governance and Assurance
	Programme Coordinator
Commercial Projects - NTPP	Consultant
Legal	Legal Operations manager
Corporate Support	Practice Manager, Business Support services
	Practice Manager, Business Support services
Procurement	Senior Advisor, Procurement
Finance	Financial Planning and Reporting accountant
	Manager, Treasury and Cash Flow
	Practice Manager, Investment assurance
Governance and Policy	Principal advisor
Research and Analytics	Manager, Business Insight direction
	Principal advisor
	Senior Advisor, Highways Customer operations
	Senior Reporting and Data analyst
	Senior Analyst programmes
	Principal Geospatial advisor

Group and Team	Position
	Data Scientist
People	
Business Partnering	People advisor
Organisation Capability	Consultant organisational capability
People Experience	Payroll advisor
Learning and development	Practice Manager, Future Investment
People and Process Safety	Team Lead Safety Systems & Standards
Chief of Staff Office (temporary)	
Integration and Programme Delivery	Programme Planning and Performance Advisor
Road Safety	Principal Advisor
	Principal Advisor System Management
	Team Administrator
Digital	
Technology	Manager Technology Strategy and Reporting
Security	Security Services Manager
	Security Operations Manager
Data management	Manager Cas Processors
	Manager Data Management
	Manager Enterprise Data Warehouse
Engagement & Partnerships	
Channels and Standards	Manager, Design and Brand
	Manager Channels and Web
	Senior Advisor, Channels

Group and Team	Position
	Senior Manager, Channels and Standards
Education and Advertising	Programme Coordinator Education and Marketing
Ministerial Services	Principal Advisor – Regulatory Services
Māori	Lead Advisor Māori

8 Appendix 2 – External consultation

Listed below are the external partners/stakeholders that were invited to provide input on the development of the disposal schedule.

Organisation	Name and Position
Accident Compensation Corporation	Head of Enterprise Data, Information and Security
Auckland Council	Head of Archives
Auckland Transport	Corporate Information Manager
Automobile Association	CTO
Christchurch City Council	Team Leader Information & Records Management
Civil Aviation Authority	Chief Information Officer
Department of Internal Affairs	Manager Information and Data
Environment Canterbury Regional Council	Team Leader Knowledge Management
Fonterra	Transformation & Delivery
Greater Wellington Regional Council	Manager Data & Information
Hastings District Council	Chief Information Officer
KiwiRail	Digital Services Team Leader
Maritime New Zealand	Manager Business System platform and data
Ministry of Business Innovation & Employment	Chief Data and Insights Officer
Ministry of Transport	Manager, Ministerial Services and Senior Advisor - Domain Strategy

Organisation	Name and Position
NZ Bus & Coach Association	Chief Executive Officer
Civil Contractors NZ	Chief Executive
Infrastructure NZ	CEO
NZ Police	Manager Information Capability
Ia Ara Aotearoa Transporting NZ	GM Industry
NZ Treasury / National Infrastructure Unit	Data and Information Manager
Road Transport Association NZ	Chief Executive Officer
Tourism Industry Association NZ	Business Systems Specialist
Waimakariri District Council	Chief Information Officer
Wellington City Council	Manager Data & Insights
WorkSafe NZ	GM Digital Transformation
MFAT	Chief Data Officer
Stats	Senior Manager - Data, Information & Publishing Services

9 Appendix 3 – Main Legislation

The main pieces of legislation that shape Waka Kotahi business and activities are listed in the tables below. For further information about each act, regulation or rule, see <https://www.nzta.govt.nz/about-us/about-waka-kotahi-nz-transport-agency/our-legal-framework/>

9.1 Acts of Parliament

Title	Description
Land Transport Management Act 2003	Sets out the requirements and processes for local authorities to obtain funding for roading construction and maintenance, and for the funding of NZ Police on-road enforcement. It sets out the requirements for regional councils to contract for the provision of public transport services. It is also the Act that establishes Waka Kotahi and the Director of Land Transport.
Land Transport Act 1998	Promotes safe road user behaviour and vehicle safety; provides for a system of rules governing road user behaviour, the licensing of drivers and technical aspects of land transport; recognises reciprocal obligations of persons involved; consolidates and amends various enactments relating to road safety and land transport; and enables New Zealand to implement international agreements relating to road safety and land transport. It also includes the registration and licensing of motor vehicles and the regulation of commercial transport services and the limits on driving hours.
Railways Act 2005	Provides for the regulation of rail operations in New Zealand. It covers monorails, and both light and heavy railways. It also includes basic safety obligations of operators and the general public when near a railway, as well as the powers the railway operators have to protect and manage the railway corridor.
Government Roding Powers Act 1989	Provides the necessary powers for Waka Kotahi and ministers to build, maintain and manage roads. It was originally passed as the Transit New Zealand Act 1989.
Road User Charges Act 2012	Imposes charges for road use by heavy and other vehicles, such as diesel-powered vehicles.

9.2 Regulations

Title	Description
Land Transport Management (Apportionment and Refund of Excise	Provides for the refund in certain circumstances of a proportion of the fuel tax paid on motor spirits and lists types of vehicles for which a refund may be available.

Duty and Excise-Equivalent duty) Regulations 2004	
Land Transport (Offences and Penalties) Regulations 1999	Details the offences for breaching land transport rules and the penalties for those offences.
Traffic Regulations 1976	Land transport rules now cover nearly all of these requirements. A few obligations, such as requirements on towing trailers by passenger service vehicles, power to require inspection of motor vehicles after accidents, and restrictions on motor vehicle reliability trials, still remain in these regulations.
Transport Services Licensing Regulations 1989	Provides for fees payable for transport service licences (except rail services), and a few exemptions from operator licensing.
Heavy Motor Vehicle Regulations 1974	Allows road controlling authorities to restrict the movement of heavy vehicles to prevent damage to roads and bridges of limited strength.
Land Transport (Infringement and Reminder Notices) Regulations 1998	Sets out the format for infringement offence notices and reminder notices from traffic law enforcement.
Land Transport (Administration Fees for Recovery of Unpaid Tolls) Regulations 2008	Authorises a toll operator to recover the administrative costs of collecting unpaid tolls.
Land Transport (Certification and Other Fees) Regulations 1999	Sets the fees payable by organisations wishing to be authorised to inspect motor vehicles and a standards development levy payable by owners of heavy motor vehicles.
Land Transport (Motor Vehicle Registration and Licensing) Regulations 2011	Sets out vehicle registration and licensing requirements; including requirements for motor vehicle registration plates (number plates), such as colour and character combinations, and the way they must be displayed. Also includes specific offences and penalties.
Land Transport (Ordering a Vehicle off the Road) Notice 1999	Prescribes the format for notices issued to vehicles too unsafe to be on the road or not complying with vehicle standards. It also specifies who may inspect the vehicle and issue a new warrant of fitness or certificate of fitness.
Railways Regulations 2019	Sets the fees applying to licensed railway operations, declares which narrow gauge railways the act covers, and specifies exemptions.
Road User Charges Regulations 2012	Details the information required for applications for road user charges licences, specifies display requirements for distance licences and the fitting of hub-odometers, and prescribes road user charges vehicle types.

9.3 Rules

Title	Description
Land Transport (Driver Licensing) Rule 1999	Sets out the requirements for which class of driver licence is needed for each type of vehicle, the restrictions for novice drivers, and the steps for obtaining a driver licence.
Land Transport (Road User) Rule 2004	Establishes the rules under which traffic operates on roads. The rule applies to all road users, whether they are drivers, riders, passengers, pedestrians, or leading or driving animals.

10 Appendix 4 – Core datasets and systems

The list of core datasets and systems below is designed to provide context to the disposal decisions in the disposal schedule for the Waka Kotahi digital environment and implementation of the disposal schedule only. The datasets listed are not typically publicly available as they are operational in nature and designed to support Waka Kotahi business operations and fulfilment of core functions.

Activity and system	Description
Infohub	The Waka Kotahi electronic document and records management system used to store most document-based information from across all business activities in the agency.
Crash data captured in Crash Analysis System (CAS)	A statistical dataset coded to support industry partners in understanding the actions and behaviours of the various road users, as well as key factors and likely causes in a motor vehicle crashes.
Driver registration & licensing captured in the Drivers Licence Register (DLR)	Registry service to present driver licencing records, for personal and commercial vehicle operation, including additional permits and certification of training.
Commercial operator licencing captured in the DLR	Registry service to present commercial operator access and use licence details, including size of fleet, details of business registration or incorporation, number of employees, and other administrative details such as responsible party and New Zealand Business Number (NZBN).
Commercial operator licencing captured in the Passenger Services dataset	Records for Small Passenger Services Licence (SPSL), Large Passenger Services Licence (LPSL) are included in this dataset.
Vehicle screening and weight enforcement captured in Weigh-Right	System to ensure efficient vehicle screening (trucks) and weight limits enforcement, using intelligent transport technology for effective and efficient vehicle direction to the weigh stations.
Vehicle registration captured in Motor Vehicle Register (MVR), Warrant of Fitness (WOF), or Certification of Fitness (COF)	Registry service to present vehicle registration records, for personal and commercial vehicles in operation, including additional details on the vehicle make (manufacturer) and model (brand), year of manufacture, date of last registration, date of last warrant of fitness, and current status.
Vehicle safety ratings captured in Right-Car	Records for each vehicle make and model, with distinguishing characteristics, country and year of manufacture, responsible parent company, and other essential details.

Roadside inspection captured in the Roadside Inspection Database (RID)	Records for ad-hoc roadside inspection, supported by roadside stations across the country.
Vehicle imports captured in the Border Inspection System (BIS)	Records for all imported vehicles, referenced by Vehicle Identification Number (VIN).
Commercial Operator Permit captured in Transport Services Licence (TSL) database	Records for all permits issued for commercial operators; includes expired permits.
Operator Rating System (ORS)	Records for all commercial operator ratings in terms of safety standards compliance (one to five stars); evaluation of compliance was performed quarterly.
Over-Dimension Vehicles (ODV) (50 Ton - Wide Trailers)	Records for all commercial over-dimension vehicle permits; application for permits, permit type, permit date, responsible party, and organisation contact.
National Land Transport Fund Work Categories (NLTF / WC)	List of Work Categories for claiming expenses and activities against approved Transport System investment plans (Investment Management, Road Improvements, Road Safety Promotion, Road Maintenance, Public Transport, Walking & Cycling).
Highways Fees & Enforcement captured in Tolling database	Records for tolling transactions, managed by a system integrated with our licenced operator database, permits systems for heavy vehicle and commercial freight licencing. Toll rates are published for passenger, motorcycle, light commercial and heavy vehicles. Tolling transactions include fees for administration, service, transactions, infringements, and dishonours.
Road User Charges and Collection (RUC)	Transactional database containing records of fees paid for Road User Charges, as well as rebates, coupon sales agencies and corporate arrangements for larger cargo carriers.
Fuel Tax Charges and Collection captured in Regional Fuel Taxes (RFT) database	Transactional database containing records of regional taxes collected for fuel sales from licenced fuel providers across the country. Regional fuel taxes are collected directly from fuel distributors in a monthly tax return.
Customer Relationship Management System (CRMS)	Database containing all relationship management resources to map to complaints about the service providers supporting access and use of the state highway network system; list of delivery partner and supplier contact details, business entity administrative information, and connection to the case management service to track and resolve customer complaints.
Help Desk for customers captured in HEAT	HEAT is the ticket-based call logging system used by the customer contact centre.
Road Assessment and Maintenance Management (RAMM)	System for recording all road maintenance activity, particularly that work performed by the Network Outcome Contract (NOC) organisations on contract with Waka Kotahi NZTA.
State Highway Asset Register	Register of Bridges, Tunnels and other connecting physical assets of the State Highway Network.
National Road Centreline Dataset	Spatial support dataset which represents the painted centreline in built and surfaced road (linear dataset). Supplied by local councils / maintained by Geospatial Team/ deployed as Open Data as the authoritative data source for Road Centrelines.

Road Network Model	Spatial support dataset which represents the routable network model (network dataset). Supplied by commercial vendor/ maintained by Geospatial Team.
Property Title Database	Registry of land titles owned in perpetual use for the operation and improvement of the State Highway Network.
Rail Incident System (RIS)	System to support licenced rail operators (90+ with capability to regulate rail safety and ensure responsiveness to rail customers and delivery partners. Involves integration to other data sources for rail maintenance, rail cars, hazards, risks and case management.
Traffic Monitoring System (TMS)	Traffic Monitoring System records and classifies transactional data from traffic monitoring sites e.g. weigh in motion detectors.
Intelligent Transport Systems (ITS)	Register of standards and specifications for real-time devices monitoring data collection and synchronisation including speed cameras, sensors, and video camera data. Formerly known as the Specification Index list, this is now deployed as a register as of 2011.
Traffic Road Event Information System (TREIS)	For the State Highway System only, this system holds details of events which impair the normal flow of traffic. Includes planned as well as weather warning events.
National Speed Limits Register (NSLR)	Register of speed limit zone designations in spatial format, intended for integration with the National Road Centreline Database.
Meteorological Datasets	The Transport Agency and Auckland Council have developed a specific meteorological dataset for use in assessing air impacts for roading and other projects in Auckland. These datasets are also available for other regions in New Zealand.
Vehicle Emissions Mapping Tool (VEMT)	Vehicle emission mapping tool automates calculation of both harmful air pollutants and greenhouse gas emissions. The tool can be applied to all public roads throughout New Zealand.

11 Appendix 5 – History of Waka Kotahi

The history of Waka Kotahi goes back 100 years, to when the Main Highways Board began operating in 1923. As transport priorities and policies changed, transport organisations changed to meet them.

The roles performed by the Waka Kotahi can be traced back to 1923 with the establishment of the Main Highways Board. Key dates relating to agency establishment, mergers and disestablishment are outlined in diagram form below.

