



NEW ZEALAND DEFENCE FORCE

Te Ope Kaatua o Aotearoa

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APPRAISAL REPORT: NUMBER 5 SQUADRON ROYAL NEW ZEALAND AIR FORCE

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Disposal Type:

- a continuing class or functional-based disposal schedule.

Coverage: Royal New Zealand Air Force (RNZAF) Number 5 Squadron Flight Records.

Scope: Covers records generated by 5 Squadron during the course of flying operations.

1. Executive Summary

This appraisal report is seeking the approval for a continuing Disposal Schedule for classified and unclassified records created during flights carried out by the RNZAF. The records that are classified are so because of the nature of the equipment and processes used to create them rather than the observations and operations encountered during the flight.

The records covered in this appraisal comprise of both electronic and paper based records that relate to flying operations. These records include navigational charts, meteorological information, navigator's written narrative, post flight activity report and aircraft data tapes recording contacts, communications.

Quantity recommended for retention as public archives: 0% of total

Quantity recommended for destruction: 100% of total

Estimated quantity added per year: 5.33 Mb and 9.3 lm p/a

2. Appraisal Circumstances

In 2010 Number 5 Squadron informed Head Quarters New Zealand Defence Force that they were creating flight records and flight infringement packs and needed advice as to their disposal with regards to the Public Records Act 2005. An initial meeting was held between the above parties and Archives New Zealand in the early part of that year to discuss the archival value of these records. At this stage it was felt that where the records created did not form part of an Other Government Agency's prosecution case then their archival value would be limited. However, it was felt that these records couldn't be disposed of under a GDA and that a separate Disposal Schedule would be required.

A further meeting was held between Archives New Zealand and HQ NZDF in the latter part of the year with a view to establishing where responsibility lay with regards to the transfer of the records. At this meeting it was agreed that HQ NZDF would contact the various Other Government Agencies to try and seek clarification on their use and disposal of the unclassified records forwarded onto them. Contact was made with New Zealand Police, Fisheries, GNS Science, Customs and Maritime New Zealand and the responses were that records forwarded to them by NZDF were managed under their respective appraisal. At a further meeting between Archives New Zealand and HQ NZDF it was felt that the Other Government Agency receiving the unclassified evidence pack should be informed that it was their responsibility to dispose of the record in accordance with their own Disposal Schedule as the Agency would hold the records documenting the process of carrying out a prosecution which could be of value to Archives New Zealand. The original records would be retained by the NZDF until a determined period of time had passed to allow their disposal and their purpose as evidence had ceased to exist.

By implementing a separate Disposal Schedule to cover these records it is felt that this would improve record keeping practices and manage records more effectively in the NZDF. This would also allow the disposal of routine records held at their respective locations whilst ensuring that records of historical interest would be transferred to Archives.

3. Public Office (Agency) Information

There is currently stored within "Archway" a previous history of the RNZAF which was created at the time of the development of the RNZAF Disposal in 1995 and covers

the early years of the RNZAF up till 1995. The information below takes into account a history of the RNZAF since that time.

The mission of the RNZAF is: "To carry out military air operations to advance New Zealand's security interests with professionalism, integrity and teamwork"
The Chief of Air Force (CAF) commands the RNZAF, and together with his immediate support staff (Air Staff) is part of the HQNZDF.

RNZAF military air operations include maritime surveillance and reconnaissance with six P-3K Orion aircraft, strategic and tactical air transport with two Boeing 757 and five C-130 Hercules aircraft and helicopter support with fourteen UH-1H Iroquois helicopters. The RNZAF also supports five SH-2G (NZ) Seasprite helicopters that are part of the Naval Helicopter Force. These aircraft support military operations and civil authorities. At the tactical level, force elements are designed to be self-sufficient in operating level maintenance, maintenance management and retail supply.

The operational Squadrons are assigned under permanent operational command to the Commander Joint Forces New Zealand, who exercises that command through the Air Component Commander and No. 485 Wing. Headquarters No. 485 Wing, No 5 Squadron (P-3K Orions), No. 40 Squadron (C-130 Hercules and Boeing 757), No 230 Squadron (Mission Support) No 6 Squadron (SH-2G Seasprite helicopters) and the Expeditionary Support Squadron are located at RNZAF base Auckland. No. 3 Squadron (Bell UH-1H Iroquois and Bell 47G Sioux helicopters) are located at RNZAF Base Ohakea.

4. Recordkeeping Information

Title: Flight Records

Start date: Circa 2004

End date or ongoing: Ongoing

Legislation:

Defence Act 1990

Memorandum of Understanding between NZDF and Police (Attached at the Appendix)

Quantity: the estimated volume of records produced by this process per annum.

- Physical 9.3 Im
- Electronic 5.33 Mb

Related records: Nil

System of arrangement: These records are arranged individually by the flight that they originated from under the following operations:

Generic Training or Exercise Flights

Tasked Flights in Support of Other Government Agencies

Search and Rescue

Format:

Paper Records: The originals are normally held by 5 Squadron but in the case of a Tasked Flight if an infringement pack is generated then all flight records associated with the flight are included and held by 230 Squadron.

Electronic Records: These are held at 230 Squadron and the formats of the data are MS Word, .avi, .wav, .mpeg, and .jpg downloaded from Hard Drives, DVDs and SD/Flash Cards. Digital photographic records are also forwarded for retention by Geospatial Intelligence Organisation which are not covered by this appraisal.

Description:

Generic Training or Exercise Flights are conducted for general training purposes. The routine paper records generated during the course of one of these flights may include meteorological information, plotting charts and a written narrative from the Navigator which records information about the flight such as routine administration, crew observations, and Air Traffic Control clearances.

Tasked flights in support of Other Government Agencies are conducted on behalf of Other Government Agencies such as NZ Police, Ministry of Fisheries, Maritime New Zealand, Customs etc. In addition to the documentation generated on Generic Training flights, these flights may also record observations on any vessels encountered during the flight as well as digital photographic data. In addition to this, evidential information may also be collected to support legal prosecutions and an unclassified version of this is forwarded to the relevant Other Government Agency. A post mission signal report which is a summary of events pertaining to the flight is compiled by the crew and sent by signal to a number of NZDF recipients and relevant Other Government Agencies.

Search and rescue flights are co-coordinated by the New Zealand Rescue Coordination Centre. The majority of search and rescue flights are flown to assist foreign nationals outside of New Zealand's territorial waters. In many cases assistance is specifically requested by other countries and is provided by New Zealand as "foreign aid". These flights generate the same information as Generic Training or tasked flights along with a post mission report.

Precedent: There have been nil transfers of records within this series.

Access recommendations: Not recommended to transfer any records.

5. Methodology

This appraisal report and the accompanying continuing disposal schedule were developed in consultation with Number 5 Squadron as the originators of the records and 230 Squadron who are responsible for storing the digital and original infringement packs. An examination of the flight records and infringement packs was carried out to establish the disposal recommendations that are made in this appraisal.

6. Consultation

External

The NZDF's key stakeholders were consulted in the writing of this appraisal with regards to the recommended disposal of the flight records. The Other Government Agencies only receive the sanitised version of the evidence packs and it is their decision whether to proceed with a prosecution. If a prosecution is undertaken it would therefore be necessary for the original evidence packs to be retained by the NZDF until all legal processes are completed. If it is decided not to prosecute then the evidence packs and the other flight records held by the NZDF have no further value to the Other Government Agencies.

The following agencies were consulted and their views sought on the proposed disposal recommendations for these records:

[Name removed], New Zealand Police

[Name removed], Ministry of Fisheries

[Name removed], Maritime New Zealand

[Name removed], New Zealand Customs

[Name removed], Archives New Zealand

During these consultations apart from it being the responsibility of the Other Government Agencies to maintain any records passed to them, the common theme from the Other Government Agencies was the retention period of the original evidence packs held by 230 Squadron before disposal takes place. The retention period that these other agencies reflect in their own Disposal Schedules is 7 years (New Zealand Customs Service DA 367 Investigations/Enforcement) which is necessary to ensure that all due legal processes have taken place. It therefore followed that this was the period that is required in this Disposal Schedule as well.

Maritime New Zealand asked that a period of 2 years retention be put in place for Search and Rescue Tasked Flight Records where an incident was observed. There may be a future requirement to formulate evidence packs for these flights if legislation is passed to charge the individuals concerned with some of the costs involved of Search and Rescue Tasking. However, this would require operational consultation between Maritime New Zealand and the NZDF if this is indeed passed into law. This of course would require an amendment in the future to this Disposal Schedule if this occurs.

7. Relevant Precedent

Nil.

8. Disposal Criteria

No records retained by Number 5 Squadron or 230 SQUADRON were considered as requiring eventual transfer to Archives New Zealand.

Recommended for destruction are records that cover:

D1 Routine low level operational matters only.

D2 Transactions where the most complete records are held by another agency.

9. Description and Evaluation of Classes

Class Title: Generic Training or Exercise Flights.

Class number: 1

Description: This class contains records which document the required, standard procedures carried out during routine, homogenous flights.

Value: These records do not have long term value and their retention should be limited to that required in case of a subsequent investigation following a flight safety incident and a complaint from a member of the public or Air Traffic services.

Recommended for destruction:

Class Number	Description	Disposal Decision
1	Generic Training or Exercise Flights	D1

Quantity to retain: 0% of this class are recommended for retention as archives.

Quantity to destroy: 100% of this class are recommended for destruction.

Class Title: Tasked Flights in Support of Other Government Agencies

Class number: 2

Description: This class contains records created as a result of tasked flights by Other Government Agencies which may include observations on any vessels encountered during the flight, evidential information if requested and digital photographic data. Upon completion of these flights a Post Mission Signal Report is released and provides a summary of activity for the duration of the flight. These are

currently stored indefinitely in electronic format at Head Quarters Joint Forces with any relevant information passed to an Other Government Agency if applicable. Class 1 records are also created during these flights.

Value: These records do not have archival value because the information contained is collected on behalf of another agency and once passed on are not required for on-going business purposes but they will need to be retained for a longer duration of time in case they are required in a prosecution case. The Other Government Agencies have been consulted and a retention period agreed before destruction of these records is carried out. This retention period ensures that they would not be required for further legal action.

Recommended for destruction:

Class Number	Description	Disposal Decision
2	Tasked Flights in Support of Other Government Agencies	D2

Quantity to retain: 0% of this class are recommended for retention as archives.

Quantity to destroy: 100% of this class are recommended for destruction.

Class Title: Search and Rescue Flights (SAR)

Class number: 3

Description: The SAR records created will include Class 1 Records and possibly digital photographic data if contacts of interest are encountered. Upon completion of these flights a Post Mission Signal Report is released, and provides a summary of activity for the duration of the flight.

Value: These records do not have archival value because the information contained is collected on behalf of another agency and once passed on are not required for on-going business purposes. The Post Mission Signal Report will summarise the activities undertaken which is held by Head Quarters Joint Forces and copied to New Zealand Rescue Coordination Centre as the tasking coordinator for these missions.

Recommended for destruction:

Class Number	Description	Disposal Decision
3	Search and Rescue Flights	D2

Quantity to retain: 0% of this class are recommended for retention as archives.

Quantity to destroy: 100% of this class are recommended for destruction.

10. Access Recommendations

[Information removed]

11. Discharge Arrangements

There are no records recommended for discharge.

12. Deferral of Transfer

There is no intention to seek a Deferral of Transfer Agreement.

13. Format and Preservation

Not applicable.

Refer to any sentencing guidelines accompanying this report for specific recommendations:

- records must be kept for the minimum period specified
- records may be destroyed at any point once the minimum retention periods have passed. Records do not have to be destroyed; the agency may keep them for longer if required.

This authority is valid for a period of 10 years from date of signing, unless previously agreed with the Chief Archivist.

Appendix 1: Memorandum of Understanding between New Zealand Defence Force and New Zealand Police dated 15 April 2010.