

Ad-hoc/One-off Appraisal Report

Note: Information in this report should be relevant and articulated in plain English to take into account the various audiences including the Chief Archivist, members of the public, and other information management personnel.

Parliamentary Service

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Agency	Parliamentary Service
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Purpose
<p>This appraisal report is for Parliamentary Service in their role as the lead agency in commissioning the Independent External Review of Bullying and Harassment of Staff in New Zealand's Parliamentary Workplace (<i>Francis Review</i>).</p> <p>The review was jointly commissioned by Parliamentary Service, Ministerial Services and Secretariat Support /Department of Internal Affairs and the Office of the Clerk of the House of Representatives (the Agencies).</p> <p>An independent external reviewer, Debbie Francis, was appointed to carry out the review.</p> <p>Any information and records (including data) created and received by the independent reviewer in relation to undertaking the review are public records. Disposal of these records can only occur with the Chief Archivist's authorisation under the Public Records Act 2005 (the Act).</p> <p>Though the majority of information and records are covered by General Disposal Authorities <i>GDA6 Common Corporate Service Public Records</i> (DA558) and <i>GDA7 Facilitative, Transitory, and/or Short-Term Value Records</i> (DA576), confidential submissions as substantive evidence collected by the reviewer are not covered by these GDAs.</p> <p>Therefore, an appraisal of this discrete set of information and records is necessary to provide disposal coverage for these confidential submissions, to allow for their legal disposal in</p>

accordance with the Act.
Scope
<p>Confidential submissions including survey responses, interview transcripts, emails and any other form of submissions received by the independent reviewer while conducting the Francis Review from December 2018 to May 2019.</p> <p>Any other records created or received by the reviewer are out of scope of this appraisal however, remain the responsibility of and under the control of Parliamentary Service.</p>
Format
This appraisal covers information and records in all formats.
Function/Activity Information/Collection
The reviewer managed the submission process including calling for and receiving submissions. The confidential submissions were received via email, online survey, PO Box and interviews.
Methodology
<p>This ad-hoc appraisal was undertaken by adopting the following methodologies:</p> <ol style="list-style-type: none"> 1) Researching business requirements The following resources were researched to understand its business requirements: <ul style="list-style-type: none"> - Press release 27 November 2018 - Terms of Reference for the Francis Review - Guide to the Francis Review - Survey: Frequently Asked Questions - Final public report 2) Considering precedents The following disposal authorities were reviewed for precedents: <ul style="list-style-type: none"> - Department of Internal Affairs DA531, DA633 - Office of the Clerk of the House of Representatives DA661 <p>No class was identified that could relate to the function of an independent external review.</p> 3) Considering other jurisdictions' disposal authorities covering inquiries or independent reviews: <ul style="list-style-type: none"> - National Archives of Australia (GRA 29) – Public or Official Inquiries - NSW State Archives & Records (GA 31) - Royal Commissions, Special Commissions of Inquiry, Commissions of Inquiry etc - Queensland Disposal Authority (QDAN 676) – Commissions of Inquiry <p>The authorities above were reviewed to see how other jurisdictions consider the value of submissions while conducting investigations/inquiries.</p>

- 4) Consulting the Appraisal Statement issued by Archives New Zealand in 2014 to justify appraisal decisions.

Class 1 – Confidential submissions

Description

This class covers all submissions made in confidence received by the reviewer while conducting the *Independent External Review of Bullying and Harassment of Staff in New Zealand's Parliamentary Workplace*. The submissions were received from the current and former staff employed or engaged by the Agencies from the 51st Parliament (since October 2014). The submission process was confidential to allow for '*free and frank disclosures and open discussion by those participating*'¹. Submissions include their experiences of perceived bullying and harassment (including sexual harassment and any systemic behaviours) in the Parliament workplace.

This will include (but is not limited to):

- submissions received via various channels (e.g. emails, PO Box, Focus group meetings)
- survey data
- interview transcripts/recordings

Value Statement

In general, submissions and statements presented to a public or government inquiry were appraised as archival value for permanent retention. This is no different to Australian archival institutions (see Methodology).

Although the information captured in the submissions is widely regarded as highly evidential and vital for public and government inquiries, the Francis Review was not set up as an inquiry and the context of this review should be taken into consideration when assessing the value of information.

It was established as an independent external review with a special commitment to confidentiality for the submitters. Beyond what was to be published in the final report, there was never any expectation that any of the submissions would be made publicly available.

The assurance of the confidentiality of submissions and their destruction at the conclusion of the review was necessary to ensure that free and frank disclosures were made, which support well-founded conclusions and recommendations in the final report.

¹ Extract from the Final Report: <https://www.parliament.nz/media/5739/independent-external-review-into-bullying-and-harassment-in-the-new-zealand-parliamentary-workplace-final-report.pdf>

It is also very doubtful that the value of these confidential submissions being permanently retained will outweigh the costs of their ongoing management (including the security required to protect the personal privacy of submitters).

In addition, the final report provides an analysis of submissions and where appropriate uses direct quotations “lightly edited to preserve anonymity”². Therefore, it is justifiable to destroy the confidential submissions as the final report is a fair representation of the submissions presented.

Retention and disposal recommendation

Destroy after the review has concluded.

² Ibid.