

Appraisal Report Amendment to an Existing Disposal Authority

Appraisal Report Amendment to an Existing Disposal Authority Department of Internal Affairs (AAAC)

File/Document ID	APP2019/0027
Agency	Department of Internal Affairs (AAAC)
Contact Name and Details	[Name and details removed]
Date	2 July 2019
Disposal Authority to be changed	DA633

Purpose/Circumstances

The Department's Internal Audit team reviewed the systems and processes for managing statutory appointments and delegations. The Assurance Report found that some delegation/authorisation types are not adequately covered by a disposal class and that consequently no clear authority exists to dispose of some appointments and delegations records.

One of the report's recommendations was to amend DA633 to make it clear what the retention and disposal requirements are for appointment instruments and delegations.

Some other changes that have been collated since the DA was approved in 2015 have been included where public consultation is not required.

Description of Amendment

Major changes

1. Proposed Amendment (Chief Archivist approval required – Major change):

	Current Class Details	Proposed amended Class Details
Title	Staff Delegations	Statutory Appointments and Delegations to persons by the Chief Executive
Number	DIA7.16	No change
Description	Records of delegations of Department of Internal Affairs core and statutory functions to staff. For example, Anti-Money Laundering and Counter Financing of Terrorism delegations under their Act.	<p>Records of delegations by the Chief Executive of DIA and Secretary of Internal Affairs and Secretary of Local Government and Government Chief Digital Officer, of statutory powers under Acts relating to DIA's core functions to:</p> <ul style="list-style-type: none"> • other public sector chief executives • employees, contractors or secondees from the state services, working for DIA • statutory office holders or other persons. <p>Includes:</p> <ul style="list-style-type: none"> • Statutory appointments and delegations of statutory powers and functions made under an Act administered by DIA. For example, Anti-Money Laundering and Countering Financing of Terrorism Act 2009, Births, Deaths, Marriages, and Relationships Registration Act 1995, and Gambling Act 2003. • Delegations of statutory powers to authorise staff to make decisions that relate to the Official Information Act 1982 and the Privacy Act 1993.

		<ul style="list-style-type: none"> Statutory appointments and delegations made under the State Sector Act 1988 that are not covered by Classes 3.1.1 or 1.2.4 of General Disposal Authority 6 – Common Corporate Service Public Records. <p>Note 1: This class does not cover employee appointment records of specified statutory officers (such as Chief Archivist, National Librarian). These records are covered by Class 3.1.1 of General Disposal Authority 6 – Common Corporate Service Public Records.</p> <p>Note 2: This class does not cover delegated power to managers common to all agencies, including authority to hire, promote, transfer staff etc. These records are covered by Class 1.2.4 of General Disposal Authority 6 – Common Corporate Service Public Records.</p>
Retention Period	10 years from last information entry date	No change
Disposal Action	Destroy	No change

<p>Change to Appraisal report</p>	<p>Existing wording – p. 36:</p> <p>Staff delegations records relate to the Department’s core and statutory functions performed by staff. For example, Anti-Money Laundering and Counter Financing of Terrorism delegations under their Act. They have high business value in terms of accountability and staff responsibilities but the value reduces considerably once the delegation expires. They are recommended for destruction.</p> <p>Existing wording – table on p. 37:</p> <p>DIA7.16 – Staff Delegations</p>	<p>Proposed wording – p. 36:</p> <p>Statutory appointments and delegations records relate to authorisation to perform the Department’s core and statutory functions under an Act administered by the Department. For example, the Anti-Money Laundering and Countering Financing of Terrorism Act 2009, Births, Deaths, Marriages, and Relationships Registration Act 1995, and Gambling Act 2003. They have high business value in terms of accountability and staff responsibilities but the value reduces considerably once the delegation expires. They are recommended for destruction.</p> <p>Proposed wording – table on p. 37:</p> <p>DIA7.16 – Statutory Appointments and Delegations to persons by the Chief Executive</p>
<p>Justification</p>	<p>Instruments of appointment and delegation are critical legal documents that evidence the establishment and transfer of statutory functions and powers. A lack of clarity about correct retention and disposal of these records poses a legal and reputational risk to DIA.</p>	

2. Proposed Amendment (Chief Archivist approval required – Major change):

	Current Class Details	Proposed amended Class Details
<p>Title</p>	<p>Passports – Applications lodged 1992 to 2011</p>	<p>No change</p>
<p>Number</p>	<p>DIA1.21</p>	<p>No change</p>

Description	Physical format passport applications lodged during the period 1992 to June 2011. Includes Certificates of Identity and Refugee Travel Documents.	Physical format passport applications lodged during the period 1992 to June 2011.
Retention Period	2 years from last information entry date	No change
Disposal Action	Destroy	No change
Justification	The Certificates of Identity and Refugee Travel Documents types do not get digitised and are not amongst the 1992 – 2011 records that have been destroyed.	

3. Proposed Amendment (Chief Archivist approval required – Major change):

	Current Class Details	Proposed amended Class Details
Title	Citizenship, BDM, Passports – Queries and Products	No change
Number	DIA1.23	No change
Description	[In Description]: <ul style="list-style-type: none"> Signed consent forms for other NZ Government agency searches including WINZ and IRD 	<ul style="list-style-type: none"> Signed consent forms or consents obtained by voice or other recordings, for other NZ Government agency searches including WINZ, IRD and Immigration NZ
Retention Period	Destroy 2 years from last information entry date or 2 years after expiry of Non-Disclosure Direction	No change
Disposal Action	Destroy	No change

Justification	To make explicit that recorded consents are the same class of content as signed paper consents. Immigration NZ consents were to be collected from 2018.
----------------------	---

4. Proposed Amendment (Chief Archivist approval required – Major change):

	Current Class Details	Proposed amended Class Details
Title	Customer Services Call Recordings and Data	No change
Number	DIA5.12	No change
Description	Customer Services Call Recordings and Data.	Customer Services Call Recordings and Data. Note: Does not include recordings of information covered by DIA1.23 Citizenship, BDM, Passports – Queries and Products.
Retention Period	1 month from date of creation	No change
Disposal Action	Destroy	No change
Justification	To make explicit that this class only covers low-level transactional recordings and that some other recorded content is covered by Class DIA1.23.	

Minor changes

1. Proposed Amendment (No Chief Archivist approval required – Minor changes)

Editorial changes (minor)	Current Details	Proposed amended Details
<i>i.e. class title, number, description</i>		Numerous minor editorial changes for spelling, spacing, consistency, etc. e.g. hyphen versus en-dash, incorrect cross references.
Justification	Clarity and there was an opportunity because of the more substantive amendments above.	