

RETENTION AND DISPOSAL SCHEDULE APPRAISAL REPORT

**Covering Records of the Central
Agencies – Department of Prime
Minister and Cabinet, State Services
Commission, Treasury**

September 2013

TABLE OF CONTENTS

1	Executive summary	4
2	Scope of retention and disposal schedule	5
2.1	Scope	5
2.2	Project Background.....	5
3	Public office (agency) information.....	7
3.1	CASS.....	7
3.2	Department of Prime Minister and Cabinet	9
3.3	State Services Commission	12
3.4	The Treasury	15
4	Methodology.....	17
4.1	Functional Analysis	17
4.2	Relevant precedent.....	18
4.3	Consultation.....	22
4.4	External consultation.....	24
4.5	Format of the schedule	25
4.6	Disposal criteria	26
4.7	Principle of significant versus routine	27
5	Description of classes	29
5.1	Class no. 1 – Accountability, Governance and Strategic Management.....	29
5.2	Class no. 2 – Policy Development and Advice to Government.....	33
5.3	Class no. 3 – Budget and Vote Management.....	37
5.4	Class no. 4 – Fiscal Management and Reporting.....	42
5.5	Class no. 5 – Significant Event Coordination.....	45
5.6	Class no. 6 – Crown Ownership Monitoring	48
5.7	Class no. 7 – Financial Operations and Debt Management.....	51
5.8	Class no. 8 – Macroeconomic and Economic Research.....	56

5.9	Class no. 9 – International Relationships	58
5.10	Class no. 10 – Departmental Performance Investigations	61
5.11	Class no. 11 – Administration of Cabinet Fees Framework	63
5.12	Class no. 12 – Consultation and Advice Over Collective Employment Agreement 65	
5.13	Class no. 13 – Promotion and Development of Capability of State Sector	67
5.14	Class no. 14 – Appointment and Employment	72
5.15	Class no. 15 – Develop and Promote Workforce and Employment Policies and Standards.....	76
5.16	Class no. 16 – State Sector Retirement Savings Scheme Administration	78
5.17	Class no. 17 – Advice to the Prime Minister	80
5.18	Class no. 18 – Supporting the Governor General	82
6	Access Restrictions	88
7	Deferral of Deposit	88
8	Appendix One – Retention and Disposal Spread-sheet.....	89
9	Appendix Two – Description of Core Electronic Repositories	90

1 Executive summary

This records retention and disposal schedules applies to records of the three Central Agencies.

The three Central Agencies – the State Services Commission (SSC), Treasury, and Department of the Prime Minister and Cabinet (DPMC) – are working together as a “Corporate Centre” to lead the State Sector to deliver better public services.

The Central Agencies Shared Services Unit (CASS) has been established to centralise a number of corporate functions of the Treasury, the State Services Commission and the Department of Prime Minister and Cabinet.

CASS is currently undertaking a Recordkeeping Compliance and Reporting Programme of Work. One of the key projects of the work programme is to review and revise the existing retention and disposal schedules covering functions serviced by CASS. A shared retention and disposal schedule combines the existing disposal authorities for the Treasury and State Services Commission functions, and identifies and includes certain functions of the Department of Prime Minister and Cabinet. The retention and disposal schedule will be used to sentence and dispose of legacy records and to manage records currently being created by the three Central Agencies.

Of the Central Agencies State Services Commission and Treasury have previously had approved retention and disposal schedules that have allowed for the regular disposal of records. Both of those schedules have expired.

This schedule applies to public records in any format pertaining to the functions of The Treasury, State Services Commission and certain functions of the Department of Prime Minister and Cabinet (namely Policy Advisory Group, Office of the Executive, Government House, and the corporate records common to all of DPMC). It covers current, non-current and yet to be created records. This includes both paper based and electronic records from the three Central Agencies and their predecessors.

The schedule consists of eighteen classes of records covering the core business functions of the Central Agencies. The primary agency carrying out the function each class relates to has been identified.

2 Scope of retention and disposal schedule

2.1 Scope

2.1.1 In scope

This schedule applies to public records in any format pertaining to the functions of The Treasury, State Services Commission and certain functions the Department of Prime Minister and Cabinet (namely Policy Advisory Group, Office of the Executive, and Government House and the corporate records common to all of DPMC). It covers current, non-current and yet to be created records. This scope includes both paper-based and electronic records from the three Central Agencies and their predecessors.

2.1.2 Out of scope

Records excluded from the retention and disposal schedules are those relating to the core business functions of a number of Department of Prime Minister and Cabinet business units. They are:

- Cabinet Office
- National Assessments Bureau
- Security and Risk Group
- Intelligence Coordination Group
- National Cyber Policy Office.

Records of the Cabinet Office are excluded as this function has traditionally been covered by a separate disposal authority, which is in the process of being updated by the Cabinet Office.

Records of the other excluded DPMC functions are excluded because of their nationally sensitive nature. Separate disposal authorities will be developed covering those functions.

Also out of scope of the retention and disposal schedule are any records covered by the existing Archives New Zealand General Disposal Authorities numbers 6 and 3.

2.2 Project Background

The three central agencies – the State Services Commission, Treasury, and Department of the Prime Minister and Cabinet – are working together as a “Corporate Centre” to lead a State sector that New Zealanders can trust, and that delivers better public services, including outstanding results and value for money. This requires the Corporate Centre to take an active role across the sector, and provide system-level coordination, a clear focus and strong leadership. The Corporate Centre works together, and uses the three agencies’ respective strengths and collective expertise to support the State sector to deliver better outcomes for New Zealanders.

The Central Agencies Shared Services Unit (CASS) has been established to centralise a number of corporate functions of the Treasury, the State Services Commission and the Department of Prime Minister and Cabinet.

CASS is currently undertaking a Recordkeeping Compliance and Reporting Programme of Work. One of the key projects of the work programme is to review and revise the existing retention and disposal schedules covering functions serviced by CASS.

While it would have been possible to review and revise existing schedules for each of the agencies separately, CASS decided to take the opportunity to develop a single retention and disposal schedule that covers the functions of Treasury and SCC and some of the functions within DPMC. This single schedule will be administered by CASS on behalf of the Central Agencies. The controlling agency for each class of records has been identified to ensure that the responsibility for managing access and restrictions to archival value records is properly assigned.

A single shared schedule will not only be easier to administer but also aligns with the move towards greater sharing of functions across the Central Agencies. It also delivers a cross-functional approach to identifying records of high value.

3 Public office (agency) information

The section below outlines agency information for each of the three agencies. It is based primarily on how they describe their functions and structures on their websites and includes details of the Central Agencies Shared Services business unit, which is responsible for the management of information and records for the Central Agencies.

3.1 CASS

The Central Agencies Shared Services (CASS) business unit was established in March 2012 and carries out some functions formerly performed by the Department of the Prime Minister and Cabinet (DPMC), the State Services Commission (SSC) and the Treasury. Functions managed within the unit for the Central Agencies are:

- Finance
- Human Resources
- Information Management
- Information Technology.

CASS exists to reduce duplication within the Central Agencies while allowing for better resilience across roles and strengthened performance, and to provide efficiency improvements and effectiveness of functions. CASS is governed as a joint venture between the three agencies and collaborates with its central agency partners to deliver these benefits. See Appendix 2 for a list of all electronic records repositories supported by CASS for the Central Agencies.

3.1.1 Recordkeeping Environment

As part of the establishment of the central information management function for the Central Agencies a Public Records Act Baseline Assessments & Information Health Check was required to assess the record-keeping practices of the three agencies. The purpose of the assessment was to provide a baseline position on records management that could be used to give Senior Managers and other key audiences an understanding of the three Central Agencies' current compliance status, highlighting areas of risk and indicating opportunities for improvement.

CASS is currently working on developing a single recordkeeping framework for the central agencies. One of the initial aims of CASS in supporting the centralisation and improvement of recordkeeping tools, processes and systems for the Central Agencies was this joint retention and disposal authority for approval by the Chief Archivist as required by the Public Records Act 2005 to support the efficient disposal of public records.

CASS Information Management delivers information and recordkeeping services for the three agencies. The team comprises a Team Leader, Collection Advisor, Information Administrators, Records Advisors and Research Advisor. Services provided to the Central Agencies by the team include:

- Management and distribution of information resources.
- Hard-copy records management storage and access.

- Records management framework design, maintenance, application and training.
- Research
- IM strategy, planning, compliance and advice.

CASS is undertaking an information systems audit that will identify all systems where records are held and ensure that the right controls are in place to manage those records through their life cycle. Where systems are determined to hold records of long-term value (and where those records are likely to be retained by an agency) controls will include long-term digital preservation considerations.

3.2 Department of Prime Minister and Cabinet

Name of public office:	Department of Prime Minister and Cabinet
Alternative name:	DPMC
Archives New Zealand Agency Code	AAKU
Public office's physical location:	Wellington
Year established:	1990
Year disestablished:	Current

3.2.1 Functions and Organisational Structure

The Department of Prime Minister and Cabinet exists to support the effective conduct of executive government by the Prime Minister, the Governor-General and members of the Cabinet. The Department's principal role is provision of advice, on a daily basis, to the Prime Minister and Cabinet on the wide range of complex issues that confront the Government, particularly its policy priorities.

DPMC also provides impartial advice, through the Clerk of the Executive Council and Government House, to the Governor-General.

In addition DPMC plays a role in coordinating and leading the work of government departments and agencies, and other entities as appropriate, to ensure that decision making takes account of all relevant viewpoints and that advice is as coherent and complete as possible.

DPMC provides assistance to the Prime Minister in three broad categories.

- *Issues that are the direct responsibility of the Prime Minister.* This entails the provision of free and frank advice and support on constitutional issues relating to the conduct of executive government, including during elections and transitions between administrations, and issues associated with the operation of the Cabinet system.
- *Issues that arise across the full range of government business.* DPMC provides a continuous flow of advice to the Prime Minister on major and daily issues, along with oversight of wider government activity and access to information and assessments. DPMC also works directly with Ministers on specific issues. The Deputy Prime Minister plays a lead role on behalf of the Prime Minister over a number of the government's policy programmes and DPMC supports him on some of these matters from time to time. DPMC works with Central Agencies to draw together departments in support of the Government's priorities, to focus agencies on providing options for action, to ensure implementation of agreed programmes and policies, to drive for enhanced agency performance, and to deal effectively with issues that affect the nation. DPMC also provides the secretariat support for decision making by the Cabinet and its committees.

- *Administrative support to the Prime Minister.* This includes preparation of replies to Parliamentary questions, and dealing with Official Information Act requests and other correspondence.

DPMC formally came into existence on 1 January 1990, as a result of a report that recommended establishing structures to provide two separate streams of advice to the Prime Minister; one, a new government department to supply impartial, high quality advice and support to the Prime Minister and Cabinet (DPMC), and another, a Prime Minister's Private Office (which is not part of DPMC), to provide personal support and media services, and advice of a party political nature.

Government House was included in the scope of the Department in August 1990, after a review of the Governor-General's support requirements. The External Assessments Bureau (now called the National Assessments Bureau) became part of DPMC on 1 July 1991.

DPMC comprises eight business units headed by the Chief Executive. The business unit are:

- Cabinet Office (excluded from retention and disposal schedule)
- Government House
- Policy Advisory Group (PAG)
- National Assessments Bureau (NAB) (excluded from retention and disposal schedule)
- Security and Risk Group (SRG) (excluded from retention and disposal schedule)
- Intelligence Coordination Group (ICG) (excluded from retention and disposal schedule)
- National Cyber Policy Office (NCPO) (excluded from retention and disposal schedule)
- Office of the Chief Executive (OCE).

At the time of undertaking the initial development of this disposal authority a decision had been made by DPMC to exclude the records of the four business units identified above. However, subsequently, it has been agreed that an amendment to this disposal authority will be prepared at a later date to ensure that there is appropriate disposal coverage for the records of all DPMC functions.

3.2.2 Recordkeeping Environment

The Public Records Act Baseline Assessments & Information Health Check highlighted that DPMC's recordkeeping practices do not meet many of the requirements of the Public Records Act, as well as related mandatory recordkeeping standards. In particular the Health Check noted that:

- DPMC has no records monitoring and reporting framework in place, either at a corporate or business unit level
- Some business units perform some ad hoc monitoring and address issues they notice, but this is not systematic or formalised.

There is currently no disposal authority to manage retention and disposal in a compliant manner. DPMC has used the general disposal authorities to dispose of some records. CASS is currently working with DPMC to improve current recordkeeping processes and levels within the agency to bring it on par with Treasury and SSC.

The Cabinet Office is the only part of DPMC that has had a retention and disposal schedule, which covering the majority of core Cabinet Office records, however this has expired. A new retention and disposal schedule for these records is currently being drafted by the Cabinet Office.

The National Assessment Bureau (NAB) has its own information management team who provide recordkeeping services to staff within NAB specifically and because of co-location and team sizes they also support the Intelligence Coordination Group and Security and Risk Group with some services.

NAB capability includes both electronic and paper record management, with a focus on the classified records. The corporate instance of iManage used by the rest of DPMC is not frequently used in NAB and some staff are not well-versed in how to use it.

3.3 State Services Commission

Name of public office:	State Services Commission
Alternative name:	SSC
Archives New Zealand Agency Code	AAFH
Public office's physical location:	Wellington
Year established:	1963
Year disestablished:	Current

3.3.1 Functions and Organisational Structure

The State Services Act 1962 established the State Services Commission (of up to four members) and a government department known as the Office of the State Services Commission. The Commission took over the functions of the Public Service Commission, which was abolished by the 1962 Act. The Commission and the department had distinct functions but formed one administrative entity.

In 1989, the State Sector Amendment Act replaced the four member Commission with a State Services Commissioner (appointed for a maximum period of five years) and a Deputy Commissioner. The Office of the State Services Commission became known as the State Services Commission (SSC), and the Commissioner became the department's Chief Executive.

In 2005, the State Services Commissioner's roles and responsibilities were significantly broadened. The State Sector Amendment Act (No 2) 2004 extended the State Services Commissioner's mandate to include responsibility for setting standards of integrity and conduct within the State Services generally. At the same time, the Crown Entities Act 2004 was introduced to provide coherent and comprehensive arrangements for the governance and accountability of Crown entities.

The current office of State Services Commissioner descends directly from that of the Public Service Commission. The Public Service Commission was established in 1912 to employ all public servants, so protecting the Public Service from political interference and enabling the preservation of the political neutrality of the Public Service.

1. As the holder of a statutory office, the Commissioner acts independently in a range of matters to do with the operation of the Public Service, State Services and the wider State sector.
2. As Chief Executive of the State Services Commission, the Commissioner is responsible to the Minister of State Services for the Commission's capability and performance.

The Commissioner and Deputy State Services Commissioner are appointed by the Governor-General in Council on the recommendation of the Prime Minister. The Deputy State Services Commissioner has all the functions, duties and power of the Commissioner, subject to the Commissioner's control.

The Commissioner's core roles and responsibilities relate primarily to individual Public Service departments and their chief executives. The Commissioner:

- appoints and employs Public Service chief executives
- reviews the performance of Public Service chief executives
- investigates and reports on matters relating to departmental performance.

The Commissioner has other responsibilities relating to the operation of the Public Service as a whole, the State Services or wider State sector. These are to:

- promote and develop policies and standards for personnel administration and equal employment opportunities for the Public Service
- promote and develop senior leadership and management capability for the Public Service
- provide advice on management systems, structures and organisations in the Public Service and Crown entities
- set minimum standards of integrity and conduct that are to apply in the Public Service, most Crown entities and some other agencies
- advise the Government on the structure of the State sector, including the allocation of functions between agencies
- negotiate collective employment agreements applicable to employees of Public Service departments and to employees of the Education Service. (These responsibilities have been delegated by the Commissioner to departmental chief executives and the Chief Executive of the Ministry of Education respectively.)

The State Services Commission comprises seven business units headed by the State Services Commissioner. The business units are:

- Sector and Agency Performance Group
- System Capability Group
- Performance Improvement Programme Group
- State Sector Results Group
- Organisational Strategy and Performance Group
- Legal and Integrity Advice Group
- Commissioners Office.

When referring to the agencies and organisations that the State Services Commission works with it is important to understand the definitions for the terms Public service, State Services and State sector. Please see definitions supplied by SSC below:

Public Service – By definition, the Public Service comprises the departments listed on the 1st Schedule of the State Sector Act 1988. Irrespective of being called a department, ministry or some other title, they are all Public Service departments.

State Services – By definition, the State Services comprises the agencies that operate as instruments of the Crown in respect of the Government of New Zealand (i.e. the Executive Branch of Government). This includes the Public Service, most Crown entities, the Reserve Bank, a range of

agencies listed on the 4th Schedule of the Public Finance Act 1989 and a small number of departments that are not part of the Public Service.

State sector – By convention, the State sector comprises the agencies whose financial situation and performance is included in the Crown accounts as part of the Government reporting entity under the Public Finance Act 1989. This includes the State Services, tertiary education institutions and State-Owned Enterprises, as well as a small number of agencies that operate as instruments of the Legislative Branch of Government.

3.3.2 Recordkeeping environment

The SSC's centralised system comprises iManage for electronic documents and ARM (Automated Records Management) for physical files.

Documents are either stored within defined file structures in iManage or as physical files that are recorded in ARM.

Physical filing is carried out by CASS Information Management and includes the following activities:

- Physical records are recorded in ARM.
- Inactive records are stored onsite in the Treasury basement or offsite with an external provider

One of the roles that SSC has which impacts on its recordkeeping is that of custodian of records from disestablished agencies. SSC often acts as the residual management agency to wind up the affairs of any disestablished agency – and part of that process may involve inheriting its records – many of which will be covered by GDAs, so the function may simply be to retain custody of those records until standard time periods have been met at which point they will be disposed of. Records inherited by SSC from disestablished agencies included files from New Zealand Forest Service, Electricorp and Ministry of Works and Development, all of which are covered by the GDAs. It is not possible to predict the nature of records SSC will inherit from disestablished agencies in the future or from which agencies these records will come; therefore these records are not included in this schedule. Records of this type received in the future and not covered by GDAs will be appraised separately.

3.4 The Treasury

Name of public office:	The Treasury
Alternative name:	Treasury
Archives New Zealand Agency Code	AALR
Public office's physical location:	Wellington
Year established:	1840
Year disestablished:	Current

3.4.1 Functions and Organisational structure

The Treasury monitors and manages the financial affairs of the Government and provides economic and fiscal policy advice. It is the key agency to support ministers in balancing priorities through the Budget process and also provides insight into the efficiency and effectiveness of government agencies and their actions.

Treasury has five core functions:

- **Economic:** Treasury is the lead expert for Ministers on economic and fiscal performance, concentrating on policy areas that have a significant impact on the economy. This includes leading improvement of the quality of regulation, removing barriers to growth and increased productivity
- **Financial:** Treasury manages the financial affairs of the Crown, concentrating on issues that have significant fiscal implications on public sector financial management and standards.
- **Central Agency:** Jointly with the Department of Prime Minister and Cabinet and the State Services Commission, Treasury assists the Government to develop its overall strategy for the State services and manage significant issues
- **Performance monitoring:** Treasury monitors the performance of State sector agencies, including State-Owned Enterprises (SOEs), and work with them to improve performance
- **Commercial policy and operations:** Treasury provides commercial policy advice (e.g. financial markets, assets) and financial operational services through the New Zealand Debt Management Office (NZDMO) and the New Zealand Export Credit Office (NZECO).

The Treasury comprises nine business units headed by the Chief Executive. The business unit are:

- Strategy, Change and Performance
- Financial Operations and New Zealand Debt Management Office (NZDMO)
- Commercial Transactions
- Budget & Public Services
- Macroeconomic, International and Economic Research

- Growth and Public Services
- Crown Ownership Monitoring Unit (COMU)
- Chief Financial Officer / Chief Accountant
- Central Agency Shared Services (CASS).

3.4.2 Recordkeeping environment

The Treasury uses a range of recordkeeping systems to capture, maintain, control and manage its electronic and physical records.

The Treasury's centralised system comprises iManage for electronic documents and ARM (Automated Records Management) for physical files. There are also some records that are not in the centralised filing system; they include:

- Records in CFIS-Net, Treasury's vote allocation consolidation system.
- Virtual private network discussion forums.
- Intranet/Internet documents where the material is not available in other media.

Documents are either stored within defined file structures in iManage or as physical files that are recorded in ARM.

Physical filing is carried out by CASS Information Management and includes the following activities:

- Physical records are recorded in ARM.
- Classified information is kept in secure rooms and is managed through a register.
- Sensitive HR records are stored in a separate locked room with restricted access.
- Inactive records are stored onsite in the Treasury basement or offsite with an external provider.

4 Methodology

4.1 Functional Analysis

A functional analysis was performed to support the development of the retention and disposal schedule to cover the three Central Agencies. The purpose of this analysis was primarily to identify and confirm the functions of the three agencies and in particular note the existence of common or closely related functions, because such commonality would likely have an impact on development of disposal classes. The following information sources were examined to provide information to support the functional analysis:



4.2 Relevant precedent

As part of completion of the functional analysis, existing (or expired) disposal authorities were mapped to the functions and activities identified for the Central Agencies. The table below outlines at a high level a mapping of the identified functions for each agency and any corresponding disposal authorities that have been identified. The table notes direct precedent or if there is no disposal coverage relating to the identified function or activity.

As part of the precedent research conducted for the development of this schedule it was noted that the CCMAU OP 99/016 schedule is still current to 31/12/2014. As part of the approval of this central agencies RDS it is expected that OP 99/016 will be revoked.

FUNCTION	ACTIVITY	CONTROLLING AGENCY	EXISTING DISPOSAL AUTHORITY
Capability Development		Treasury	Not covered by existing disposal authority
Conducting Research			
	Economic and fiscal modelling	Treasury	DA81 Class 5
	Economic research and analysis	Treasury	DA81 Class 5
	Financial markets research	Treasury	Not covered by existing disposal authority
	Forecasting and monitoring	Treasury	DA81 Class 4
	International research	Treasury	Not covered by existing disposal authority
	Developing macroeconomic and fiscal policy	Treasury	DA81 Class 4
Crown Ownership Monitoring			
	Appointments and governance	Treasury	CCMAU OP 99/016 – this schedule is still current to 31/12/2014 so must be revoked as part of approval of the new central agencies RDS
	Sector monitoring	Treasury	CCMAU OP 99/016 – this schedule is still current to 31/12/2014 so must be revoked as part of approval of the new central agencies RDS
	Monitoring sector performance and balance sheet	Treasury	CCMAU OP 99/016 – this schedule is still current to 31/12/2014 so must be revoked as part of approval of the new central agencies RDS

FUNCTION	ACTIVITY	CONTROLLING AGENCY	EXISTING DISPOSAL AUTHORITY
Supporting Growth and Public Service			
	Ensuring regulatory quality	Treasury	Not covered by existing disposal authority
	Providing education and skills	Treasury	DA81 Class 3
	Monitoring natural resources	Treasury	DA81 Class 3
	Supporting labour market and welfare	Treasury	DA81 Class 3
	Supporting national infrastructure	Treasury	Not covered by existing disposal authority
	Developing tax strategy	Treasury	DA81 Class 3
Fiscal Reporting			
	Reporting	Treasury	DA81 Class 1
	Monitoring State sector productivity	Treasury	Not covered by existing disposal authority
Managing Budget Processes and Public Services			
	Justice and security	Treasury	DA81 Class 1
	Health and housing	Treasury	DA81 Class 1
	State sector management	Treasury	DA81 Class 1
	Earthquake co-ordination	Treasury	Not covered by existing disposal authority
Managing Commercial Transactions			
	Deposit guarantee scheme	Treasury	Not covered by existing disposal authority
	Commercial transactions	Treasury	Not covered by existing disposal authority
Providing Policy Advice		Treasury	DA81 Class 3
Providing Public Sector Leadership		Treasury	Not covered by existing disposal authority
Supporting Central Agencies Shared Services			
	Agency financial management	Treasury	GDA 6
	Managing human resources	Treasury	GDA 6
	Providing information management and technology services	Treasury	GDA 6

FUNCTION	ACTIVITY	CONTROLLING AGENCY	EXISTING DISPOSAL AUTHORITY
Strategic Development and Performance Management			
	Provide business support	Treasury	Largely GDA 6
	Manage communications	Treasury	GDA 6
	Provide legal services	Treasury	GDA 6
	Manage ministerial advisory service	Treasury	Largely GDA 6
	Support the Office of the Executive	Treasury	Largely GDA 6
Undertake Financial Operations and Debt Management			
	Portfolio management	Treasury	DA81, Class 7
	Undertaking accounting and transactional services	Treasury	DA81, Class 7
	Providing risk policy and technology	Treasury	DA81, Class 7
	Managing New Zealand export credit	Treasury	Not covered by existing disposal authority
Undertake Strategic Initiatives		Treasury	DA81 Class 2
Appointment and Employment of Public Service Chief Executives and Board Members		SSC	DA338 Class 9.1
Investigate and Report on Departmental Performance		SSC	DA338 Class 9.6
Negotiate Collective Employment Agreement for State Sector		SSC	DA338 Class 9.1
Promote and Develop Capability of State Services		SSC	DA338 Class 9.5
Provide Advice to Ministers and Agencies		SSC	DA338 Class 9.3 and DA338 Class 9.4
Provide Guidance to Crown Entities and Other Bodies		SSC	DA338 Various Classes
Provide Public Sector Leadership		SSC	Not covered by existing disposal authority
Review Performance of Chief Executives		SSC	DA338 Class 9.1
Set Policies and Standards			

FUNCTION	ACTIVITY	CONTROLLING AGENCY	EXISTING DISPOSAL AUTHORITY
	Set policies and standards for personnel administration and EEO	SSC	DA338 Class 9.3
	Set standards of integrity and conduct	SSC	DA338 Class 9.4 and DA338 Class 9.5
Undertake Strategic Initiatives		SSC	Not covered by existing disposal authority
Assess Security Threats			
	Undertake assessment and provide analysis	DPMC	Not covered by existing disposal authority
	Coordination of intelligence community	DPMC	Not covered by existing disposal authority
Capability Development		DPMC	Not covered by any disposal authority
Manage Government House			
	Undertaking maintenance of Government House	DPMC	Not covered by existing disposal authority
Provide Policy Advice			
	Providing advice to the Prime Minister on issues of the day	DPMC	Not covered by existing disposal authority
	Coordinating of advice from different government departments	DPMC	Not covered by existing disposal authority
	Contributing to policy development across government	DPMC	Not covered by existing disposal authority
	Providing constitutional and procedural advice	DPMC	Not covered by existing disposal authority
Provide Public Sector Leadership		DPMC	Not covered by any disposal authority
Strategic Development and Performance Management			
	Providing support and advice to Chief Executive	DPMC	Not covered by existing disposal authority
	Ensuring corporate compliance	DPMC	Not covered by existing disposal authority
	Providing a customer interface	DPMC	Not covered by existing disposal authority

FUNCTION	ACTIVITY	CONTROLLING AGENCY	EXISTING DISPOSAL AUTHORITY
	Strategic planning and reporting	DPMC	Not covered by existing disposal authority
	Change management	DPMC	Not covered by existing disposal authority
Support the Head of State and Governor General			
	Providing administrative and support services for the Governor General	DPMC	Not covered by existing disposal authority
Undertake Strategic Initiatives		DPMC	Not covered by existing disposal authority

4.3 Consultation

Following the completion of the functional analysis and identification of relevant precedent a model retention and disposal schedule was developed.

The model schedule was provided to representative staff and discussed in a series of workshops covering all functional areas of the three agencies included in the scope of the retention and disposal schedule.

Central Agencies staff who provided input for the development of the retention and disposal schedule were:

Agency	Name	Role	Business Unit
SSC	[name removed]	Senior Advisor	Commissioners Office
SSC	[name removed]	Advisor	Chief Executive & Agency Services
Treasury	[name removed]	Director	CASS
Treasury	[name removed]	Acting Manager	Tax Strategy
Treasury	[name removed]	Manager	Commercial Transactions Group
Treasury	[name removed]	Acting Manager	DMO Risk Policy & Balance Sheet
SSC	[name removed]	Solicitor	Legal
Treasury	[name removed]	Deputy Secretary	Crown Ownership Monitoring Unit
Treasury	[name removed]	Analyst	Economic Research and Analysis
Treasury	[name removed]	Manager	Communications
DPMC	[name removed]	Information & OIA Co-ordinator	Chief Executives Office
DPMC	[name removed]	Public Affairs Manager	Government House
Treasury	[name removed]	Senior Analyst	Education & Skills Structure
Treasury	[name removed]	Analyst	State Sector Management
Treasury	[name removed]	Acting Deputy Secretary	Growth & Public Services
Treasury	[name removed]	Deputy Secretary	Financial Operations/Head of DMO
Treasury	[name removed]	Team Leader	National Infrastructure Unit
SSC	[name removed]	Principal Advisor	Workforce Strategy
Treasury	[name removed]	Deputy Secretary	Strategy Change & Performance

Agency	Name	Role	Business Unit
Treasury	[name removed]	Acting Manager	Export Credit Office
Treasury	[name removed]	Manager	Fiscal Management
SSC	[name removed]	Solicitor	Legal
Treasury	[name removed]	Manager	Forecasting & Monitoring
Treasury	[name removed]	Establishment Manager	COMU Monitoring - Mixed Objective
Treasury	[name removed]	Manager	National Infrastructure Unit
Treasury	[name removed]	CFISnet Systems Accountant	Fiscal Management
Treasury	[name removed]	Senior Analyst	Office of the Executive
Treasury	[name removed]	Chief Financial Officer/Chief Accountant	Chief Financial Officer & Chief Accountant (Portfolio)
Treasury	[name removed]	Manager	International (Acting)
Treasury	[name removed]	Manager	State Sector Management
Treasury	[name removed]	Vote Specialist	Natural Resources
Treasury	[name removed]	Manager	Economic Research and Analysis
Treasury	[name removed]	Deputy Secretary	Macroeconomics, International & Economic Research
SSC	[name removed]	Chief Legal Advisor	Legal
Treasury	[name removed]	Acting Manager	Regulatory Quality
SSC	[name removed]	Acting Practice Manager	Sector & Agency Analysis
Treasury	[name removed]	Manager	Monitoring - Commercial
Treasury	[name removed]	Manager	Economic Performance Overview & Coordination Structure
Treasury	[name removed]	Treasury Solicitor and Manager	Legal Group
Treasury	[name removed]	Graduate Analyst	Economic Research and Analysis
Treasury	[name removed]	Manger	Business Support
Treasury	[name removed]	Manager	Financial Markets
SSC	[name removed]	Senior Advisor	Chief Executive & Agency Services
Treasury	[name removed]	Advisor to the Chief Economist	Macroeconomics, International & Economic Research
Treasury	[name removed]	Deputy Secretary	Commercial Transactions
Treasury	[name removed]	Senior Analyst	Natural Resources
Treasury	[name removed]	Manager	Deposit Guarantee Schemes Structure
Treasury	[name removed]	Head of Accounting & Transactional Services	Accounting and Transactional Services
Treasury	[name removed]	Principal Advisor	Regulatory Quality
SSC	[name removed]	Principal Advisor	Talent & Leadership
Treasury	[name removed]	Manager	Office of the Executive
SSC	[name removed]	Manager	Performance Improvement - Framework Review Delivery
Treasury	[name removed]	Principal Advisor	Earthquake Coordination
Treasury	[name removed]	Senior Analyst/Modeller	Forecasting & Monitoring
Treasury	[name removed]	Chief Information and Technology Officer	CASS
Treasury	[name removed]	Manager	Natural Resources
DPMC	[name removed]	Knowledge Manager	Cabinet Office

Agency	Name	Role	Business Unit
Treasury	[name removed]	Graduate Analyst	National Infrastructure Unit
Treasury	[name removed]	Manager	Labour Market & Welfare Structure
Treasury	[name removed]	Manager	Fiscal Reporting
Treasury	[name removed]	Manager	Justice & Security
Treasury	[name removed]	Principal Advisor	Macroeconomic & Fiscal Policy Structure
Treasury	[name removed]	Acting Deputy Secretary	Growth & Public Services
Treasury	[name removed]	Acting Team Leader	Economic & Fiscal Modelling Structure
Treasury	[name removed]	Deputy Secretary	Budget & Public Services
Treasury	[name removed]	Systems Accountant	Fiscal management
Treasury	[name removed]	Senior Analyst	National Infrastructure Unit
SSC	[name removed]	Principal Analyst	System Capability
Treasury	[name removed]	Manager	Health & Housing
SSC	[name removed]	Deputy Commissioner	Performance Hub
Treasury	[name removed]	Manager	Finance
Treasury	[name removed]	Head of Portfolio Management	Portfolio Management
DPMC	[name removed]	Operations Manager	Government House
Treasury	[name removed]	Manager	Appointments & Governance
Treasury	[name removed]	Head of Human Resources	Human Resources
Treasury	[name removed]	Business Analyst	DMO Technology
Treasury	[name removed]	Manager	Earthquake Coordination
DPMC	[name removed]	Operations Coordinator	Chief Executives Office
Treasury	[name removed]	Manager	State Sector Productivity
Treasury	[name removed]	Governance Associate	COMU Appointments & Governance

4.4 External consultation

The organisations listed below were asked to provide input on the draft schedule. Feedback from this round of external consultation was considered and included within the schedule as appropriate. No significant comments were received as part of the external consultation process.

Stakeholder	Name	Role
Inland Revenue Department	[name removed]	N/A
Ministry for Culture & Heritage	[name removed]	Corporate Services Branch Manager
Reserve Bank of New Zealand	[name removed]	Manager, Knowledge Centre
New Zealand Trade and Enterprise	[name removed]	Director, Information Management
Ministry for Business Innovation and Employment	[name removed]	Acting Team Leader, Records Services
NZ Institute of Economic Research (NZIER)	[name removed]	Information Manager
Office of the Auditor General	[name removed]	Assistant Auditor-General, Corporate Services
Office of the Auditor General	[name removed]	Manager, Information Management
Leadership Development Centre	[name removed]	Information Manager
ANZSOG (Australia NZ School of Government)	[name removed]	anzsog@anzsog.edu.au
Victoria University of Wellington	[name removed]	Director Student Academic Services

Stakeholder	Name	Role
Victoria University of Wellington	[name removed]	Manager, Records Services
The Parliamentary Service	[name removed]	Information Manager
Government Communications Security Bureau	[name removed]	N/A
Prime Minister's Office	[name removed]	Senior Advisor
Prime Minister's Office	[name removed]	Senior Advisor
NZSIS	[name removed]	N/A
Ministry of Foreign Affairs and Trade	[name removed]	Team Leader, Documents & Records
Office of the Ombudsmen	[name removed]	Manager, Corporate Services
Statistics New Zealand	[name removed]	Information Manager
Crown Law Office	[name removed]	Library
Transpower New Zealand Ltd	[name removed]	Information Manager
Professional Historians (PHANZA)	[name removed]	The Secretary

4.5 Format of the schedule

The retention and disposal schedule spread sheet (attached as Appendix 1) has the following fields:

Field name	Description
Class ID	The reference number of the disposal class
Record class	The broad class of records or sub-class of records
Description and examples of records	A description of the record type and examples of the records covered by each sub-class
Trigger (when record becomes non-current)	When the record becomes non-current and thus can have retention periods and disposal actions applied
Minimum retention (after record is non-current)	The minimum period of time for which the record is kept before final disposal
Disposal action	The final disposal action for the record: D – Destroy/Discharge A - Retain as public archive
Appraisal criteria	A specific reference to the disposal criteria for the class
Agency (for approval to dispose)	The controlling agency that must sign-off prior to the disposal of any records from the class
Notes/Precedent	Any further information that may be relevant to that class of records or disposal action

4.6 Disposal criteria

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	<p>The records provide evidence of and information about core Treasury functions including:</p> <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	<p>The records provide evidence of and information about core State Services Commission functions including:</p> <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

Criterion number	Description
	<ul style="list-style-type: none"> • 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	<p>The records provide evidence of and information about particular Department of Prime Minister and Cabinet functions including:</p> <ul style="list-style-type: none"> • policy development and advice to the Prime Minister • support provided to the Governor General
A8	<p>The records provide evidence of the stakeholder and international relationships managed by Treasury, State Services Commission or the Department of Prime Minister and Cabinet</p>

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

4.7 Principle of significant versus routine

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 this retention and disposal schedule is that unless specifically stated otherwise, all sub-classes of records are the 'significant' ones pertaining to that function or activity.

The routine or administrative level records for each class have been captured in a recurring sub-class labelled 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 record's more visible through their own sub-class
- To enable simpler implementation or Central Agencies staff by having specific reference to routine and administrative records
- To support the use of GDA 3 for 'housekeeping' records by using its principle for each class

5 Description of classes

5.1 Class no. 1 – Accountability, Governance and Strategic Management

5.1.1 Description

This class is intended to cover the relevant records of all three Central Agencies

This class covers records not covered by the Archives New Zealand General Disposal Authority relating to departmental accountability, governance and strategic management of the Central Agencies. This includes sub-classes of records concerning:

- Advice to Chief Executive
- Administrative support to Chief Executive
- Chief Executive correspondence
- Strategic customer and stakeholder relationship management
- Internal Governance Board/Group records
- Senior management meeting records
- Litigation records - significant cases
- Litigation records - minor/routine cases
- Litigation summaries
- Operational policies and procedures
- Operational strategy and planning
- Significant Commercial/Legal Transactions
- Routine administrative records.

Advice to Chief Executive is about the documented advice provided specifically to the Chief Executive, often by roles such as 'Principal Advisor' or 'Chief Adviser' covering topics ranging from policy advice, organisational strategy, relationship management, or issues response.

Records documenting the **administrative support to Chief Executive** consist of diary records, itineraries, copies of information supplied for reference purposes, invitations, congratulations and condolence messages.

Chief Executive correspondence records are those of correspondence from members of the public or other organisations 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 or a particular piece of government policy.

Strategic customer and stakeholder relationship management records are those that document relationship management activities between the Chief Executive and primary customers and stakeholders of the agency not covered already by another class relating to a function of that agency. Includes records such as memoranda of understanding or relationship management meeting records.

Internal governance Board/Group records document the meetings and decisions of formal governance groups or boards established internally or across the Central Agencies to provide guidance and act as a decision-making forum. Examples of governance groups are:

- Central Agencies Shared Services Board
- Central Agencies Shared Services Governance Group
- Treasury Governance Board
- Outcome Leaders Advisory Group (OLAG)
- Risk and Audit Committees.

Senior management meeting records are the formal records of the senior management/leadership team decision-making processes and meetings. The senior management/leadership team is the highest decision-making group in each of the central agencies. Records include agendas, minutes, papers presented, presentations/briefings received.

Litigation records are records that document agency involvement in formal judicial reviews or litigation cases. There are significant litigation records where the litigation is regarding an issue that sets a precedent or is of high public interest, and there are minor litigation cases where the litigation is of a routine nature and does not have high public interest or set a precedent. In addition to the formal case records there are summary records created that list litigation cases and outcomes.

Operational policies and procedure records are those documenting the development of policy and procedures (manuals, guidelines, etc.) in all areas of the Central Agencies' substantive functions, including white papers, research documents, think pieces, reports, briefings, correspondence, peer reviews, significant drafts and final documentation. Examples of operational policy are:

- funding decision-making criteria
- protocols for use of Government House for events
- settling of insurance claims
- policy and criteria about state services leadership development programmes etc.

Operational strategy and planning records are those documenting strategy and planning activities in all areas of the Central Agencies' substantive functions. Includes strategies and plans such as the establishment of the Central Agencies Shared Services model.

Significant Commercial/Legal Transactions records document significant commercial and/or legal transactions between the Crown and another party that are listed on the Treasury vital records list. For example:

- Declaration of Trust - Alexander Turnbull Library Endowment Trust Board 1934
- Banking business of government between The Crown (Lender) and Bank of New Zealand (Borrower) 1914
- Deed of agreement in respect of sale of business between the Crown and Land Corporation Limited 1988
- Agreement for sale and purchase of shares in Forestry Corporation of New Zealand between the Crown and New Zealand Forestry Corporation Ltd 1991.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Accountability, Governance and Strategic Management class. These records include:

- 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.

Note that other records relating to some of the activities covered in this class are included in the Archives New Zealand General Disposal Authority 6.

5.1.2 Value

Records of the advice to Chief Executive are recommended for retention as public archives as they provide evidence of the accountability and governance of the Central Agency concerned. They also provide evidence of the government policy development process through the work the Chief or Principle Advisor may produce summarising key policy points to the Chief Executive for consideration.

Chief Executive correspondence records are of a routine operational nature and are therefore recommended for destruction.

Strategic customer and stakeholder relationship management records provide evidence of how the Central Agencies interacted with their strategic customers and stakeholders. They have long term value in demonstrating the interactions and relationships and are therefore recommended for retention as public archives.

Internal governance Board/Group and Senior Management meeting records provide evidence of the strategic and high-level decisions and decision-making processes within the Central Agencies. They record what decisions were made about how the organisation was managed as well as evidence of the approach to decision-making within the agency. They are recommended for retention as public archives.

Litigation records pertaining to significant cases 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 the Central Agencies. They are therefore recommended for retention as public archives. The litigation summaries are also recommended for retention as they provide a summarised version of all litigation that the Central Agencies may be involved in. Similarly the records of Significant Commercial and/or Legal Transactions provide evidence of agreements and protect rights between the Crown and another party. They are too are recommended for retention as public archives.

Operational policies and procedure records, and operational strategy and planning records cover all areas of the Central Agencies' substantive functions. They therefore provide key evidence of 'how' the agency intended to carry out its core functions, or the standards which it set itself to follow. Such records provide important context about the agency, its functions and operations. These records are therefore recommended for retention as public archives.

Chief Executive correspondence and litigation records pertaining to minor or routine cases are of a routine operational nature and are therefore recommended for destruction.

Routine administrative records (including records documenting the administrative support to Chief Executive) are recommended for destruction as they are of a low-level nature only and of limited business value.

5.1.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
1.1	Advice to Chief Executive	A3, A4
1.4	Strategic customer and stakeholder relationship management	A8
1.5	Internal Governance Board/Group records	A2
1.6	Senior management meeting records	A2
1.7	Litigation records - significant cases	A1, A3
1.9	Litigation summaries	A1, A3
1.10	Operational policies and procedures	A5, A6, A7
1.11	Operational strategy and planning	A5, A6, A7
1.12	Significant Commercial/Legal Transactions	A1

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
1.2	Administrative support to Chief Executive	D1
1.3	Chief Executive correspondence	D2
1.8	Litigation records - minor/routine cases	D2
1.13	Routine administrative records	D1

5.2 Class no. 2 – Policy Development and Advice to Government

5.2.1 Description

This class is intended to cover the relevant records of all three Central Agencies

This class covers records of the function of development of policy and providing policy advice to the New Zealand government and Ministers. It includes all functional and advice areas of the three Central Agencies. This class includes sub-classes of records covering:

- Policy review and development where agency is the lead
- Research and analysis supporting policy development
- Consultation with external organisations to support development of policy
- Policy development or review where development is led by another agency
- Servicing and supporting Advisory Boards
- Routine administrative records.

Records of **Policy review and development where agency is the lead** are records of a significant nature that document the development of government policy. Development of government policy is one of the primary functions of the Central Agencies – to advise Ministers and government.

Examples of the areas of government policy that are developed by the Central Agencies are:

- Government fiscal policy
- Budget and vote management policy
- Operation of monitoring of crown owned companies
- Government debt management
- Financial monitoring and performance
- Departmental performance
- Cabinet fees framework
- Collective employment agreements
- Capability within the state sector
- Appointment and employment of Chief Executives
- State Sector Retirement Savings Scheme
- Support provided to the Governor General
- Support provided to the Prime Minister

Examples of records include:

- Substantive drafts of reports
- Briefings to Ministers
- Policy papers and Government Policy Statements
- Papers to non-Cabinet committees (e.g. State Sector Reform, ICT).

Records documenting the **research and analysis** carried out to support policy development include records of all forms such as:

- Raw data and confirmed datasets (includes datasets in repositories such as TaxWell, CFISNet. See descriptions below)
- Analysis models (whether for one off projects or developed to support the long term fiscal model)
- Micro data (data about specific people, households, or businesses which may be supplied by external agencies and then modelled through financial models, or manipulated in reference to particular policy studies thereby creating a new and important dataset)
- Fiscal incident studies.

TaxWell is the primary financial modelling tool used within Treasury to support the development and running of modelling processes relating to fiscal policy.

Treasury CFISNet is the system used to collect financial information from agencies, SOEs and crown entities, to automate cash disbursements, and to support the Budget process. See further details about CFISNet in Class 3.

Records of **Consultation with external organisations to support development of policy** document the consultation process. They include:

- Consultation strategy and process documents
- Feedback provided by external parties
- Discussion papers drafted for external comment and input.

Records of **Policy development or review where development is led by another agency** concern documents of how the Central Agencies provide input on the policy development process of other government agencies. Records include information received from the lead agency and contributions and feedback provided to them by the Central Agencies.

Servicing and supporting Advisory Boards are records of formal Policy Advisory Boards established to support any of the Central Agencies in carrying out their policy development functions. In some areas of policy development the policy is of such a significant nature or will have and require input from such a wide group of interested parties that it is more expedient to set up a formal Advisory Board to support the development of the policy rather than rely on a consultation process to gain external input. For example; the National Infrastructure Advisory Board or the State Sector Retirement Savings Scheme Advisory Board. Records covered by this sub-class include the formal records of the Advisory Boards such as:

- Minutes
- Papers presented to the Board
- Board correspondence.

Routine administrative records are records of a low-level nature created to support all other functions and activities covered by the Policy Development and Advice to Government class. They include:

- 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.

5.2.2 Value

Records relating to the development of government policy carried out by Treasury directly supports and influences the government’s approach to managing the economy, the New Zealand financial environment, funding of the public sector and regulation and reporting about government finances.

Records relating to the development of government policy carried out by the State Services Commission directly support and influence the government’s approach to managing the capability of the public sector, employment conditions, and departmental performance.

Records relating to the development of government policy carried out by the Department of Prime Minister and Cabinet directly support and influence the government’s approach to supporting the Governor General, supporting Cabinet and supporting the role of Prime Minister.

Records of policy review and development, research and analysis and consultation to support policy development where the agency is the lead are records of a significant nature. They provide evidence of how government policy is formed as well as the specifics of how any piece of policy was developed, including the consultation carried out and changes made as a result of that consultation. Some policy areas involve specialist advisory boards set up to advise the lead agency on policy issues and development. All of the records in these sub-classes provide evidence of the development of government policy and advice to the government. Policy development records support the notion of government transparency and accountability. They are recommended for retention as public archives.

Records of policy development or review where development is led by another agency are considered to be routine operational records where the expectation is that the lead agency would be retaining the authoritative set of records. They are therefore recommended for destruction.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.2.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
2.1	Policy review and development where agency is the lead	A4
2.2	Research and analysis supporting policy development	A4
2.3	Consultation with external organisations to support development of policy	A4
2.5	Servicing and supporting Advisory Boards	A4

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
2.4	Policy development or review where development is led by another agency	D2
2.6	Routine administrative records	D1

5.3 Class no. 3 – Budget and Vote Management

5.3.1 Description

This class covers records of the core Treasury function of managing the budget and vote processes for government. The class includes sub-classes of records covering:

- Summary records of budget process and vote appropriations
- Departmental vote management
- Departmental budget initiative proposals and indicative development plans
- Budget management
- Systems administration and training
- Routine administrative records.

The Budget process allows the Government to:

- Set its fiscal objectives in respect of revenue, expenditure, debt repayment and investment;
- Maintain effective fiscal control and plan for the coming year and beyond;
- Allocate the available resources, consistent with the Government's strategic objectives and priorities;
- Fulfill the legislative requirements for the Budget; and
- Seek authority from Parliament for spending.

All Ministers have a key role in the Budget process. Together, they agree on the Budget strategy and priorities for spending. On an individual level, Ministers identify priorities for departmental Chief Executives to guide preparation of Budget submissions. Vote Ministers drive the development, fine-tuning and negotiation of Budget and baseline submissions and packages in their Vote areas as part of the Government's overall Budget package. The Budget process can be divided into distinct phases:

Executive Phase - *Strategic Phase*

Ministers' develop an overall strategy for the Budget, including strategic priorities and targets for spending, revenue, the projected fiscal surplus, and public debt intentions. Decisions taken during the strategic phase are reflected in the Government's Budget Policy Statement (BPS) which is required to be tabled in Parliament by no later than 31 March each year.

Executive Phase - *Baseline Alignment Phase*

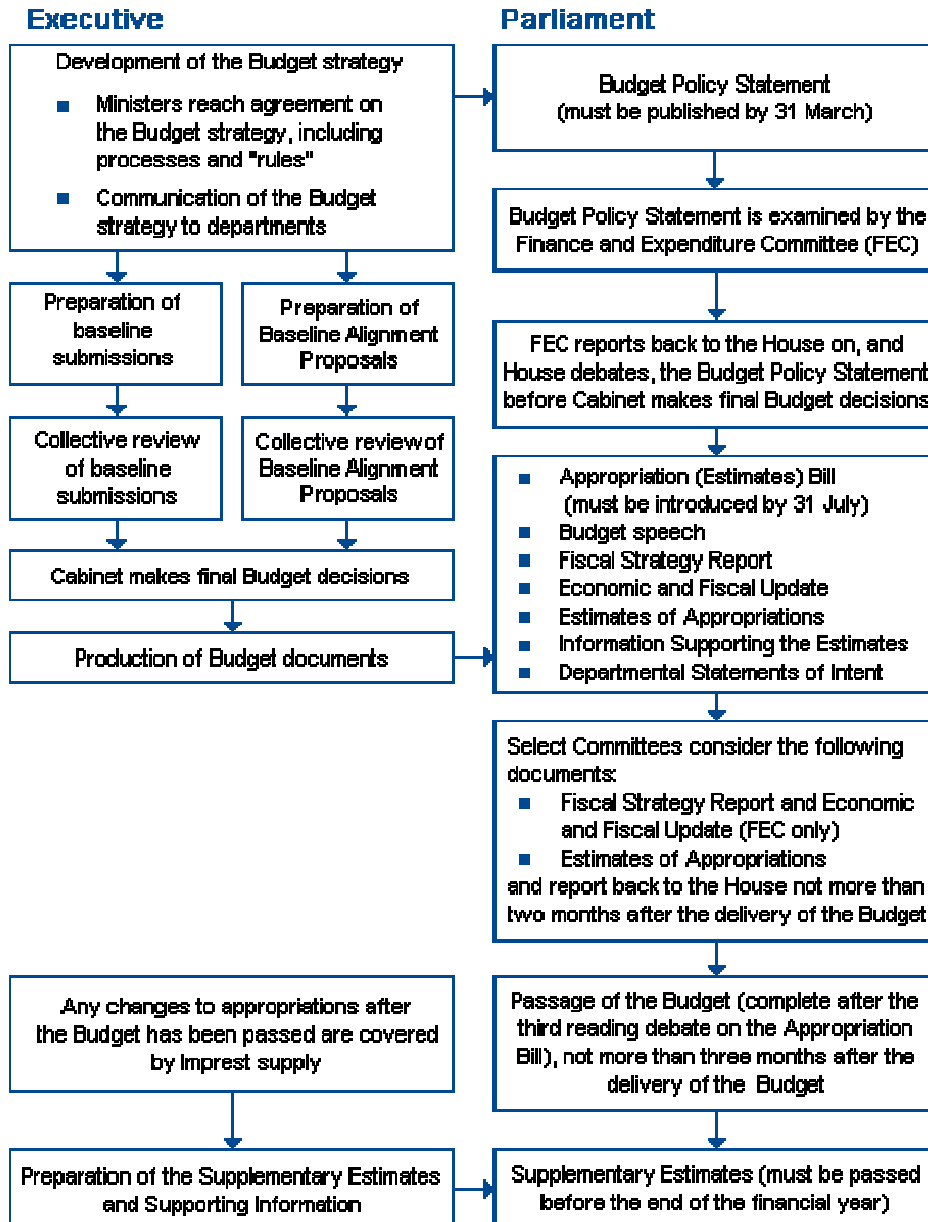
Cabinet determines any shares of new spending in each Vote, aligning spending in each Vote to ensure that it is consistent with Government priorities and Cabinet makes final decisions about the overall shape of the Budget package.

Parliamentary Phase - The process for obtaining Parliamentary support for the Government's Budget package. This includes examination of the Estimates for each Vote by the appropriate Select Committee.

Implementation Phase - The phase where subsequent amendments to the Budget are made. Where additional appropriations are needed during the course of the year, spending is authorised by

Parliament before the end of the financial year, through an Appropriation (Supplementary Estimates) Bill. In the interim, authority for additional spending is provided by an Imprest Supply Act.

The following diagram outlines the relationship between Executive and Parliamentary roles in the Budget.



The Treasury helps in the preparation of the government's annual Budget by:

- Advising the Minister of Finance on Budget policy
- Preparing the macroeconomic and fiscal forecasts
- Compiling and processing budget initiative proposals from Vote Ministers, and
- Preparing budget documents such as the Estimates, the Budget Economic and Fiscal Update and the Fiscal Strategy Report.

Vote management and support are the activities associated with the assistance, advice and monitoring carried out by Treasury with departments to support compliance with the Public Finance Act and with sound management of government money.

The summary records of the **budget process and vote appropriations** are those that provide summary or debrief records relating to the budget and vote management process for departments, SOEs and Crown entities, such as summary reports of budgets. Includes CFISNet.

Much of the information created and managed to support budget and vote processes is stored in CFISNet. There is not a separate class in the RDS for the data held in CFISNet; rather it is considered to be part of class 3.1. The diagram below outlines the core documents that support the budget and vote management functions that that are generated information stored in CFISNet.



Records of the function of **departmental vote management** include vote estimates and appropriation process management (i.e. regular budgeting processes carried out as part of regular budget cycle work), , and vote-specific risk management advice. These are standard operational records relating to each department and its interaction with Treasury in relation to budget and vote management.

Departmental budget initiative proposals and indicative development plans are records documenting proposals from government agencies for funding, and correspondence and advice

between agencies and Treasury about funding and vote support outside the budget cycle (agencies requesting extra money). This sub-class excludes records created as part of usual vote processes.

Budget management records include the records required by the Fiscal Responsibility Act. That is, the formal papers tabled in the House of Representatives outlining the government's budget policy and updates for the upcoming financial years, such as the budget policy statement, fiscal strategy report and economic and fiscal update. Example records that are created in the development of the formal papers are:

- Background materials provided by agencies to support development of the budget
- Drafts
- Supporting papers
- Finals.
- Printed Budget documents
- Templates and guidance

Records of **systems administration and training** are those records that document the development of processes and provision of training in relation to systems and databases that support the budget and vote processes.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Budget and Vote Management class. They include:

- 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.

5.3.2 Value

The summary records of the budget process and vote appropriations (including departmental budget initiative proposals and indicative development plans) provide evidence of one of the core functions of the Treasury, namely the management of the government budget and vote policies, processes and decisions (held within CFISNet). These records are recommended for retention as public archives.

Budget management records are recommended for destruction as the ultimate 'output' of the processes involved (development of the budget, and reporting against it) end up as published papers formally tabled in the House of Representatives.

Records of the function of departmental vote management are operational in nature as they are the routine activities associated with day to day management of the allocation of government budget to specific votes. These are standard operational records relating to each department and are therefore recommended for destruction.

Routine administrative records (including those relating to systems administration and training) are recommended for destruction as they are of a low-level nature only and of limited business value.

5.3.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
3.1	Summary records of budget process and vote appropriations. Includes CFISNet.	A5
3.3	Departmental budget initiative proposals and indicative development plans	A5

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
3.2	Departmental vote management	D2
3.4	Budget management	D3
3.5	Systems Administration and Training	D1
3.6	Routine administrative records	D1

5.4 Class no. 4 – Fiscal Management and Reporting

5.4.1 Description

This class covers Treasury records relating to the development of fiscal management methodologies, standards and instructions, records relating to the assessment of regulatory quality, plus reporting records required under the Fiscal Responsibility Act. This includes sub-classes of records covering:

- Development of fiscal management methodologies
- Treasury Instructions and Circulars substantive records
- Fiscal reports and forecasts
- Regulatory quality process records
- Regulatory impact assessment records
- Residual Liabilities management
- Routine administrative records.

Records of the **development of fiscal management methodologies** concern standards and practice development and review. Examples are records documenting the development of accounting standards, financial management practice for whole of government, Treasury's role in improving vote processes, organisational design of Crown entities and SOEs fiscal management approaches, whole of State sector fiscal management standards and practice, advice on how to measure financial performance and financial position.

The **substantive records of Treasury Instructions and Circulars** includes the final or 'as released' instructions and circulars issued by Treasury to departments for any of the purposes specified in paragraphs (a) to (c) of section 81(1) of the Public Finance Act. This sub-class also covers records of substantive drafts and correspondence about the development of instructions and circulars, including correspondence with other agencies and Ministers of the Crown.

Treasury Instructions are issued under Section 80(1) of the Act. Treasury may issue instructions to departments for the purpose of:

- requiring information to be supplied to Treasury to enable the Treasury to fulfill properly the functions imposed upon it by the Government or any Act
- prescribing the processes and data standards to be used when supplying the information required
- prescribing particular accounting policies and financial statement representations that Ministers, departments, Offices of Parliament, Crown entities or organisations named or described in Schedule 4 to the Act must apply in their financial reporting
- prescribing the terms and conditions that must apply to the guarantees or indemnities referred to under section 81(1)(bb);
- prescribing any other matters relating to the guarantees or indemnities referred to under section 81(1)(bb);
- regulating the collection, receipt, custody, issue, expenditure, control and management of public money or trust money;

- regulating the accounting and financial management and control procedures relating to contracts of the Crown; and
- regulating the custody and control by the Crown of public securities and securities representing the investment of public money.

Treasury Instructions generally specify what the Chief Executives of the departments of the Crown must do in relation to management of their finances.

The main purpose of Treasury Circulars is to provide guidance and information, and to request financial information. Treasury Circulars may cover matters that are outside the scope of Treasury Instructions, such as the budget timetable. Since Treasury Instructions are updated annually, Treasury Circulars may also cover matters that are to take effect immediately (but may later be incorporated within Treasury Instructions as part of an annual update). Treasury Circulars are intended principally for departmental use (and sometimes for the use of Crown Entities and State-owned enterprises), and they are usually addressed to Chief Executives/Chief Financial Officers (CEs/CFOs).

Fiscal reports and forecasts are the records of formal and regular monthly and annual financial statements and reports prepared for the government. The reports are published.

Regulatory quality process records are records that are created to outline quality assurance processes and standards in relation to the assessment of the fiscal impact of proposed legislation and regulations, guidance and instructions to agencies on the development of regulatory instruments. Records included are process documents, methodologies, documents reviewing current processes, guidance and instructions.

Regulatory impact assessment records are those that are created as part of the Treasury function to assess the fiscal impact of any proposed regulatory changes. Examples of records include preliminary impact and risks assessments, regulatory impact statements, advice given to agencies about those statements and the impact of proposed regulations, records of Treasury opinion on proposed regulation in its role as providing quality assurance on legislation and its likely impact.

The **Residual Liabilities management** sub-class covers the records that document Crown residual liabilities resulting from the transfers of Crown assets to State enterprises, or residual obligations arising from administration of the Crown's sale and purchase agreements with SOEs and Crown entities and from the sale of Crown investments, and for the settlement of claims against the Crown.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Fiscal Management and Reporting class. They include:

- 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.

5.4.2 Value

Records of the development of fiscal management methodologies, substantive records of Treasury Instructions and Circulars, regulatory quality process records and regulatory impact assessment records all provide evidence of core Treasury functions. They are therefore recommended for retention as public archives.

Fiscal reports and forecasts (both monthly and annual) and residual liabilities management records are of a routine operational nature only. The fiscal report and forecasts are published. These records are therefore recommended for destruction.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.4.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
4.1	Development of fiscal management methodologies	A5
4.2	Treasury Instructions and Circulars substantive records	A5
4.5	Regulatory quality process records	A5
4.6	Regulatory impact assessment records	A5

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
4.3	Fiscal reports and forecasts, annual	D2,D3
4.4	Fiscal reports and forecasts, monthly	D2
4.7	Residual Liabilities management	D2
4.8	Routine administrative records	D1

5.5 Class no. 5 – Significant Event Coordination

5.5.1 Description

This class applies to records from all three Central Agencies.

This class covers records of the Central Agencies' response to the events that have a significant impact on the New Zealand economy such as the Canterbury earthquakes. It covers the role of Central Agencies in planning, coordinating and supporting the government's assessment, decision-making, management and funding process as part of the government response to the event. This includes sub-classes of records covering:

- Advising government
- Specialist review advice and input
- Agency coordination and planning
- Departmental vote management
- Departmental monitoring records
- Routine administrative records.

A number of the sub-classes in this class may appear similar to other classes in the schedule. A separate class has been created because the records are only created in response to such an event and they are therefore different from records that may be of a similar nature but that are created as a result of normal operations. An event of national significance is one where the event may in itself have a 10-15% impact on New Zealand GPD. Examples of such events include:

- Canterbury Earthquakes
- Rugby World Cup 2011
- Loss of access to markets in the United Kingdom
- Napier Earthquake
- World War II.

Records of **advising government** in relation to significant events are the records of assisting and advising government (perhaps under emergency conditions). Examples are delegated emergency authority or parliament or executive government under emergency provisions. Records may include:

- specialist legal advice in relation to operations of legislation such as the State Sector Act, Crown Entities Act, Public Finance Act
- risk management advice about the immediate response to the event.

Specialist review advice and input records document the Central Agencies' input and advice to any specialist review by a parliamentary body or judicial authority enquiring into aspects of a significant event. For example an Office of the Auditor General review, Parliamentary Committee Review, Royal Commission or other Commission of Enquiry.

Records of **agency coordination and planning** are created to support the coordination of the government response to the event from the Treasury's perspective and role. Records include:

- Specialist department establishment records; e.g. Canterbury Earthquake Recovery Authority (CERA)
- Planning and coordination with other agencies involved in response activities
- Relationship management records.

Departmental vote management records document budget and vote management-related records that are specific to event response coordination activities. These records are possibly created outside of usual vote processes as the event may require an immediate government financial response. Records include:

- Vote estimates
- Risk management advice
- Appropriation records
- Approval records
- Planning and coordinating with other agencies involved in the response activities.

Departmental monitoring records are created to support and document the monitoring of any specialist agency established as a result of the significant event, e.g. CERA.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Significant Event Coordination class. They include:

- 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.

5.5.2 Value

The Central Agencies response to an event of national significance is crucial to providing evidence of the government's response. Records of advising government and agency coordination and planning in relation to significant events are recommended for retention as public archives as they provide evidence of core functions of the Central Agencies in a time of national response to an event.

Specialist review advice and input records are of a routine operational nature and are therefore recommended for destruction.

Departmental vote management records are similar in principle to those created as part of class 3.2 which are recommended for destruction. However, the fact that in this instance they relate to a significant national event, and that often the approval for funding and management of that vote occurs outside of usual budget cycles and formal processes (e.g. the Minister for Finance may need to announce government response money to be available within 24 hours of the event occurring with no time for formal Cabinet approval they are different in content and importance. These records are therefore recommended for retention as public archives for they provide evidence of a core function of the Central Agencies, plus coordination of government response to an event that is likely to be researched at a later date. E.g. the government response to the Napier earthquake. The

records of departmental monitoring of any specialist department established in the wake of a nationally significant event are also recommended for retention as public archives for the same reasons.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.5.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
5.1	Advising Government	A5
5.3	Agency coordination and planning	A5
5.4	Departmental vote management	A5
5.5	Departmental monitoring records	A5

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
5.2	Specialist review advice and input	D2
5.6	Routine administrative records	D1

5.6 Class no. 6 – Crown Ownership Monitoring

5.6.1 Description

This class applies to records created by Treasury only.

Treasury's Crown Ownership Monitoring Unit (COMU) monitors the government's investment in companies and other entities owned by the Crown, assist with the appointment of directors, and provide performance and governance advice to Ministers. Records relating to appointment of directors are covered by Class 14. This class covers records documenting the process of the monitoring of crown entities and the reporting carried out as part of that monitoring. This includes sub-classes of records covering:

- Annual portfolio reports
- Quarterly reporting records
- Monitoring supporting information
- Routine administrative records.

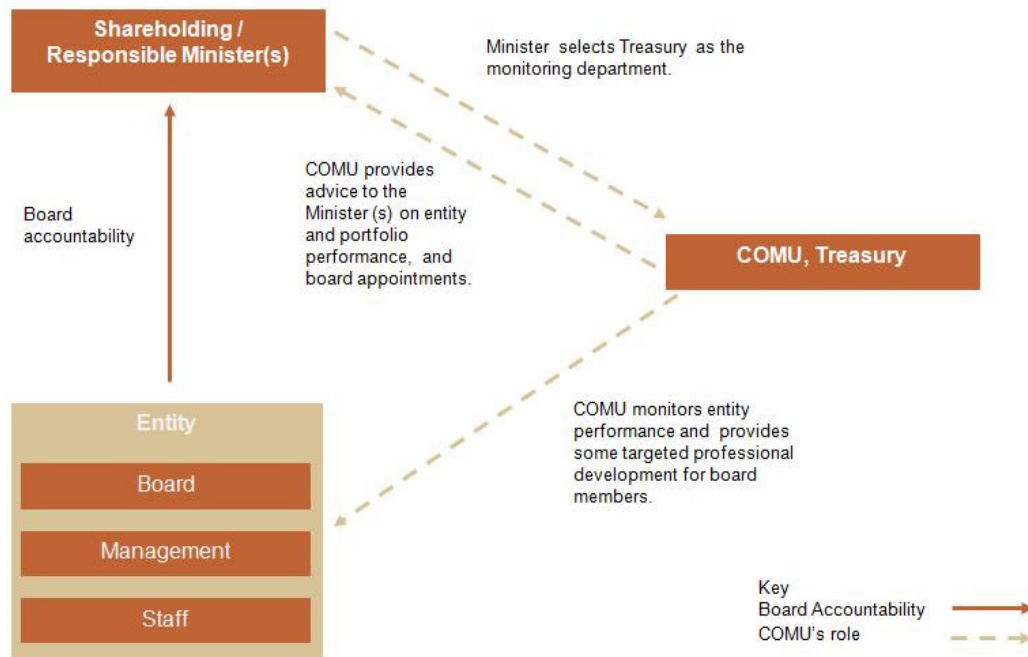
The roles of Shareholding and/or Responsible Minister(s) in an entity or company owned (or partially owned) by the Crown are supported by access to advisors with an understanding of the key issues at the strategic, public policy and entity level, and who can support the Minister in making board appointments. This role is mostly filled by departments which, in this particular role, are known as the monitoring department. The monitoring department provides advice on entity performance which enables the Minister(s) to hold the boards of the entities accountable.

There can be more than one monitoring department, although this is not the norm. COMU is the monitoring department for government entities that are operating as companies, some government entities that have commercial imperatives, and some companies where the Crown holds some shares. COMU monitors:

- State-owned enterprises
- Crown research institutions (CRIs)
- Crown owned companies
- Other Crown companies
- Statutory entities
- Air New Zealand Limited and
- The Crown's shareholding in a shipping line, (Pacific Forum Line) and four airports.

The diagram below shows COMU's role in relation to the Minister(s) and the government entities.

COMU as the Minister's monitoring agent



COMU releases an **Annual Portfolio Report** each year. The Annual Portfolio Report provides a snapshot of the performance of major companies in the Crown's portfolio and describes the overall performance of the portfolio. It is intended to stimulate the interest of stakeholders and the wider community in the performance of these businesses. Records covered by this sub-class are:

- Records of the development of the annual portfolio reports and the final report
- Correspondence with the monitored entity about the findings
- Advice to Ministers on the performance of the entities.

Quarterly reporting records are records of the process of preparing detailed reports for Cabinet on the performance of each entity monitored. This includes the finals of the actual reports.

Monitoring supporting information is a sub-class to cover all supporting and background information gathered and used to prepare all monitoring-related reports on an entity or portfolio basis, including reports on business cases, potential investment/divestment, post investment reviews, capital structure and other issues as necessary.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Crown Ownership Monitoring class. They include:

- 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.

5.6.2 Value

The Annual Portfolio Report and quarterly reporting records provide evidence of a core function of Treasury and the performance of companies and other entities owned by the Crown. They document how well (or not) companies and other entities owned by the Crown are performing. These records also provide evidence of how Treasury carried out its monitoring activities. They are therefore recommended for retention as public archives.

The background material and monitoring supporting information is of a routine operational nature with limited business value. It is therefore recommended for destruction.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.6.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
6.1	Annual portfolio reports	A5
6.2	Quarterly reporting records	A5

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
6.3	Monitoring supporting information	D2
6.4	Routine administrative records	D1

5.7 Class no. 7 – Financial Operations and Debt Management

5.7.1 Description

This class applies to records created by Treasury only.

This class covers records of the debt management and export credit functions of Treasury. This includes sub-classes for:

- Records of borrowing and investment agreements
- Summary borrowing and investment information
- Debt Management policy and strategy
- Commercial records of New Zealand export credit
- Export Credit Office policy manual and strategy
- Country Risks Reports and OECD/ECA Reporting
- Routine administrative records
- Investment Statement.

The New Zealand Debt Management Office (NZDMO) is the operating unit of the New Zealand Treasury responsible for managing the Crown's debt, overall cash flows and interest-bearing deposits. It was established in 1988 as part of the reform of the Government's financial management in order to improve the management of the risks associated with the Government's debt portfolio. The NZDMO's major responsibilities involve:

- financing the Crown's gross borrowing requirement and managing New Zealand dollar and foreign-currency assets
- settling and accounting for all transactions undertaken by NZDMO
- maintaining and developing an appropriate framework for efficiently managing the portfolio and the risks associated with it
- disbursing cash to departments and facilitating departmental cash management
- advancing funds to government entities in accordance with government policy
- providing capital markets services and derivative transactions for departments and government entities
- providing reporting for fiscal forecasting and financial statements
- maintaining a diversified funding base and, where appropriate, enhancing relationships with investors who hold, or are potential holders of, New Zealand government securities and with financial intermediaries and the international credit rating agencies.

The New Zealand Export Credit Office (NZECO) provides financial guarantee products for New Zealand exporters and banks. The products help exporters manage risk and capitalise on trade opportunities around the globe. NZECO works directly with exporters and commercial financiers in New Zealand and offshore to support and improve the competitiveness of New Zealand exporters. NZECO's guarantee products are intended to extend the capacity of facilities in the private sector. The Government's maximum liability under the scheme is NZD 740 million. The NZECO sells a range of Minister of Finance guarantees and credit insurances to exporters and/or financiers covering:

- Political / country risks of the buyer's country
- Overseas buyer repayment risks
- New Zealand exporter performance / repayment risks.

The NZECO's products are generally unavailable from the private sector. The primary objective of NZECO is to guarantee the risk of non-payment of a credit, loan or bond. NZECO does not provide the actual loan nor does it directly finance the credit. Accordingly, the exporter must engage with their bank or financier to help prepare the best solution to enable finance terms to be offered to their buyer. The range of NZECO's products are summarised below:

Loan Guarantee (renamed in Dec 2012 from Short-term working capital guarantee)	The NZECO loan guarantee is provided to participating banks as security to enable proven small to medium sized exporters (defined as having turnover of less than \$50m) to access loan facilities to deliver on export contract(s) and for export activity. The availability of additional lending can provide the exporter with the liquidity and confidence to deliver on contracts and compete more effectively in the international marketplace.
US surety bond guarantee	NZECO will assess an exporter's ability to deliver on the proposed US Federal or State contract and then provide a performance guarantee to a US surety company who will then issue a bond to the US buyer, on behalf of the exporter.
Contract bond guarantee	NZECO will assess an exporters' ability to deliver on the proposed contract and then provide a performance guarantee to either the exporters' bank, bond provider, or a Surety Bond provider from the buyer's country who will then issue a bond to the overseas buyer, on behalf of the exporter.
Short-Term Trade Credit Guarantee	A short-term export credit guarantee is a trade credit insurance product enabling exporters and their banks to support usual repayment terms from offshore buyers' for less than 360 days. NZECO will indemnify the exporter (or their bank) in the event their buyer subsequently fails to pay due to commercial or political events.
Pre-credit guarantee	Covers production costs incurred prior to the shipment of the goods. Useful for exporters who produce custom-made products that cannot recoup costs before providing the goods.
Supplier credit	The NZ exporter grants credit to its international buyer as part of an export supply contract. The NZECO provides the exporter with a guarantee covering the risk of default on repayment of the credit.
Financing guarantee	A bank grants a credit to the international buyer or the buyer's bank in the form of a letter of credit, a bank guarantee or bills of exchange. The NZECO provides the lending bank with a guarantee, which covers the risk of default on repayment of the credit.

Buyer credit	A bank provides a loan to the international buyer or the buyer's bank, in order to finance the NZ exporter's supply of goods or services on credit terms. The NZECO provides the lending bank with a guarantee, which covers the risk of default on repayment of the loan.
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Project finance	A bank grants credit to a company whose sole aim is to establish and run a specific project. The NZECO provides the bank with a guarantee, which covers the risk of default on repayment of the credit.
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Records of borrowing and investment agreements are the operational records associated with borrowing and investment agreements such as "deal tickets" and correspondence with the parties relating to borrowing and investment activities.

Summary borrowing and investment information provides summary details of all borrowing and investment agreement in database form using a system called Matriarch.

Debt management policy and strategy records are the records of the development and maintenance of the operational policy manual and strategy that support the operations and set the direction of the NZDMO. This sub-class is very similar to 1.10 in that the records are 'operational policy' type records. They have been separated out into their own sub-class as they are created by the NZDMO which operates relatively separately within the Treasury and having a specific sub-class identifying these records will aid with implementation of the retention and disposal schedule.

The **Commercial Records of NZEC** relate to core operations such as commercial enquiries, applications, assessments and policies issued to exporters and banks. Records include:

- Insurance policies and summaries of policies
- Correspondence with parties
- Claim records and summaries of claims.

Export credit policy and strategy records are the records of the development and maintenance of the operational policy manual and strategy that support the operations and set the direction of the NZEC. This sub-class is very similar to 1.10 in that the records are 'operational policy' type records. They have been separated out into their own sub-class as they are created by the NZEC which operates relatively separately within the Treasury and having a specific sub-class identifying these records will aid with implementation of the retention and disposal schedule.

Country Risks Reports and OECD/ECA Reporting are records prepared to support risk assessments collated on countries to inform export credit insurance and guarantee activities as well as reports from OECD and international export credit agencies.

The **Investment Statement** provides an overview of the significant assets and liabilities on the Crown's balance sheet, how they have changed over time and how what the Crown owns and owes is forecast to change over the next five years. The main objective of the report is to enable greater scrutiny of the Government's management of its assets and liabilities, in order to strengthen the

current financial reporting framework. This sub-class covers records created during the development of the four yearly investment statement such as:

- Substantive versions of the statement
- Final approved investment statement
- Records of advice provided to government in relation to the statement.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Financial Operations and Debt Management class. They include:

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

5.7.2 Value

Records of borrowing and investment agreements and the summaries of those records provide evidence of the agreements and obligations of the government when sourcing funding. The summary information provides the 'index' to the full record. Both sub-classes are recommended for retention as public archives.

Debt management policy and strategy and export credit policy and strategy records provide evidence of the core commercial functions of the Treasury and how they operated and how they supported exports and debt management activities. The records have archival value as they provide evidence of how specific functions of Treasury were operated and managed over time. They are therefore recommended for retention as public archives.

The investment statement provides an overview of the significant assets and liabilities on the Crown's balance sheet and provides evidence of a core function of the Treasury. Records in this sub-class are therefore recommended for retention as public archives.

The commercial records of NZEC and the country risk reports that inform the commercial activities relate to core operations and as such are recommended for destruction.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.7.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
7.1	Records of borrowing and investment agreements	A1
7.2	Summary borrowing and investment information	A1
7.3	Debt Management Policy and Strategy	A5
7.5	Export Credit Office Policy Manual and Strategy	A5

7.7	Investment Statement	A5
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Records recommended for destruction:

Reference no.	Record type	Disposal criteria
7.4	Commercial Records of New Zealand Export Credit	D2
7.6	Country Risks Reports and OECD/ECA Reporting	D2
7.8	Routine administrative records	D1

5.8 Class no. 8 – Macroeconomic and Economic Research

5.8.1 Description

This class applies to records created by Treasury only.

This class covers records relating to economic research and analysis. Much of Treasury's work (policy advice, monitoring, reporting and research) relies on the creation and analysis of data relating to tax, financial markets and human capital, and economic activities. Some data is provided from external sources (such as Statistics New Zealand) which is manipulated to transform it for economic research purposes; other data is from datasets unique to Treasury where the data is gathered as part of its core business (such as fiscal incident studies, vote and budget data, tax data).

The data (and the models developed to allow analysis of the data) is used to support and build the empirical foundations to support policy advice. If, for example Treasury is developing policy relating to tax and welfare then data research and modelling will be carried out to support the policy project and will result in charts, graphs and snap-shot data comparisons that may be included in Treasury reports. TaxWell is the core modelling tool that has been developed by Treasury to carry out the modelling work.

This class covers the primary groups of records and data created to support economic research and policy advice. It includes sub-classes of records covering:

- Economic and fiscal modelling records
- Macroeconomic and fiscal planning and analysis
- Routine administrative records.

Economic and fiscal modelling records comprise technical models and time series data to support forecasting and fiscal modelling. The records are typically held in large datastores of modelling tools and as well as data include documentation on the data models, and how they work. Records produced may include:

- Charts and graphs
- Data comparison records
- Analysis reports
- Data models
- Documentation about the data models.

Macro-economic and fiscal planning and analysis activities include national and international macroeconomics, and advice to government on economic linkages, trade policy and tariffs, fiscal strategy, monetary policy, or NZ economic growth performance. Records document the planning and analysis activities to support policy development and are of a similar nature to the economic and fiscal modelling records listed above.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Macroeconomic and Economic Research class. They include:

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

5.8.2 Value

Economic and fiscal modelling records and records of macro-economic and fiscal planning and analysis provide evidence of core Treasury activities.

The modelling records are often core time series data that are used and re-used to develop models and support the development of government policy and fiscal strategy. The macroeconomic and fiscal planning and analysis records provide a big-picture and a long term view of the potential economic state of New Zealand dependent on government policy and decisions. Both sub-classes are therefore recommended for retention as public archives.

Note – it is likely that the economic and fiscal modelling records (class 8.1) and macro-economic and fiscal planning and analysis records (class 8,2) will need to be retained indefinitely by Treasury as modelling processes look over many decades of data in order to inform policy. A deferral of deposit will be sought for these sub-classes.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.8.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
8.1	Economic and Fiscal Modelling records	A5
8.2	Macroeconomic and Fiscal Planning and Analysis	A5

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
8.3	Routine administrative records	D1

5.9 Class no. 9 – International Relationships

5.9.1 Description

This class applies to records created by all three Central Agencies.

This class covers records documenting New Zealand's relationships with international bodies and participation in international initiatives where one of the Central Agencies is the New Zealand representative agency. This includes sub-classes of records covering:

- Relationships with international financial institutions
- Supporting international negotiations and working groups where one of the Central Agencies is chairing on behalf of New Zealand
- Supporting international negotiations and working groups where one of the Central Agencies is not the chair but is an active participant on behalf of New Zealand
- International negotiations and working groups where one of the Central Agencies receives material but is not actively contributing
- International organisation appointments
- Coordination of international visits and visitors
- Relationship management with peer organisations
- Routine administrative records.

Treasury is involved in relations with international financial institutions such as the World Bank and International Monetary Fund. **Relationships with international financial institutions** records cover the records created about how Treasury works with international financial institutions. Records include:

- Correspondence between parties
- Information documenting bi-lateral visits and discussions.

Records **supporting international negotiations and working groups where one of the Central Agencies is chairing on behalf of New Zealand** are records created as part of involvement in international work groups such as the APEC Investment Group, or negotiations for trade agreements with other countries where Treasury leads the “investment section” of free trade agreement negotiations, Trans Pacific Partnerships (TPP) negotiations - State Owned Enterprises Chapter, Foreign Investment NZ working group. Examples of the records created are:

- Meeting records
- Correspondence
- Discussion papers and policy statements
- Agreements
- Records about the NZ position for negotiations such as trade agreements.

There are also records created when **support is provided for international negotiations and working groups where one of the Central Agencies may not be the chair but is an active participant on behalf of New Zealand**. An example of such working groups are; International

Monetary Fund, World Bank, Asian Development Bank, APEC, all other Transpacific Partnership issues. In addition there are records of **international negotiations and working groups where one of the Central Agencies receives material but is not actively contributing**. Examples of such working groups are East Asia Summit, Regional Comprehensive Economic Partnership. In both instances, examples of the records created and received are:

- Meeting records
- Correspondence
- Discussion papers and policy statements
- Agreements
- Records about the NZ position for negotiations such as trade agreements.

International organisation appointment records document where a Central Agency, on behalf of the government, appoints members to international organisations as senior representatives. This includes employment of staff in the World Bank, appointment of New Zealand representation on the International Monetary Fund. Records may include:

- Employment records
- Appointment records
- Correspondence.

Records of the **coordination of international visits and visitors** are created as part of the coordination of visits overseas by Central Agencies officials or corresponding visits to New Zealand by officials from other countries. This may include:

- Invitations and correspondence
- Itineraries
- Presentations
- Briefings/debriefing reports.

Records of **relationship management with peer organisations** document how the Central Agencies interact with equivalent organisations in other countries, such as the Australian Treasury. Records include correspondence and advice records.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the International Relationships class. They include:

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

5.9.2 Value

All three of the Central Agencies have and manage a number of international relationships to support their functions, but also to represent the New Zealand government.

Records that document the relationships with international financial institutions, or records supporting international negotiations and working groups where one of the Central Agencies is

chairing on behalf of New Zealand or records created when support is provided for international negotiations and working groups where one of the Central Agencies may not be the chair but is an active participant on behalf of New Zealand are all recommended for retention as public archives. They provide evidence of how the Central Agencies manage their international relationships.

Similarly the records of international organisation appointment document where a Central Agency, on behalf of the government, appoints members to international organisations as senior representatives and are recommended for retention as public archives.

Records of the coordination of international visits and visitors the Central Agencies relationships with peer organisations are of a routine operational nature and are recommended for destruction.

The records where the Central Agencies may receive material from international organisations/working groups but are not actively contributing are likely to be available through other sources (such as the department that is the primary New Zealand representative, or from the working party/organisation themselves) so are recommended for destruction.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.9.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
9.1	International Relationship Management records	A8
9.2	Supporting international negotiations and working groups where Treasury is chairing on behalf of New Zealand	A8
9.3	Supporting international negotiations and working groups where treasury is not the chair but is an active participant on behalf of New Zealand	A8
9.5	International organisation appointments	A8

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
9.4	International negotiations and working groups where Treasury receives material but is not actively contributing	D3
9.6	Coordination of international visits and visitors	D2
9.7	Relationship management with peer organisations	D2
9.8	Routine administrative records	D1

5.10 Class no. 10 – Departmental Performance Investigations

5.10.1 Description

This class applies to records created by SSC only.

This class covers records of investigations and inquiries undertaken by the State Services Commissioner into departmental issues. It includes sub-classes of records covering:

- Terms of reference, reports and recommendations from investigations and inquiries
- Supporting documentation
- Routine administrative records.

The State Services Commissioner is considered to be a 'standing body with inquiry powers' as defined in the Cabinet Manual. Investigations/inquiries may begin as the result of a formal complaint or may be identified by the Commissioner directly as an issue within the State Sector that requires review. They can be similar in nature as Commissions of Inquiry. Examples of investigations or reviews that may fall into this category are:

- Report to the State Services Commissioner on Inquiry into Possible Unauthorised Disclosure of Information from the Cabinet Paper on the 'Stocktake of Schedule 4 of the Crown Minerals Act 1991
- Inquiry into Fisheries' Management of the Scampi Industry
- Report on the Performance of the New Zealand Qualifications Authority in the Delivery of Secondary School Qualifications
- Independent Quality Assurance (IQA) of the implementation plan and actions taken to date by the New Zealand Defence Force (NZDF) in relation to the crash of the Air Force Iroquois helicopter on Anzac Day in 2010.

Investigation and inquiry terms of reference, reports and recommendations records document the establishment of an investigation or inquiry and its authority and scope, and the development and drafting of the report and recommendations. The sub-class includes substantive drafts and final reports.

Supporting documentation covers all records concerning information gathered to support the investigation including:

- Contracting external party to undertake the review/investigation
- Submissions and evidence
- Substantive correspondence
- Legal advice
- Original complaint.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Departmental Performance Investigations class. They include:

- Routine correspondence

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

5.10.2 Value

Conducting department performance investigations is one of the core roles of the State Services Commissioner. Records of the investigation and inquiry terms of reference, reports and recommendations plus the supporting documentation are all recommended for retention as public archives. They can be considered to be similar to other types of investigations such as Commissions of Inquiry and therefore the disposal recommendation should be in keeping with standard precedent covering such public inquiries/investigations.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.10.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
10.1	Terms of reference, reports and recommendations	A6
10.2	Supporting documentation	A6

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
10.3	Routine administrative records	D1

5.11 Class no. 11 – Administration of Cabinet Fees Framework

5.11.1 Description

This class covers records documenting the management and administration of the Cabinet Fees Framework by SSC.

The Cabinet Fees Framework is the framework developed for determining or reassessing the fees paid to members of statutory and other bodies in which the Crown has an interest. This class includes sub-classes of records covering:

- Administration of Cabinet Fees Framework
- Advice to state sector organisations and Ministerial briefings/correspondence about the Cabinet Fees Framework
- Survey returns from agencies
- Routine administrative records.

Administration of the Cabinet Fees Framework covers records documenting the review and analysis of the Cabinet Fees Framework administered on behalf of Cabinet. Records include:

- Summaries of survey results
- Reports on the framework
- Reviews of the framework
- Analysis documents
- Consultation documents.

Advice to state sector organisations and Ministerial briefings/correspondence about the Cabinet Fees Framework includes records of each organisation and the advice provided by SSC in relation to the implementation of the Fees Framework.

Survey returns from agencies are records of detailed survey returns from agencies about fees paid that are summarised to support analysis and review of the Cabinet Fees Framework.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Administration of the Cabinet Fees Framework class. They include:

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

5.11.2 Value

Records documenting the administration of the Cabinet Fees Framework and the advice to State sector organisations and Ministerial briefings/correspondence about the Cabinet Fees Framework provide evidence of one of the key functions of the State Services Commission. In addition they provide evidence of how fees were set and administered for government over time. They are therefore recommended for retention and public archives.

Detailed survey returns from agencies are of a routine operational nature only and are therefore recommended for destruction.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.11.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
11.1	Administration of Cabinet Fees Framework	A6
11.2	Advice to state sector organisations and Ministerial briefings/correspondence about the Cabinet Fees Framework	A6

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
11.3	Survey returns from agencies	D3
11.4	Routine administrative records	D1

5.12 Class no. 12 – Consultation and Advice Over Collective Employment Agreement

5.12.1 Description

This class applies to records created by SSC only.

This class covers records documenting the development of and provision of advice about terms and conditions of employment within the state sector. The State Services Commissioner is responsible for supporting public service departments and the Minister of Education to negotiate collective employment agreements through developing standard employment terms and conditions and providing advice to agencies to support their negotiation. This includes sub-classes of records covering:

- Terms and conditions records
- Advice to agencies
- Routine administrative records.

Terms and condition records document the development and establishment of standard government terms and conditions of employment.

Advice to agencies records document advice provided and approval given to government agencies in relation to the negotiation of collective employment agreements, for example communications with an agency about the proposed bargaining strategy and approval of strategy.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Consultation and Advice Over Collective Employment Agreement class. They include:

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

5.12.2 Value

Terms and condition records and records of advice to agencies in relation to the negotiation of collective employment agreements both provide evidence of core functions of the State Services Commission. They also, provide evidence of the employment relations approach in the State sector over time and are therefore of likely research interest. These records are recommended for retention as public archives.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.12.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
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12.1	Terms and conditions records	A6
12.2	Advice to agencies	A6

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
12.3	Routine administrative records	D1

5.13 Class no. 13 – Promotion and Development of Capability of State Sector

5.13.1 Description

This class applies to records created by SSC only.

This class covers records that document the functions of improvement of the capability of the state sector through leadership development and departmental performance assessment/major projects assurance. This includes sub-classes of records covering:

- Leadership development records
- Capability promotion records
- Leadership development relationship management records
- Human resource capability survey development and reporting records
- Human resource capability survey data
- Human resource capability survey returns
- Performance improvement framework planning, development and review records
- Performance improvement framework routine operational records
- Performance improvement framework departmental and system reviews
- Major projects assurance
- Gateway reviews
- Project assurance methodology
- Routine administrative records.

Leadership Development Records document leadership development initiatives and programmes led by SSC concerning 'talent management' activities and career opportunities in the public service. An example of a programme is the Career Board where certain senior managers may be invited to be part of a programme to identify and follow agreed career paths and development programmes. Records of such a programme may include:.

- Planning and strategy documents
- Framework and programme development records
- Review of programmes.

Capability Promotion records document the content and approach used for delivering events to the "Top 200" state sector senior leaders, primarily Chief Executives and their direct reports. Events may include workshops and networking events.

Leadership Development Relationship Management records document the relationship between SSC and the Leadership Development Centre and other providers of leadership training and development services. Records include:

- Contracts for provision of services
- Meeting minutes
- Correspondence.

The **Human Resource Capability Survey** provides information about the Public Service workforce. The survey provides information on staff numbers, rates of pay and employment benefits, recruitment and retention rates, diversity and leave. Twenty items of information are collected about every public service employee. The survey is run annually and collects anonymous information about Public Service employees. It provides both a snapshot of the Public Service workforce at 30th June each year and information about employees who have left during the preceding 12 months. Three further sub-classes cover the records relating to the Human Resource Capability Survey. They are:

- Human Resource Capability Survey development and reporting records: concerning the development of the survey, processes and protocols for the collation of annual results and development of any reports interpreting the results
- Human Resource Capability Survey data: collated and confirmed datasets from the annual survey returns
- Human Resource Capability Survey returns: completed survey returns supplied by State Sector agencies as part of the annual survey.

SSC investigates and reports on matters to do with departmental performance in order to improve capability within the sector. A *Performance Improvement Framework* (PIF) is a review of an agency's fitness-for-purpose today and for the future. It looks at the current state of an agency and how well placed it is to deal with the issues that confront it in the medium-term future. It looks at the areas where the agency must improve to effectively carry out its business. Three sub-classes cover the records created in relation to the **Performance Improvement Framework**. They are:

- Performance Improvement Framework planning, development and review records that document the development, evolution and review of the Performance Improvement Framework. The records include:
 - discussion documents about the framework
 - business models and model descriptions
 - reviews of the framework and approach
 - framework strategies.
- Performance Improvement Framework routine operational records are records of the day to day routine operations of the PIF process. They include:
 - review notifications and correspondence and planning records (i.e. planning which agency will be reviewed and when)
 - contracts and correspondence about contract arrangements with reviewers
 - background information gathered to support the completion of PIF reports
 - draft reports.
- Performance Improvement Framework departmental and system reviews are records of the departmental and system-wide reviews undertaken. The records include:
 - correspondence with the departments reviewed about review findings
 - completed PIF reports
 - system-wide/sector-wide analysis of PIF findings
 - briefings to Chief Executives and Ministers on review findings.

In 2001, Cabinet required that the Treasury and the State Services Commission (SSC) monitor major IT projects by departments to assure Ministers that these projects will succeed. In 2010, the monitoring role was extended to all major projects (IT and other) that meet the defined criteria outlined in Cabinet Circular CO(10)2. Cabinet mandates, through this circular and the Guidance for Monitoring Major Projects, that a programme/project shall be monitored when it is defined as a new initiative, an ongoing development or acquisition project, or other type of project which meets any one or more of the following conditions:

- is assessed as High Risk, using the Gateway Risk Profile Assessment (RPA) tool (this is the primary means of identifying projects that require monitoring)
- is not an existing operational system and has projected total life-cycle costs of \$25 million or more (GST inclusive)
- if not delivered in line with the projected functionality requirements, cost and timelines, would expose the department to significant risk of impaired operational capability or expose the Government to significant fiscal or ownership risk
- will impact significantly on more than one department or agency
- has been nominated for monitoring by the responsible Minister.

Monitoring includes review of key documents such as business cases, developing the Terms of Reference of an Independent Quality Assurance (IQA) review, giving advice on options, and providing comment on Cabinet papers. **Major Projects Assurance** records are those that document the monitoring and support of major IT projects being undertaken by departments. Records may include:

- Project records submitted by agencies
- Records documenting advice and monitoring activities between SSC and the department
- Review reports
- Reports to Cabinet and tri-annual reports to SSC.

Projects identified as high-risk are reviewed at key decision points by Gateway review teams. Gateway is a project assurance methodology designed to improve project delivery. The process uses a series of short reviews to examine major government programmes and projects at key decision points in their lifecycle. **Gateway review records** document the review of projects requiring significant investment being undertaken by departments. Records include:

- Project records submitted by agencies
- Records documenting advice and monitoring activities between SSC and the department
- Gateway Review reports
- Reports to Cabinet.

Project assurance methodology and analysis records document the development and management of the frameworks used to provide major projects assurance or Gateway reviews of high risk projects and analysis carried out on the methodology and results of reviews. Records include:

- Methodology documents
- Planning frameworks
- Analysis.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Promotion and Development of Capability of State Sector class. They include:

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

5.13.2 Value

Leadership Development Records and capability promotion records document State sector leadership development initiatives and programmes led by SSC. They provide evidence of a core function of SSC and are therefore recommended for retention as public archives.

Record of the Human Resource Capability Survey development and collated and confirmed datasets are recommended for retention as public archives. They provide evidence of a core function of SSC and a picture of the make-up and capability of the State sector over time.

Records about the planning, development and review of the Performance Improvement Framework plus the actual review reports themselves provide evidence of a core function of the State Services Commission. They also provide a unique and very complete picture of how the State sector was performing over time and have therefore been recommended for retention as public archives.

Records documenting the Major Project Assurance methodology, analysis and the actual monitoring and review records are recommended for retention as public archives as they provide evidence of how SSC managed the core function of monitoring large scale and at risk State sector projects as well as evidence of the governance and management of the projects themselves.

Leadership development relationship management records are of an operational nature and are recommended for destruction as they are of limited business value only. The day to day operational records created to support the PIF process are also recommended for destruction because of their routine nature.

Gateway review records document specific reviews into departmental projects. While they relate to high dollar value and often significant projects the review records are viewed by SSC as being of an operational nature only. It is expected that the each department will be retaining project records under GDA6 for such significant projects and that part of those records would be the finals of any review carried out by SSC. They are therefore recommended for destruction.

The Human Resource Capability Survey returns are recommended for destruction as they are summarised in the reporting records associated with the survey which are recommended for retention.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.13.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
13.1	Leadership Development records	A6
13.2	Capability Promotion records	A6
13.4	Human Resource Capability Survey development and reporting records	A6
13.5	Human Resource Capability Survey data	A6
13.7	Performance Improvement Framework planning, development and review records	A6
13.9	Performance Improvement Framework departmental and system reviews	A6
13.10	Major Projects Assurance	A6
13.12	Project Assurance Methodology	A6

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
13.3	Leadership Development Relationship Management records	D2
13.6	Human Resource Capability Survey returns	D3
13.8	Performance improvement Framework routine operational records	D2
13.11	Gateway Reviews	D2
13.13	Routine administrative records	D1

5.14 Class no. 14 – Appointment and Employment

5.14.1 Description

This class applies to records created by SSC and Treasury.

This class covers records relating the appointment and performance management of state sector Chief Executives and appointment of Board members. It includes sub-classes of records covering:

- Public Service and Crown Entity Chief Executive appointment policy
- Performance management of Chief Executives
- Public Service Chief Executive appointment records
- Public Service Chief Executive personnel records
- Unsuccessful applicant information
- Advice to Crown Entity Boards negotiating terms and conditions of employment of Crown Entity Chief Executives
- Detailed Board appointment records
- Summary Board appointment records
- Board appointment process management records
- Routine administrative records.

Under the State Sector Act 1988, the State Services Commissioner is responsible for appointing and employing the Chief Executives who head the departments of the Public Service. The Act specifies separate roles for the Government and the Commissioner in the appointment of Chief Executives:

- The Government specifies its priorities in relation to Chief Executive positions
- The State Services Commissioner, acting independently, selects and recommends to the Government the candidate who best fits the requirements of the job
- Cabinet accepts the Commissioner's recommendation, the Governor-General signs the warrant, and the State Services Commissioner appoints the Chief Executive.

Public Service and Crown Entity Chief Executive appointment policy records document the formulation of operational policy and tools relating to the appointment and employment of Public Service and Crown Entity Chief Executives. Examples include model employment agreements and templates

Records of the **Performance Management of Chief Executives** include records documenting:

- Regular meetings between the State Services Commissioner or his delegate, and each Chief Executive
- Chief Executive self-assessment records
- Performance reports
- Chief Executive induction programme records
- Chief Executive development records.

Public Service Chief Executive Appointment Records are the formal appointment records for Chief Executive positions.

Public Service Chief Executive Personnel Records are similar to any other personnel record. This set of records is the formal set covering all public service Chief Executives. It is likely that each public service agency will also have a version of a personnel file for their Chief Executive (and those records are covered by GDA6/3.1.1). Records in the formal SSC set document:

- Terms and conditions information
- Leave requests and correspondence
- Payroll information.

Unsuccessful applicant information are records of applications, covering letters etc supplied by unsuccessful applicants applying for a Chief Executive role

The Crown Entities Act 2004 requires boards of statutory entities to consult the Commissioner about the terms and conditions of employment for their Chief Executives. Records of **Advice to Crown Entity Boards negotiating terms and conditions of employment of Crown Entity Chief Executives** are created to support SSC's role in providing advice to Crown Entity Boards in relation to employment of Chief Executives. The records include correspondence and advice records for each Crown Entity.

To support the performance of Crown Entities and Crown Companies the Crown Company Monitoring Unit within Treasury is involved in the appointment of board members to these entities. There are three sub-classes of records relating to Board appointments. They are:

- **Detailed Board appointment records:** Detailed records of appointments to Crown Company and Crown Entity Boards made by the Central Agencies; i.e. where the agency is responsible for appointing/approving Board members and managing the appointment process. Includes records of:
 - candidate information
 - applications (successful and unsuccessful)
 - background checks
 - evaluative material.
- **Summary Board appointment records:** Summary records of appointments to Crown Company and Crown Entity Boards made by the Central Agencies; i.e. where the agency is responsible for appointing/approving Board members and managing the appointment process. Records include:
 - lists of Board members for each Board
 - lists of those appointed
 - lists of unsuccessful applicants.
- **Board appointment process management records:** Records documenting the processes and policies followed in relation to appointment of Crown Company and Crown Entity Board members. Records include:
 - board appointment policy records
 - process documentation
 - enquiries/complaints and correspondence about Board appointment processes.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Appointment and Employment class. They include:

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

5.14.2 Value

All records relating to the appointment and performance of Public Service and Crown Entity Chief Executive appointment policy and performance are recommended for retention as public archives. This includes records from the sub-classes of:

- Public Service and Crown Entity Chief Executive appointment policy
- Performance Management of Chief Executives
- Public Service Chief Executive Appointment Records
- Public Service Chief Executive Personnel Records

The records in the listed sub-classes provide evidence on one of the core roles of the State Services Commission. They document the government’s approach and policy to appointment of Chief Executives, the appointment process and the management of the Chief Executives from a performance perspective after employment. The State Services Commission is the employer of the Chief Executives, therefore the set of personnel files held by SSC is the authoritative set and it is this set which should be retained permanently rather than any equivalent personnel files held by the Departments themselves.

The Central Agencies play an important role in relation to the appointment of people to the Board’s of Crown Entity’s and Crown Companies. The Boards of these organisations are responsible for setting direction, monitoring performance and responding to issues. Records of advice given about terms and conditions of employment of Board members, records documenting the Boards appointment process and summary Board appointment records are recommended for retention as public archives. They provide evidence of and insight to the Board appointment processes.

Unsuccessful Chief Executive applicant information and detailed Board appointment records are of routine operational value only and are therefore recommended for destruction.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.14.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
14.1	Public Service and Crown Entity Chief Executive Policy	A6
14.2	Performance Management of Chief Executives	A6

14.3	Public Service Chief Executive Appointment Records	A6
14.4	Public Service Chief Executive Personnel Records	A6
14.6	Advice to Crown Entity Boards negotiating terms and conditions of employment of Crown Entity Chief Executives	A6
14.8	Summary Board appointment records	A5
14.9	Board appointment process management records	A5

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
14.5	Unsuccessful applicant information	D2
14.7	Detailed Board appointment records	D3
14.10	Routine administrative records	D1

5.15 Class no. 15 – Develop and Promote Workforce and Employment Policies and Standards

5.15.1 Description

This class applies to records created by SSC only.

This class covers records that document the development and promotion of employment-related policies and standards across the State sector and the advice given to the State sector on such matters by SSC. It includes sub-classes of records covering:

- Advice to State sector on workforce and employment matters
- Development and promotion of codes and frameworks for guiding State Sector employment and workforce practices
- Investigation of matters of integrity and conduct
- Routine administrative records.

Records of **advice provided by SSC to the State Sector on workforce and employment matters** are records documenting advice given to the state sector about integrity and employment related policy, legislation and standards; for example:

- advice provided to agencies about proposed changes to the Employment Relations Act and the implications of those changes
- advice provided to Chief Executives about implementation of equality and diversity initiatives in their agencies
- advice provided about how staff should behave during an election period.

To support State sector integrity in employment relations SSC **develops codes and frameworks for guiding State sector employment and workforce practices**. This sub-class covers records documenting the development and promotion of the codes and frameworks; for example:

- Code of Conduct education/workshop materials
- records documenting support provided to agencies
- records of development of codes about conflict of interest
- records of the content of workshops developed and delivered by SSC, such as those run on "whistleblowing"
- records documenting the development of the workforce strategy framework
- records of advice provided on policy relating to the implementation of KiwiSaver.

Records documenting the **investigation of matters of integrity and conduct** within the State Sector include:

- integrity complaint records
- reports/results of inquiries and reviews conducted by the Commissioner.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Develop and Promote Workforce and Employment Policies and Standards class. They include:

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

5.15.2 Value

Records of advice provided by SSC to the State Sector on workforce and employment, development of codes and frameworks for guiding State sector employment and workforce practices, and records of the investigation of matters of integrity and conduct within the State Sector provide evidence of one of the core functions of the State Services Commission. They are therefore recommended for retention and public archives.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.15.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
15.1	Advice to State Sector on workforce and employment matters	A6
15.2	Development and promotion of codes and frameworks for guiding State Sector employment and workforce practices	A6
15.3	Investigation of matters of integrity and conduct	A6

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
15.4	Routine administrative records	D1

5.16 Class no. 16 – State Sector Retirement Savings Scheme Administration

5.16.1 Description

This class applies to records created by SSC only.

This class covers records created by the State Services Commission in its role as the Administrator of the State Sector Retirement Savings Scheme. It includes sub-classes of records covering:

- Scheme management records
- Scheme administration records
- Routine administrative records.

The State Sector Retirement Savings Scheme (SSRSS) is a voluntary savings scheme specially designed for the State sector. Following the Government's decision on the implementation of KiwiSaver in the State sector, the SSRSS closed to all new members from 1 October 2008. SSC administers the retirement scheme on behalf on the government.

Scheme management records are created to document and support the planning and decision-making processes of the scheme. They include:

- Budget plans
- Advice on to Commissioner on SSRSS
- Annual reports
- Forecast reports
- Expense reports
- Financial statements.

Scheme administration records are routine operational records that are created and gathered to support the administration of the scheme. They include:

- Claims/reimbursement records
- Quarterly returns and invoicing.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the State Sector Retirement Savings Scheme Administration class. They include:

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

5.16.2 Value

Scheme management records are recommended for retention as public archives as they provide evidence of a unique function of the State Services Commission, plus evidence of how the government managed the State Sector Retirement Savings Scheme.

Scheme administration records are routine operational records and are therefore recommended for destruction.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.16.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
16.1	Scheme management records	A6

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
16.2	Scheme administration records	D2
16.3	Routine administrative records	D1

5.17 Class no. 17 – Advice to the Prime Minister

5.17.1 Description

This class applies to records created by DPMC only.

This class covers records documenting the provision of advice directly to the Prime Minister by the Department of Prime Minister and Cabinet in his role as the Chair of Cabinet. It includes sub-classes of records covering:

- Advice register
- Policy review and advice prepared for Prime Minister
- Routine administrative records.

The Policy Advisory Group was formally established in 1990 within the Department of the Prime Minister and Cabinet (DPMC) in order to provide policy advice to the Prime Minister. Prior to that time, policy advisory services were provided by the predecessors of DPMC.

The role of the Policy Advisory Group is to support the Prime Minister as leader of the Government. Advisors provide free and frank advice on all items of government business, including issues of the day, directly to the Prime Minister and on occasion to other ministers. This activity includes the provision of up-to-date information on emerging policy issues and giving support to the Prime Minister's office.

The **advice register** is a register of formal advice given to the Prime Minister by the Department of Prime Minister and Cabinet. It contains summary information about the advice, such as dates and topics of advice. It also provides an 'index' into older policy advice given.

Policy review and advice prepared for Prime Minister includes records of formal and informal advice to the Prime Minister in his/her capacity as the Chair of Cabinet. Records include:

- Daily briefing notes
- Cabinet Committee briefing notes
- Issue-specific briefing notes
- Annotated responses from the Prime Minister to DPMC.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Policy Development and Advice to the Prime Minister class. They include:

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

5.17.2 Value

The records of policy review and advice prepared for Prime Minister and the advice register which acts as an index into those provide evidence of a core function of the Department of Prime Minister and Cabinet. They are therefore recommended for retention as a public archives.

Routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.17.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
17.1	Advice register	A7
17.2	Policy review and advice prepared for Prime Minister	A7

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
17.3	Routine administrative records	D1

5.18 Class no. 18 – Supporting the Governor General

5.18.1 Description

This class applies to records created by DPMC only.

This class covers records that are created when DPMC provides support to the Governor General. Some of the sub-classes created for this class are similar in nature to some of the classes in GDA6. The Governor-General is a unique function in government, and records that might be considered of a routine operational or administrative nature in the context of other government departments' recordkeeping must be considered in the light of that unique function. A class in this retention and disposal schedule has therefore been created to support the disposal of these records. . This class includes sub-classes of records covering:

- Functions and events summary records
- Functions and event operational records
- Special event records
- Correspondence from members of the public
- Presentation of credentials
- Prerogative of Mercy applications
- Patronage relationship management records
- Patronage records routine
- Messages, cards and routine correspondence
- Speeches
- Memoranda of Understanding between DPMC and Military Agencies
- Government House management and maintenance
- Government House visitors centre operations
- Routine administrative records.

Functions and events summary records are records that summarise events hosted by the Governor General. They include:

- invitation lists and acceptances
- final of invitation sent out
- final menus
- speeches
- post event write-ups/media coverage.

The Governor-General represents the Queen and all New Zealanders at important public ceremonies, including Waitangi Day and Anzac Day commemorations. **Functions and event operational records** are the full detailed records created as part of staging or hosting an event. This includes records such as:

- draft invitations and invitation lists
- correspondence with suppliers to the event
- event planning records.

The Governor General has a significant role in hosting 'special events', in particular events such as a Royal visit or the investiture of honours. The Governor-General also holds investiture ceremonies where New Zealand honours are conferred. These ceremonies are an opportunity to celebrate the achievements of New Zealanders in fields as diverse as sport, science, business, education, the law, and public and community service. This sub-class covers all **special event records**.

Correspondence from members of the public are records of correspondence to the Governor General where a response is required that is not a request for information; for example, correspondence from members of the public expressing their view of a particular issue or event.

Ambassadors and High Commissioners present their credentials to the Governor-General of New Zealand at ceremonies held at Government House throughout the year. Credentials are a letter from an Ambassador or High Commissioner's Head of State appointing them as their diplomatic representative. Credentials ceremonies are an important part of the Governor-General's constitutional and ceremonial duties. **Presentation of credentials** records document the presentation of credentials by ambassadors from other countries to New Zealand.

The **Royal Prerogative of Mercy** is an important constitutional safeguard in New Zealand's criminal justice system. It provides a special avenue for criminal cases to be re-opened where a person may have been wrongly convicted or sentenced. In New Zealand, the Prerogative of Mercy is exercised by the Governor-General as the Queen's representative. The Governor-General will act on the advice of the Minister of Justice, and has the power to grant a pardon, reduce a sentence, or refer a case back to the courts for reconsideration. Records include:

- applications and supporting documents from applicant
- correspondence with Minister for Justice
- recommendation from Minister of Justice
- final response from the Governor General.

The Ministry of Justice holds its own records of its role in investigating applications and advising the Minister of Justice on the exercise of the Prerogative of Mercy.

The **Patronage relationship management** records are those that document the Governor General's patronage of particular community organisations. This follows the tradition of royal patronage established in the United Kingdom. This sub-class covers records that document the relationship between the Governor General and charities/organisations for which he/she is the patron (such as the Prior of St Johns, Rhodes Scholarship, ARANZ). Records include:

- agreements
- reports on the organisation.

The routine **records relating to patronage** cover routine operational and administrative activities of the patronage for charities/organisations by the Governor General. Records include:

- invitations
- routine correspondence with organisations.

Messages, cards and routine correspondence are records of formal messages from the Governor General to be read at functions, or be sent to people/organisations in relation to significant events, congratulatory cards, cards/messages received, for example:

- letters sent to blood donors
- Christmas cards received from other Heads of State
- Waitangi Day congratulatory letters
- letters sent to other Heads of State to acknowledge their national days
- congratulatory messages from the Governor General to individuals.

A separate sub-class has been formed for records of all **Speeches** given by the Governor General at events and formal occasions.

Memoranda of Understanding between DPMC and Military Agencies are the records of arrangements and agreements with the military in relation to the Aide De Camp roles that support the Governor General.

Records relating to **Government House management and maintenance** are operational records documenting the management of the physical environment at Government House – both in Wellington and in Auckland. Records cover activities such as:

- the Government House Conversation Project
- grounds management and maintenance
- house management and maintenance
- security
- major supplier contracts etc.

The Wellington Government House was designed in the office of the Government Architect, John Campbell, the designer of Parliament Buildings, principally by his assistant, Claude Paton. Government House was built between 1908 and 1910. In late 2008, the House closed for a major strengthening and refurbishment project (known as the Government House conservation Project) and was officially reopened on 24 March 2011. As well as the Gatehouse at the main gate, other buildings and facilities include a tennis court and pavilion, a small swimming pool, a World War II-era bomb shelter, a squash court, and garages.

Government House is listed as a category 1 Historic Place.

The grounds cover about 12 hectares, some of which is flat lawn or garden, with much of the rest being steep hillside. The grounds, which are maintained by contract gardeners, were extensively redeveloped and re-landscaped in the late 1990s. The grounds have many heritage features and several plaques mark trees planted by the Queen and the Duke of Edinburgh, the Prince of Wales, the late Māori Queen, Te Arikinui Dame Te Atairangikaahu, and former Governors-General and their spouses. It has also significance as a named Maori site known as Kaipapa and was the former site of the Mt View Lunatic Asylum, and a remnant from that era, known as "Convict's Wall" still exists.

The site of the present day Government House, Auckland was first built upon in the 1880s or 1890s, although some of the trees are slightly older, dating from the 1870s. The House is much smaller than

the Wellington House, being designed as a family home. The Queen stays at the House whenever she visits Auckland.

Sir Frank and Lady Mappin bought the property in 1921 and spent the next 45 years, after building the residence, developing and landscaping the grounds. They gave the House and land to The Queen in 1962 for use as a Royal or Vice-Regal residence.

Only a few such large, long-established gardens have survived anywhere in New Zealand. The grounds have been endorsed as a "Garden of National Significance" by the New Zealand Gardens Trust. They feature many individual trees that are among the oldest of their kind in the country and because it retains some of the lava outcrops that were once a feature of the area, still covered in places by vegetation that also was once typical. Both the garden's design and its horticultural variety have particular merit.

Government House visitor centre operations are those records that document the operations of the newly opened visitor centre at Government House in Wellington. The visitor centre was built as New Zealand's Diamond Jubilee gift to Her Majesty The Queen. The Visitor Centre was opened by Their Royal Highnesses, The Prince of Wales and The Duchess of Cornwall, in November 2012. As part of the opening of the visitor centre Government House has established a visitor and educational programme. The programme allows members of the public to book tours for small groups while there are expanded opportunities for visits by schools and community groups to visit. Records included in this sub-class are:

- Visitor centre planning
- Publicity and major events
- Visitor monitoring and reporting
- Service descriptions.

Routine administrative records are those of a low-level nature created to support all other sub-classes in the Supporting the Governor General class. They include:

- Routine correspondence
- Low-level internal memos/correspondence
- Minor drafts not covered by any of the other sub-classes
- Information received for reference purposes.
- Routine contracts and correspondence relating to building maintenance

5.18.2 Value

A number of the sub-classes of records that have been identified as part of the Supporting the Governor General class are similar in scope to records covered by the Archives New Zealand General Disposal authorities. However, because they relate to the support provided to the Governor General and the important role that this position is within New Zealand as the Queen's representative, they are mostly recommended for retention as public archives rather than destruction. The records in general provide evidence of the function of the Governor General and how DPMC supported the Governor General to carry out his/her role effectively. Examples where this approach has been taken are:

- Government House visitors centre operations
- Government House management and maintenance

Sub-classes that provide evidence of the executive of the role of Governor General and the activities associated with that position are:

- Functions and events summary records
- Special event records
- Governor General Speeches
- Presentation of credentials
- The Royal Prerogative of Mercy **
- Patronage relationship management
- Memoranda of Understanding between DPMC and Military Agencies

Those records are therefore recommended for retention as public archives.

** It should be noted that the Ministry of Justice (MOJ) also holds Prerogative of Mercy files that record their part in the process. The MOJ schedule recommends them for retention. However, the set of records created and maintained by the Governor General’s office provides evidence of the entire process from application through to granting (or not) of the application. It is understood that the Minister of Justice (through the Ministry) provide the Governor General with records of their investigation and recommendation about whether or not the prerogative should be granted. It is therefore believed that the that the Prerogative of Mercy records held by the Governor General is in fact the authoritative record providing evidence of this important judicial function.

Functions and event operational records, correspondence from members of the public and messages, cards and routine correspondence are considered to be of a routine operational nature only and are therefore recommended for destruction.

Routine records relating to patronage and other routine administrative records are recommended for destruction as they are of a low-level nature only and of limited business value.

5.18.3 Recommendations

Records recommended for retention as public archives:

Reference no.	Record type	Disposal criteria
18.1	Functions and events summary records	A7
18.3	Special event records	A7
18.5	Presentation of credentials	A7
18.6	Prerogative of Mercy Applications	A7
18.7	Patronage relationship management records	A7
18.10	Speeches	A7
18.11	Memoranda of Understanding between DPMC and Military Agencies	A7

18.12	Government House management and maintenance	A7
18.13	Government House visitors centre operations	A7

Records recommended for destruction:

Reference no.	Record type	Disposal criteria
18.2	Functions and event operational records	D2
18.4	Correspondence from members of the public	D2
18.8	Patronage records routine	D2
18.9	Messages, cards and routine correspondence	D2
18.14	Routine administrative records	D1

6 Access Restrictions

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

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

[Removed]

7 Deferral of Deposit

A deferral of deposit will be sought for the following sub-classes of records:

Sub-class	Sub-class description	Reason for deferral
2.2	Research and analysis supporting policy development	Deferral will be sought because the raw data and datasets created under this class are re-used and added to as part of the ongoing modelling and analysis activities carried out in relation to government policy development
8.1	Economic and fiscal modelling records	Deferral will be sought because the raw data and datasets created under this class are re-used and added to as part of the ongoing modelling and analysis activities carried out in relation to macroeconomic and economic research
8.2	Macroeconomic and fiscal planning and analysis	Deferral will be sought because the raw data and datasets created under this class are re-used and added to as part of the ongoing modelling and analysis activities carried out in relation to macroeconomic and economic research
17.1	Advice Register	Deferral will be sought because DPMC require continued regular access to these records over a long period of time even after the record becomes non-current
17.2	Policy Review and Advice Prepared for the Prime Minister	Deferral will be sought because DPMC require continued regular access to these records over a long period of time even after the record becomes non-current

8 Appendix One – Retention and Disposal Spread-sheet

See attached separate spread sheet containing retention and disposal classes and recommended actions.

9 Appendix Two – Description of Core Electronic Repositories

The table below provides a list of all main electronic repositories supported by CASS across the Central Agencies. As well as the repositories listed below, there is still use of shared network drive across the central agencies where they are required for file types that don't work in other systems or in DPMC where not all unstructured records are stored within the EDRMS. Disposal actions for the records and information held in the repositories are described in the appropriate sub-class rather than by repository.

Service/System	Business Owner	Internal Users	External Customers
Unique Agency Systems			
DPMC: COSS database - Quantitative information about departmental performance in meeting ministers' expectations for Cabinet material	Secretary of the Cabinet and Clerk of the Executive Council DPMC	<ul style="list-style-type: none"> DPMC - Cabinet Office 	
DPMC: Monitoring Database - Monitoring of reports due back to Cabinet committees	Secretary of the Cabinet and Clerk of the Executive Council DPMC	<ul style="list-style-type: none"> DPMC - Cabinet Office 	
DPMC: Honours CRM system - Information about nominees for NZ royal honours and their nominators	Deputy Secretary of the Cabinet DPMC	<ul style="list-style-type: none"> DPMC - Cabinet Office 	
DPMC: MobileX - Event management for Governor-General's affairs and investitures	Official Secretary DPMC	<ul style="list-style-type: none"> DPMC - Government House DPMC – All Staff 	
SSC: HRC Data - Annual Human Resource Capability (HRC) Survey	Manager, Strategic Information SSC	<ul style="list-style-type: none"> SSC - Strategic Information team 	All government agencies
SSC - Common Measurement tool (CMT) benchmarking tool	Manager, Strategic Information SSC	<ul style="list-style-type: none"> SSC - Strategic Information team 	All government agencies
Treasury: CFISnet - Used to collect financial information from agencies, SOEs and crown entities, to automate cash disbursements, and to support the Budget process	Manager, Fiscal Management Treasury	<ul style="list-style-type: none"> Treasury - Fiscal management, fiscal reporting; Vote Analysts; CASS - Finance 	All government agencies, SOEs and Crown Entities
Treasury: COMU Board Appointments database - Used to manage appointments to	Manager, Appointments & Governance Treasury	<ul style="list-style-type: none"> Treasury - COMU 	General Public, specifically those seeking

Service/System	Business Owner	Internal Users	External Customers
<i>boards of 51 companies and entities</i>			appointment to a board
Treasury: DMO – Matriarch, payments operations and market information/data feed systems - Range of systems to support DMO operations including payment systems, financial information feeds, tendering systems and a bespoke system called Matriarch used to manage DMO business processes	Deputy Secretary, Financial Operations/Head of DMO Treasury	<ul style="list-style-type: none"> Treasury - All DMO business units 	Indirectly, LGFA is a customer who relies on DMO systems for day to day operations
Treasury: MOTO (Document Workflow) - Automated system for getting Treasury and Budget Report numbers, and assigning and processing OIA Requests, Ministerials and written PQs	Manager - Office of the Executive Treasury	<ul style="list-style-type: none"> Treasury - MAS, Managers, Analysts, Support staff 	
Treasury: EKN - Management of export credit transactions	Manager Export Credit Office Treasury	<ul style="list-style-type: none"> Treasury - ECO 	
Treasury: Taxwell - Used to model the effect of changes to New Zealand's tax and benefit system	Director, Tax Strategy Treasury	<ul style="list-style-type: none"> Treasury - Tax Strategy; ERA (Economic Research and Analysis) 	
Treasury: Forecasting, Monitoring and Economic Modelling toolset - Range of data and specialist tools such as EViews, TROLL and Matlab for forecasting and modelling	Manager, Forecasting & Monitoring Treasury	<ul style="list-style-type: none"> Treasury - Forecasting & Monitoring; Economic & Fiscal Modelling; ERA; Fiscal Management 	
Treasury: ERA toolset and models - Range of data and specialist tools such as GAUSS and STATA for economic research and analysis	Manager, Economic Research and Analysis Treasury	<ul style="list-style-type: none"> Treasury - ERA; Macroeconomics, International & Economic Research 	
Treasury: DICE - Department Internal Control Evaluation tool -used by auditors to assess agencies	Manager Fiscal Reporting Treasury	<ul style="list-style-type: none"> Treasury - Fiscal Reporting 	
Treasury: Voice recording -	Deputy Secretary, Financial Operations/Head of DMO Treasury		

Service/System	Business Owner	Internal Users	External Customers
Shared Agency Systems			
FinanceOne - Financial system	Finance Manager CASS	<ul style="list-style-type: none"> CASS Finance, Treasury Managers, Treasury Support Staff 	Learning State, Ministry of Culture and Heritage, Serious Fraud Office
Koha - Library catalogue	Manager Information Systems CASS	<ul style="list-style-type: none"> Treasury - All Staff SSC – All Staff 	
Common Systems Not Shared			
iManage - Document management for: <ul style="list-style-type: none"> Cabinet Office Cabinet office TS DPMC SSC Treasury 	Manager Information Systems CASS Secretary of the Cabinet and Clerk of the Executive Council DPMC Director, Office of the Chief Executive	<ul style="list-style-type: none"> DPMC – All Staff Treasury - All Staff SSC – All Staff 	
Email - Messaging calendaring and collaboration for: <ul style="list-style-type: none"> DPMC SSC Treasury 	Chief Information and Technology Officer CASS		
Intranet - Internal knowledge base and communications mechanism for: <ul style="list-style-type: none"> DPMC SSC Treasury 	Communications Manager Treasury CIO CASS	<ul style="list-style-type: none"> DPMC – All Staff Treasury - All Staff SSC – All Staff 	
Payroll systems - CHRISpay -payroll system	Human Resources	<ul style="list-style-type: none"> CASS – payroll team 	

Service/System	Business Owner	Internal Users	External Customers
<i>and HR kiosk for:</i> <ul style="list-style-type: none"> SSC (payroll only) Treasury 	Manager CASS	<ul style="list-style-type: none"> Treasury - All Staff 	
<i>ERM –payroll system for:</i> <ul style="list-style-type: none"> DPMC 			
Web site hosting: - www.dpmc.govt.nz cabinetmanual.cabinetoffice.govt.nz cabguide.cabinetoffice.govt.nz www.nzdmo.govt.nz	Various owners	<ul style="list-style-type: none"> All staff 	General public

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.