

# APPRAISAL MEMORANDUM: AMENDING AN EXISTING DISPOSAL AUTHORITY

**File/Document ID:**  
2009/3807

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Ministry of Transport

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**Schedule to be changed:**  
DA319

## 1. Circumstances

Our initial schedule was written at a time before we had fully revised our Business Classification structure (BCS). After revising the classification and mapping the schedule to this structure we located a number of gaps that required modifications and additions. You can find the structure in the appendix. This includes the full classification structure as appendix 1 and then individual sections as appendices 2 to 6.

## 2. Description and Justification

### MoT/1.0 Policy Legislation, Rules and Regulations

#### 1) Approved original details

*Class Title:* Policy Development and Review where MoT is not the lead agency but is a stakeholder

*Class number:* MoT/1.3

*Retention Period:* 10 years after date of last action

*Disposal Action:* Destroy

*Class Title:* Policy Development - Routine Operational policy

*Class number:* MoT/1.4

*Retention Period:* 10 years after policy superseded

*Disposal Action:* Destroy

#### Proposed changes:

*Class Title:* Policy Development - Routine Operational policy and policy review where MoT is not the lead agency but is a stakeholder

*Class number:* MoT/1.3

*Retention Period:* 10 years after date of project completed

*Disposal Action:* Destroy

#### Description of change

Proposing to merge MoT/1.3 with MoT/1.4. Proposing to apply a "10 years after the project is completed" retention to the new class.

#### Justification

Proposing to merge MoT/1.3 with MoT/1.4 because there is no foreseeable difference between "routine operational policy" and "Policy Development and Review where MoT is not the lead agency but is a stakeholder". Both are routine and therefore

should be sentenced in the same manner. Superseded disposal action is too difficult to implement because it assumes previous policy can be readily identified when it is superseded. Proposing to apply a 10 years after the project is completed retention to the new class.

## 2) **Approved original details**

*Class Title:* Development, implementation and administration of transport sector related legislation

*Class number:* MoT/1.8

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

*Class Title:* Development and review of rules and regulations where MoT is the lead agency

*Class number:* MoT/1.9

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

### **Proposed changes:**

*Class Title:* Development, implementation and administration of transport sector related legislation, regulations and rules where MoT is the lead agency

*Class number:* MoT/1.7

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

### **Description of change**

Proposing to merge MoT/1.8 with MoT/1.9 to encompass all legislative material. Change of ID from 1.8 and 1.9 to 1.7.

### **Justification**

Proposing to merge MoT/1.8 with MoT/1.9 to encompass all legislative material rather than the current separation between legislation and Regulations and rules. This separation provides no purpose as all legislation, regulations and rules have the same action. Change of ID from 1.8 and 1.9 to 1.7 to re-align.

## 3) **Approved original details**

*Class Title:* MoT involvement in developing and reviewing rules and regulations that impact on wider transport sector operations

*Class number:* MoT/1.10

*Retention Period:* 10 years after date of last action

*Disposal Action:* D - Destroy

### **Proposed changes:**

*Class Title:* MoT involvement in developing and reviewing legislation regulations where MoT is not the lead agency

*Class number:* MoT/1.8

*Retention Period:* 10 years after date of last action

*Disposal Action:* D – Destroy

### **Description of change**

Proposal to change "wider operations" to all legislation, regulation and rules for which MoT is not the lead agency. Legislation has been included into this class along side regulation and rules. Change of ID from 1.10 to 1.8.

### **Justification**

Legislation has been included into this class along side regulation and rules as this is a gap in the disposal schedule. This makes more business sense and is more consistent with the new 1.7 class providing a lead or not-lead trigger for which this can be applied. Change of ID from 1.10 to 1.8 to re-align.

## **MoT/2.0 Sector Leadership and Support**

**1) Approved original details**

*N/A - addition*

**Proposed changes:**

*Class Title:* Stakeholder Relationships - Minor  
*Retention Period:* 10 years after date of last action  
*Class number:* MoT/2.6  
*Disposal Action:* D - Destroy

**Description of change**

Proposal of an addition of a new sub-class covering administrative records related to the establishment and maintenance of low-level relations with local government, central government, non-government, government committees and working parties who have a stake in NZ transport issues and therefore the Ministry of Transport.

**Justification**

While high level stakeholder relationships are covered in MoT/1.5 "Consultation with external organisations and wider transport sector" low level relationships cannot be assigned the same retention period as they are Limited Informational value.

**2) Approved original details**

*N/A - addition*

**Proposed changes:**

*Class Title:* International Transport Treaties (non-air)  
*Class number:* MoT/2.7  
*Retention Period:* 10 years after date of last action  
*Disposal Action:* A - Retain as Public Archive

**Description of change**

Addition of a new sub-class

**Justification**

A proposed addition to assign a sub-class to "International treaties which are non-air". Whilst the Ministry mainly focuses on air we also deal with Maritime treaties that are similar in nature. This category aligns with the Air category in MoT/2.8.

**3) Approved original details**

*NĀ - Movement of sub-class from MoT/4.1 to Mot/2.8*

**Proposed changes:**

*Class Title:* International Air Services Agreements and Treaties  
*Class number:* MoT/2.8  
*Retention Period:* 10 years after date of last action  
*Disposal Action:* A - Retain as Public Archive

**Description of change**

Movement of sub-class from MoT/4.1 to Mot/2.8

**Justification**

This is to align MoT/4.1 – "International Air Services Agreements and Treaties" with the new classes MoT/2.7 – "International Transport Treaties (non-air)" and MoT/2.9 – "International Facilitation".

**4) Approved original details**

*N/A - addition*

**Proposed changes:**

*Class Title:* International Facilitation  
*Class number:* MoT/2.9

*Retention Period:* 10 years after date of last action  
*Disposal Action:* : A - Retain as Public Archive

**Description of change**

Addition of a sub-class which relates to Ministry representation and input on International and Domestic facilitation meetings and discussions and includes records relating to NZ border control procedures.

**Justification**

This class is particularly focused on Air. The facilitation discussions are international high level discussion with participation from multiple international governments. NZ contributes directly to these discussions and therefore this schedule provides evidence of Ministry involvement in the wider transport sector.

**MoT/3.0 Funding and Revenue Management**

**1) Approved original details**

N/A - addition

**Proposed changes:**

*Class sub Title:* MOT/3.1 - 3.3 National Land Transport Fund

**Description of change**

Addition of new sub-title

**Justification**

A proposed addition of a new sub-title to split the class "Funding and Revenue Management" into "National Land Transport Fund" and "Road user charges".

**2) Approved original details**

N/A - addition

**Proposed changes:**

*Class sub Title:* MOT/3.4 - 3.6 Road User Charges

**Description of change**

Addition of new sub-title

**Justification**

A proposed addition of a new sub-title to split the class "Funding and Revenue Management" into "National Land Transport Fund" and "Road user charges".

**3) Approved original details**

N/A - addition

**Proposed changes:**

*Class Title:* Cost allocation Model (CAM) - Modifications to the CAM

*Class number:* MoT/3.4

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

**Description of change**

Addition of new sub-class

**Justification**

A proposed addition of the "Cost Allocation Model" sub-class. The cost allocation Model is a unique activity undertaken by the Ministry which distributes road costs. Modifications made to the model and the associated statistical modelling provide insight regarding the allocation specifics.

**4) Approved original details**

N/A - addition

**Proposed changes:**

*Class Title:* Administration and Improvement of the System - Policy on Administration of system

*Class number:* MoT/3.5

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

**Description of change**

Addition of new sub-class

**Justification**

A proposed addition of the sub-class relating to the Administration and Improvement of the Road User Charges System. RUC is an essential component in the gathering of revenue to assist the funding of Government land Infrastructure costs. This sub-class includes policy on the administration of the system and public/stakeholder consultation conducted in order to recalculate and modify the RUC system.

**5) Approved original details**

N/A - addition

**Proposed changes:**

*Class Title:* Road User Charges (RUC) System Reviews

*Class number:* MoT/3.6

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

**Description of change**

Addition of new sub-class

**Justification**

A proposed addition of the RUC system review sub-class. RUC is an essential component in the gathering of revenue to assist the funding of Government land Infrastructure costs. Ad-hoc reviews of the system are conducted which provide a snapshot of the process at a given time .

**MoT/4.0 Airports and Air Service Agreements**

**1) Approved original details**

*Class Title:* Airports and Air Services Agreements

*Class number:* MoT/4.0

**Proposed changes:**

*Class Title:* Airports

*Class number:* MoT/4.0

**Description of change**

Change of class title

**Justification**

A proposal to change in the class title to reflect the movement of MoT/4.1 to class 2.8. The new title "Airports" narrows the focus to align with the remaining sub-classes.

**2) Approved original details**

*Class Title:* International Air Services Agreements and Treaties

*Class number:* MoT/4.1

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

**Proposed changes:**

*Class Title:* International Air Services Agreements and Treaties  
*Class number:* MoT/2.8  
*Retention Period:* 10 years after date of last action  
*Disposal Action:* A - Retain as Public Archive

**Description of change**

Movement of sub-class from MoT/4.1 to Mot/2.8

**Justification**

A proposed movement of MoT/4.1 to Mot/2.8 to align MoT/4.1 – International Air Services Agreements and Treaties with the new class MoT/2.7 – International Transport Treaties (non-air) and MoT/2.9 – International Facilitation.

**MoT/5.0 Transport Sector Crown Entity Monitoring and Reporting**

**1) Approved original details**

*Class Title:* Input into Crown Entity Statements of Intent (SOI) and Business Planning  
*Class number:* MoT/5.2  
*Retention Period:* 10 years after date of last action  
*Disposal Action:* D - Destroy

**Proposed changes:**

*Class Title:* Input into Crown Entity Statements of Intent (SOI) and Business Planning and Annual Reports  
*Class number:* MoT/5.2  
*Retention Period:* 10 years after date of last action  
*Disposal Action:* D – Destroy

**Description of change**

Modification of sub-class to include annual reports

**Justification**

A proposed addition of “annual reports” to the sub-class description and to the examples because the Ministry makes comments on agency annual reports in the same manner as the currently included Sols.

**2) Approved original details**

*N/A – new addition*

**Proposed changes:**

*Class Title:* Sectorial Meetings - records related to meeting notes from attendance at sector meetings between the Ministry and other agencies.  
*Class number:* MoT/5.8  
*Retention Period:* 10 years after date of last action  
*Disposal Action:* D – Destroy

**Description of change**

Addition of new sub-class

**Justification**

A proposed addition of a “sectorial meetings” sub-class for meetings between the Ministry and agencies includes minutes, agendas and specific Ministry presentations and feedback. These meetings are not of ongoing value.

**MoT/6.0 Transport Sector Research and Analysis**

**Approved original details**

*N/A – new addition*

**Proposed changes:**

*Class Title:* Transport Sector original research data  
*Class number:* MoT/6.4  
*Retention Period:* 10 years after date of last action  
*Disposal Action:* D – Destroy

### **Description of change**

Addition of new sub-class

### **Justification**

A proposed addition of a "Transport Sector Research and Analysis" sub-class in order to cover research data which is compiled in-house such as vehicle crash statistics and various surveys. This is only raw data, outputs and reports are covered in MoT/6.1 and therefore this is only of limited ongoing value.

## **MoT/7.0 Coastal Cargo Authorisations**

### **1) Approved original details**

*Class Title:* Coastal Cargo Authorisations

*Class number:* MoT/7.0

### **Proposed changes:**

*Class Title:* Statutory powers of decision

*Class number:* MoT/7.0

### **Description of change**

Change of class title

### **Justification**

A proposed change of class title from "coastal cargo authorisations" to "statutory powers of decision". This change is proposed so that further statutory power sub-classes can be added.

### **2) Approved original details**

*N/A – new addition*

### **Proposed changes:**

*Class Title:* Powers of the Minister/Ministry of Transport under the Submarine Cables and Pipelines Protection Act

*Class number:* MoT/7.2

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

### **Description of change**

Change of class title

### **Justification**

A proposed addition of further statutory powers. Specifically the "Minister/Ministry of Transport under the Submarine Cables and Pipelines Protection Act". Follows the previously approved Coastal Cargo Authorities in that they should be retained in order that approvals or appointments come under Parliamentary scrutiny and also that the Ministry has carried out its function properly.

### **3) Approved original details**

*N/A – new addition*

### **Proposed changes:**

*Class Title:* Legalisation of Roads by the Minister of Transport and the Governor General

*Class number:* MoT/7.3

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

### **Description of change**

Addition of new sub-class

### **Justification**

A proposed addition of further statutory powers. Specifically the "legalisation of roads by the Minister of Transport and the Governor General". Follows the previously approved Coastal Cargo Authorities in that they should be retained in order that road

legalisations come under Parliamentary scrutiny and also that the Ministry has carried out its function properly.

#### 4) **Approved original details**

*N/A – new addition*

##### **Proposed changes:**

*Class Title: Legalisative stoppings of roads*

*Class number: MoT/7.4*

*Retention Period: 10 years after date of last action*

*Disposal Action: A - Retain as Public Archive*

##### **Description of change**

Addition of new sub-class

##### **Justification**

A proposed addition of further statutory powers. Specifically the “legalisative stoppings of roads”. Follows the previously approved Costal Cargo Authorities in that they should retained in order that road stoppings come under Parliamentary scrutiny and also that the Ministry has carried out its function properly.

### **MoT/9.0 Corporate Governance, Strategy and Policy**

#### **Approved original details**

*Class Title: Accountability Planning and Reporting - records of strategic planning and reporting activities*

*Class number: MoT/9.1*

*Retention Period: 10 years after date of last action*

*Disposal Action: A - Retain as Public Archive*

##### **Proposed changes:**

*Class Title: Accountability Planning and Reporting - records of strategic planning and reporting activities*

*Class number: MoT/9.1*

*Retention Period: 10 years after date of last action*

*Disposal Action: A - Retain as Public Archive*

##### **Description of change**

Addition of performance agreements and letters of expectation (MoT to SSC) within the example categories

##### **Justification**

A proposed addition of “performance agreements” and “letters of expectation (MoT to SSC)” within the example categories. Performance agreements and letters of Expectation between MoT and SSC are important accountability reporting that have not been covered elsewhere and need to be specifically defined because they are an important business process.

### **MoT/10.0 Emergency Management**

#### 1) **Approved original details**

*N/A – new edition*

##### **Proposed changes:**

*Class Title: Emergency Management*

*Class number: MoT/10.0*

##### **Description of change**

Addition of a new class for Emergency management.

##### **Justification**

A proposed addition of a new class for Emergency Management. An increasingly important role of the Ministry of Transport is to help lead the transport sector in a



National Emergency. The addition of Emergency Management is closely aligned with the Local Government GDA classes.

**2) Approved original details**

*N.A – new edition*

**Proposed changes:**

*Class Title:* Strategy and Planning

*Class number:* MoT/10.1

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

**Description of change**

Addition of a new sub-class for the process surrounds the strategy and planning for emergencies.

**Justification**

A proposed addition of a new sub-class of Emergency Management relating to process surrounding the strategy and planning for emergencies. This is closely aligned with the Local Government GDA and provides evidence of Ministry involvement in the wider transport decisions.

**3) Approved original details**

*N.A. – new edition*

**Proposed changes:**

*Class Title:* Exercises

*Class number:* MoT/10.2

*Retention Period:* 10 years after date of last action

*Disposal Action:* D – Destroy

**Description of change**

Addition of a new sub-class for the process that surrounds the Emergency management exercises co-ordinated and/or supported by the Ministry (excludes reports)

**Justification**

A proposed addition of a new sub-class of Emergency Management relating to management exercises co-ordinated and/or supported by the Ministry (excludes reports). This is closely aligned with the Local Government GDA. This information is of business value for reference purposes and comparison in the short-term but does not have long term ongoing informational value to the Ministry.

**4) Approved original details**

*N.A – new edition*

**Proposed changes:**

*Class Title:* Exercise reviews/evaluations/reports

*Class number:* MoT/10.3

*Retention Period:* 10 years after date of last action

*Disposal Action:* A - Retain as Public Archive

**Description of change**

Addition of a new sub-class for the exercise reviews evaluations and reports.

**Justification**

A proposed addition of a new sub-class of Emergency Management which relates to exercise reviews, evaluations and reports. This is closely aligned with the Local Government GDA and provides evidence of the Ministry's significant involvement in the wider transport sector.

**5) Approved original details**

*N.A – new edition*

**Proposed changes:***Class Title:* Real life events/operations*Class number:* MoT/10.4*Retention Period:* 10 years after date of last action*Disposal Action:* A - Retain as Public Archive**Description of change**

Addition of a new sub-class for records related to the documentation of real life emergency management operations co-ordinates and/or supported by the Ministry

**Justification**

A proposed addition of a new sub-class of Emergency Management relating to records related to the documentation of real life emergency management operations co-ordinates and/or supported by the Ministry. This is closely aligned with the Local Government GDA and provides evidence of Ministry involvement in the wider transport decisions.

**3. Recommendation**

**The criteria for recommending the retention of public records as public archives are:**

A1	Records providing evidence of the statutory roles, bodies and core functions of the Ministry
A2	Records providing evidence and accountability in development of policy, legislation, rules and regulations and the execution of management decisions of the Ministry
A3	Records of informational value illustrating the Ministry's own history and/or significant public, national and cultural events
A4	Records that provide evidence of the Ministry's significant involvement in wider transport sector policy, legislation, rules and regulations development and/or decisions

**The criteria for recommending the destruction of records are:**

D1	Records of a transitory and/or facilitative nature; ie dealing with low level procedural matters or routine administrative activities
D2	Duplicate records or reference material that can be obtained from other sources (e.g. other agencies or websites)
D3	Records are no longer of any ongoing informational value to the Ministry (Note: these records are generally retained for longer periods than those records that meet the criteria detailed in D1)
D4	Records have <b>been superseded</b> and no longer have any informational, legal or historical value to the Ministry or its stakeholders

**Applied Recommendations****MoT/1.0 Policy Legislation, Rules and Regulations**

Amendment no	Record no	Subject	Disposal criteria
1	MoT/1.3	Policy Development and review where MoT is not the lead agency but is a stakeholder	D3
2	MoT/1.7	Development, implementation and administration of transport sector related legislation, regulations and rules where MoT is the lead agency	A1, A2
3	MoT/1.8	Development, implementation and administration of transport sector related legislation, regulations and rules where MoT is not the lead agency	D1

### MoT/2.0 Sector Leadership and Support

Amendment no	Record no	Subject	Disposal criteria
1	MoT/2.6	Stakeholder Relationships - Minor	D3
2	MoT/2.7	International Transport Treaties (non-air)	A1
3	MoT/2.8	International Air Services Agreements and Treaties	A1, A2
4	MoT/2.9	International Facilitation	A4

### MoT/3.0 Funding and Revenue Management

Amendment no	Record no	Subject	Disposal criteria
3	MoT/3.4	Cost allocation Model (CAM) - Modifications to the CAM	A1, A2
4	MoT/3.5	Administration and Improvement of the System	A2
5	MoT/3.6	RUC System Reviews	A2

### MoT/5.0 Transport Sector Crown Entity Monitoring and Reporting

Amendment no	Record no	Subject	Disposal criteria
1	MoT/5.1	Input into Crown Entity Statements of Intent (SOI) and Business Planning and Annual Reports	D3
2	MoT/5.8	Sectorial Meetings	D3

### MoT/6.0 Transport Sector Research and Analysis

Amendment no	Record no	Subject	Disposal criteria
1	MoT/6.4	Transport Sector original research data	D3

### MoT/7.0 Coastal Cargo Authorisations

Amendment no	Record no	Subject	Disposal criteria
2	MoT/7.2	Powers of the Minister/Ministry of Transport under the Submarine Cables and Pipelines Protection Act	A1
3	MoT/7.3	Legalisation of Roads by the Minister of Transport and the Governor General	A1
4	MoT/7.4	Legislative stoppings of roads	A1

### MoT/9.0 Corporate Governance, Strategy and Policy

Amendment no	Record no	Subject	Disposal criteria
1	MoT/9.1	Accountability Planning and Reporting	A1

## MoT/10.0 Emergency Management

Amendment no	Record no	Subject	Disposal criteria
1	MoT/10.1	Strategy and Planning	A4
2	MoT/10.2	Exercises	D3
3	MoT/10.3	Exercise reviews/evaluations/reports	A4
4	MoT/10.4	Real life events/operations	A4

The statement below is a generic addition to all disposal schedule amendments and contains caveats on the operation of the amended disposal authority. It gives the specific conditions under which the disposal authority may operate, as well as how long it is valid for.

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 from the date of signing for a period contiguous with the original disposal authority being amended, unless previously authorised by the Chief Archivist.

### Contact Details:

For further information or advice on the appraisal process or regarding disposal recommendations, contact Archives New Zealand Appraisal Section at [appraisal@archives.govt.nz](mailto:appraisal@archives.govt.nz)

For further information or advice on the transfer process, contact Archives New Zealand Arrangement and Description Section at [transfer@archives.govt.nz](mailto:transfer@archives.govt.nz)

## **Appendices 1-6**

[Removed]