

Appraisal Report

Amendment to an Existing Disposal Authority

Appraisal Report

Amendment to an Existing Disposal Authority

Central Agencies Shared Services

File/Document ID	2015/4083, A852872
Agency	Central Agencies Shared Services (CASS) on behalf of the Department of Prime Minister and Cabinet (DPMC), Ministry of Civil Defence & Emergency Management (MCDEM)
Contact Name and Details	[Details removed]
Date	23 October 2015
Disposal Authority to be changed	DA582

Purpose/Circumstances
<p>In 2014 the Ministry of Civil Defence & Emergency Management (MCDEM) became part of the Department of Prime Minister and Cabinet (DPMC). Information and records management services for DPMC are provided through the Central Agencies Shared Services (CASS) arrangement.</p> <p>In 2013 a retention and disposal schedule covering all agencies that are supported by CASS was developed and approved. It is proposed that an amendment to that disposal authority (DA582) is made to ensure that the records of MCDEM have appropriate disposal coverage.</p> <p>This appraisal report outlines the proposed amendments to DA582 to include MCDEM records. To ensure consistency of interpretation and implementation of the amended disposal authority the same disposal criteria used in the formation of DA582 will be used for the MCDEM records. Some additional functions for MCDEM have been added to reflect that it is now part of DPMC. See full list of criteria as Appendix 1.</p> <p>The principle of significant versus routine that was utilised in the original development of DA582 has continued to be followed for this amendment to ensure consistency. One of the difficulties of expressing disposal actions is to adequately define the notion of significant records from more routine or administrative level records. The underlying principle followed in DA582 is that unless specifically stated otherwise, all sub-classes of records are the 'significant' ones pertaining to that function or activity.</p> <p>The routine or administrative level records for each class have been captured in a recurring sub-class labelled</p>

routine administrative records. This standard sub-class has been included for several reasons:

- To support the idea that all other sub-classes in each class cover 'significant' records by making the routine and administrative records more visible through their own sub-classes
- To enable simpler implementation for Central Agencies staff by having specific reference to routine and administrative records
- To support the use of GDA 7 for 'housekeeping' records by using its principle for each class

Staff within MCDEM and CASS Information Services participated in the development of this amendment. In addition, feedback on the draft amendment was sought from the following agencies/organisations:

- Accident Compensation Corporation (ACC)
- Auckland University of Technology (AUT)
- Canterbury Earthquake Recovery Authority (CERA)
- Canterbury University
- Earthquake Commission
- GNS Science
- Local Government New Zealand
- Massey University
- National Institute of Water and Atmospheric Research (NIWA)
- New Zealand Defence Force
- New Zealand Fire Service
- New Zealand Police
- Prime Minister's Office
- Red Cross

Feedback was received from four of the organisations consulted with. Namely; ACC, University of Canterbury (CEISMIC programme), CERA, New Zealand Police.

Substantive feedback received was from the CEISMIC programme at the University of Canterbury. For sub-class 20.12 Hazard risk assessment, the feedback argued that the disposal action should be retain as public archive because the records in that class would provide "an opportunity to chart over the longer term risk assessment methodologies, their effectiveness or otherwise, and the changing view of risk (or the identification of new ones etc...)" They also considered that from a research point of view across a number of areas, the content would be extremely valuable.

Similarly with sub-class 20.14 Research raw data, the CEISMIC programme feedback was that they felt that the records in the sub-class would provide a valuable resource for research "on the basis that it can be reused, mashed or made available under open access/open data philosophies". They did also note that the data would need to be well described and reusable with appropriate metadata if it were to be retained.

As a result of the feedback provided above, changes to the originally proposed disposal actions for two sub-classes have been made (class 20.12 and class 20.14) changing them from Destroy to Retain as Public Archives.

Description of Amendment

The amendment sought for DA582 is the inclusion of a new class (class 20) to provide disposal coverage over records of functions that are unique and specific to MCDEM activities.

Where MCDEM carries out activities that are also carried out by other parts of DPMC, State Services Commission or the Treasury the records of those activities will be covered by existing classes in DA582. For example – any records of policy development and advice to government will be covered by the existing Class 2 in DA582. Class

1, 2 and 9 of DA582 have been included in the attached spreadsheet for convenience only, to show which other classes from the existing DA will be applied to relevant MCDEM records.

The amendment therefore only pertains to records of activities not already covered by DA582 – listed as Class 20 for DA582.

New class – Class 20 CIVIL DEFENCE EMERGENCY MANAGEMENT OPERATIONS

Description

This new class (made up of 22 sub-classes) covers records documenting the operational aspects of civil defence emergency management carried out by MCDEM. This includes sub-classes for:

- Event response
- CDEM exercises
- CDEM coordination with CDEM Groups and local authorities
- Engagement and liaison with agencies and organisations
- National Crisis Management Centre
- Warning system records
- Hazard risk assessment
- Research management
- Research raw data
- Development of publications and guidance
- Public Education Campaigns
- Capability development
- Monitoring and evaluation
- Civil Defence Emergency Management Awards
- Routine administrative records

20.1 and 20.2 - Event response

One of the primary functions of the Ministry is to manage the central government response for large scale civil defence emergencies that are beyond the capacity of local authorities. Event response records document the response by MCDEM to specific emergencies and events. The emergencies or events may be national, regional or international events. Example events are:

- Canterbury earthquakes
- Ebola outbreak, West Africa
- Edgumbe earthquakes
- Tropical cyclone Pam

There are two sub-classes with significant records and routine records separated as they require different disposal actions. Example significant records are:

- Action plans
- Situation reports
- Minutes from controller/decision-making meetings
- Post event reports

- Corrective action plans- significant records

Example routine records relating to event response are administrative correspondence and emails.

20.3 and 20.4 - CDEM exercises

CDEM exercises are activities that consider or simulate a real life situation so that an agency is able to review or test procedures and practice participants in defined roles. Exercising measures the effectiveness of plans and allow staff an opportunity to practice their skills against a scenario or in a simulated emergency environment. They are run to ensure that New Zealand is in a state of readiness for any event that may occur. Exercises can be developed and run by the Ministry, or in partnership with other organisations (interagency exercises) to build readiness and enhance capability. Records of exercises are those that document the development and conducting of exercises (whether at national or regional level). Example exercises include:

- Exercise Tangaroa 2010
- Exercise Pahu 2013
- Exercise Te Ripahapa 2013
- Exercise Rangatira 2014

There are two sub-classes with significant records and routine records separated as they require different disposal actions. Example significant records are:

- Planning documents
- Exercise instructions
- Post exercise reports
- Corrective action plans

Example routine records relating to exercises are administrative correspondence and emails.

20.5 and 20.6 - CDEM coordination with CDEM Groups and local authorities

To support CDEM capability, planning and response, MCDEM works with CDEM Groups and local authorities across the country. There are two sub-classes with significant records and routine records separated as they require different disposal actions. Significant records are those that document the relationships, support and advice provided to CDEM groups and local authorities to assist with planning at a local and regional level.

Example significant records are:

- CDEM Group plans
- CDEM Group meeting records
- Joint Committee papers
- Ministers comments on plans
- Correspondence of a significant nature between MCDEM, Groups and local authorities

Example routine records include advice on plans, routine correspondence between MCDEM, Groups and local authorities.

20.7 and 20.8 - Engagement and liaison with agencies and organisations

MCDEM engages with other agencies (including voluntary, private and overseas organisations) to provide advice, work on joint initiatives, support policy development, and undertake planning. Example agencies/organisations include:

- New Zealand Police
- Accident Compensation Corporation
- Red Cross
- Lifeline utilities

There are two sub-classes with significant records and routine records separated as they require different disposal actions. Example significant records are:

- Provision of advice
- Memoranda of understanding
- Agreements
- Terms of reference
- Committee records

Example routine records relating to engagement with other agencies and organisations are administrative correspondence and emails.

20.9 and 20.10 - National Crisis Management Centre

The National Crisis Management Centre (NCMC) facilitates the Central Government crisis management arrangements and offers inter-agency and scalable operability to deal with any type of emergency. One of the key functions of the Ministry is to ensure that the Centre is in a continued state of readiness.

The NCMC is situated below ground in the Beehive (Parliament buildings). Its design is aimed at maximum self-sustainability in the event of a major Wellington earthquake or other local emergencies and service failures.

These measures and facilities include:

- Seismic protection to withstand earthquake loadings associated with a MMX (Modified Mercalli Ten) event
- Emergency water supply
- Emergency power supply
- An independent IT network and emergency management information system supported by its own servers and back-up capabilities
- An independent telecommunications system, backed up by alternative communication links such as microwave and satellite systems
- An independent air conditioning and filtering system
- Security systems
- Fully equipped generic operations areas, offices and meeting/conference facilities
- A fully equipped cafeteria capable of catering for up to 100 persons at a time
- Some basic emergency food supplies are carried

- Sleeping accommodation, ablution and first aid facilities

When activated for an emergency, the crisis national management centre (primarily staffed by MCDEM Wellington based personnel and officers from relevant support agencies when MCDEM is the lead agency):

- Monitors and assesses emergencies
- Collects, analyses and disseminates information
- Actions and coordinates national support to local level CDEM response
- Accommodates, informs and takes direction from meetings of Central Government crisis management structures
- During a state of national emergency, directs the entire response to the event

There are two sub-classes with significant records and routine records separated as they require different disposal actions. Significant records are those that document the management and oversight of the National Crisis Management Centre and its operations, systems, processes and staffing. Example records include:

- Records documenting the establishment of the Crisis Centre
- Reviews of the Crisis Centre
- Monitoring records
- Lessons learnt
- Records held in the Emergency Management Information System (EMIS) of events

Example routine operational and administrative records relating to the National Crisis Management Centre are:

- Contracts for routine services
- Rosters
- Equipment and supplies, food supplies, cleaning records

20.11 - Warning system

New Zealand is a member of the Pacific Tsunami Warning System (an international system under the auspices of the Intergovernmental Oceanographic Commission of UNESCO) designed to provide timely and effective information and warnings about tsunamis generated in the Pacific Basin. MCDEM is the agency responsible for disseminating national tsunami advisories and warnings to the communities of New Zealand. The Pacific Tsunami Warning and Mitigation System was established in 1965 in response to the 1960 Chile tsunami which resulted in casualties across the Pacific. The system now provides coordinated tsunami threat information to 46 countries including New Zealand. MCDEM recently took part in the 50th anniversary celebrations for the system. Records included in this class are:

- email and text warnings to registered agencies/local authorities
- contact lists

20.12 - Hazard risk assessment

Hazard risks assessment records are those documenting identified hazards and analysis of those hazards on a national, regional and local basis. Information commissioned or collected on a hazard or risk informs policy development and operational arrangements, and advice to other CDEM stakeholders. Assessments and research

into hazards, risks, vulnerabilities and disaster resilience are undertaken to guide informed decision-making. Developing a comprehensive understanding of New Zealand's hazardscape is an essential step in identifying and prioritising risk reduction activities, alongside of readiness, response, and recovery planning.

20.13 - Research management

Records of research carried out by the Ministry, completed in partnership with other agencies, or contracted by the Ministry about emergency management topics. For example, Tsunami Risk Management, Tsunami modelling research. Example records include:

- Data analysis
- Final reports
- Research terms of reference

20.14 - Research raw data

Raw data collected and collated to support research activities. Includes associated metadata. For example the data gathered and collated during the preparation of research such as the:

- National Hazardscape Report
- Review of Tsunami Hazard in New Zealand
- Tsunami modelling data

20.15 - Development of publications and guidance

Records of the development of publications, guidance, procedures, forms and supporting information relating to emergency management. Example publications include:

- NZ Report to the Intergovernmental Coordination Group of the Pacific Tsunami Warning and Mitigation and System
- Natural Hazard Risk Communication Toolbox
- Tsunami Warning Sirens Standard

20.16 and 20.17 - Public Education Campaigns

Records of the development and management of external education programmes and social marketing campaigns such as the "Shake Out", or "Get Ready Get Through" campaigns. There are two sub-classes with significant records and routine records separated as they require different disposal actions. Example significant records are:

- Education programme planning
- Liaison with stakeholders
- Campaign reviews

- Advertising briefs
- Finals of the campaign creative collateral/materials such as campaign posters and print materials, TV advertisements/online advertisements, photographs/images used in campaign, education websites-significant records

Example routine records relating to public education campaigns are:

- Programme financial management
- Contract arrangements with organisations such as advertising agencies, print companies, creative agencies
- Project calendar
- Travel arrangements
- Meeting arrangements
- Drafts of campaign creative collateral/materials

20.18 and 20.19 - Capability development

Records of the development of civil defence emergency management capability in local authorities and agencies. Includes development and delivery of training courses such as:

- Public Information Management
- Supplementary Staff Training
- Controller Programme

There are two sub-classes with significant records and routine records separated as they require different disposal actions. Example significant records are:

- Capability framework development and review
- Competency framework development and review
- Training framework and final training course materials

Example routine records relating to capability development are:

- Course materials
- Learning management system information
- Participant records

20.20 - Monitoring and evaluation

Records created to support the monitoring and evaluation programme of work which at a high level is about whether the overall strategic framework for civil defence emergency management is operating in New Zealand as expected. Example records include:

- Monitoring and Evaluation Reports for Groups
- Capability assessment tool

20.21 - Civil Defence Emergency Management Awards

The Civil Defence Emergency Management (CDEM) Awards Programme was introduced by the Minister of Civil Defence in 2009 to recognise career and volunteer personnel within the New Zealand CDEM sector. The Programme also serves to raise awareness of CDEM efforts across New Zealand. CDEM Awards are intended for those people, group or organisations that have made significant contributions to CDEM in New Zealand and deserve recognition at the national level. This sub-class covers records about the oversight of the CDEM awards. Such as, the establishment of the CDEM awards, framework/criteria for awarding, summary information about successful and unsuccessful nominations.

20.22 Routine administrative records

This sub-class has been included to ensure consistency with the other classes in DA 582. It covers routine administrative records created to support all other sub-classes in the Civil Defence Emergency Management Operations class. This includes:

- Routine correspondence
- Low-level internal memos/correspondence
- Minor drafts not covered by any of the other sub-classes
- Information received for reference purposes
- Duplicates
- Working papers

Value Statement

The records in all sub-classes that are of a significant nature are recommended for retention as public archives. Using the appraisal criteria from the development of the original disposal authority the justification is primarily that they provide evidence of core functions of the Ministry, namely, civil defence emergency management advice and coordination, management of the National Crisis Centre and National Warning System, civil defence emergency management capability development.

Since the original disposal authority was developed Archives New Zealand have released a set of standard criteria which can also be applied to support the retention of those classes recommended for retention as public archives in the table below. In particular, criteria 6 of the Archives New Zealand Appraisal Statement applies. Records in this new class that are recommended for retention as public archives are “**Records that will substantially contribute to knowledge and understanding of New Zealand, its history, geography, society, culture and achievements and New Zealanders’ sense of their national identity.**” They will do that by increasing our understanding of civil defence emergency events, how we as a nation responded to them, how we planned our future responses and built capability in our communities. They will also provide an understanding about how the civil defence emergency framework in New Zealand worked and its success, plus how we worked on the international stage through initiatives such as the Pacific Tsunami Warning System and National Warning System. In addition the records recommended for retention provide valuable research material for the CDEM sector.

The routine administrative and operational records (for all sub-classes as identified) are recommended for destruction as they are of a low-level nature only and of limited business value.

Disposal recommendations

Records recommended for retention as public archives:

Number	Sub-class	Disposal criteria
20.1	Event response - significant records	A7
20.3	CDEM exercises - significant records	A7
20.5	CDEM coordination with CDEM Groups and local authorities - significant records	A8
20.7	Engagement and liaison with agencies and organisations - significant records	A8
20.9	National Crisis Management Centre - significant records	A7
20.12	Hazard risk assessment	A7
20.13	Research management	A7
20.14	Research raw data	A7
20.16	Public Education Campaigns - significant records	A7
20.18	Capability development - significant records	A7
20.20	Monitoring and evaluation	A4 and A7

Records recommended for destruction:

Number	Sub-class	Disposal criteria
20.2	Event response - routine records	D2
20.4	CDEM exercises - routine records	D2
20.6	CDEM coordination with CDEM Groups and local authorities - routine records	D2
20.8	Engagement and liaison with agencies and organisations - routine records	D2
20.10	National Crisis Management Centre - routine operational and administrative records	D2
20.11	Warning system records	D2
20.15	Development of publications and guidance	D2
20.17	Public Education Campaigns - routine records	D2
20.19	Capability development - routine records	D2

20.21	Civil Defence Emergency Management Awards	D2
20.22	Routine administrative records	D1

Access Recommendations

It is not expected that there will be any access restrictions on records once they are transferred to Archives New Zealand.

Appendices

Appendix 1 – Disposal criteria from DA582

Appendix 2 – Spreadsheet showing new class in same format as existing DA582

Appendix 1 - Disposal criteria

The criteria listed below are those that were used for DA582. To ensure consistency they have been applied to the new class covered by this amendment.

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

Criterion number	Description
A1	The records provide proof of a particular event or agreement, document the rights/legal interests/ obligations of the Government, Treasury, State Services Commission, Department of Prime Minister and Cabinet, or the citizens of New Zealand
A2	The records provide evidence of the structure, organisation, planning and decision making of Treasury, State Services Commission or the Department of Prime Minister and Cabinet i.e. 'how' the agency was managed
A3	The records provide evidence of the accountability, governance or strategic management of Treasury, State Services Commission or the Department of Prime Minister and Cabinet i.e. what the agency was responsible for
A4	The records provide evidence of and information about policy development and advice provided to government by Treasury, State Services Commission or the Department of Prime Minister and Cabinet
A5	The records provide evidence of and information about core Treasury functions including: <ul style="list-style-type: none"> • budget and vote management policies and processes • fiscal management and reporting activities • fiscal response and coordination activities in response to significant national events • monitoring of crown owned companies • financial operations and debt management • macroeconomic and economic research • appointment of Board members of Crown Companies and Crown Entities
A6	The records provide evidence of and information about core State Services Commission functions including: <ul style="list-style-type: none"> • departmental performance investigations • provide evidence of the administration of the Cabinet fees framework • consultation and advice provided over collective employment agreements • promotion and development of capability within the state sector • appointment and employment of Chief Executives • advice provided to Crown Entity Boards • development and promotion of workforce and employment policies and standards across the state sector • administering the State Sector Retirement Savings Scheme
A7	The records provide evidence of and information about particular Department of Prime Minister and Cabinet functions including: <ul style="list-style-type: none"> • policy development and advice to the Prime Minister

	<ul style="list-style-type: none"> • support provided to the Governor General • civil defence emergency management advice and coordination • management of the National Crisis Centre and National Warning System • civil defence emergency management capability development
A8	The records provide evidence of the stakeholder and international relationships managed by Treasury, State Services Commission or the Department of Prime Minister and Cabinet

The criteria for recommending the destruction or discharge of public records are:

Criterion number	Description
D1	The records concern routine administrative matters only, including duplicate records that can be obtained from other sources
D2	The records concern routine operational matters only
D3	The records contain information summarised, more complete and/or more readily accessible in other records recommended for retention or elsewhere, including publication to the web or in hard-copy

Appendix 2 – Class 20 in spreadsheet form

Please see separate MS Excel document