



PARLIAMENTARY SERVICE

Te Ratonga Whare Pāremata

Appraisal Report
For Parliamentary Service
Te Ratonga Whare Pāremata

8 February 2019

COMMERCIAL IN CONFIDENCE

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1 PURPOSE

The purpose of this appraisal report and accompanying disposal schedule is to obtain authorisation from the Chief Archivist for records created by Parliamentary Service with the aim of ensuring the effective and consistent management of core records and related documentation. The report will:

- Support effective and efficient records management/ as part of an information management or risk management framework
- To reflect any changes in records management or information management systems, functions or activities undertaken by public sector organisation
- Obtain legal authority to dispose of records not covered by the general disposal authorities (GDA6 (DA558) and GDA7 (DA576))
- To enable sentencing of current and future records when migrating data to new system
- Replace expired authority DA339

1.1 Scope and format

This appraisal report and the accompanying disposal schedule is format neutral and applies to current, non-current and yet to be created records in any format including data within other business systems pertaining to the functions of the Parliamentary Service and the Parliamentary Service Commission

1.2 Public Office (Agency) Information

Agency code	ABIK
Name of Public Office	Parliamentary Service Te Ratonga Whare Pāremata
Public Office's physical location	Parliamentary Precinct, Wellington
Year established	1985
Year disestablished	Current

Agency code	ABMY
Name of Public Office	Parliamentary Service Commission
Public Office's physical location	Parliamentary Precinct, Wellington
Year established	1985
Year disestablished	Current

1.2.1 Functions of the Parliamentary Service

Parliamentary Service provides administrative and support services to the House of Representatives and to members of Parliament. The Parliamentary Service is accountable to the Speaker of the House of Representatives who acts as the responsible Minister and determines the services that Parliamentary Service will provide to members and to the House. The Parliamentary Service is not considered to be a 'government department' but is part of New Zealand's State Services.

The services include providing members of Parliament with:

- Support staff in their offices
- Assistance with travel arrangements
- Facilities and building management, including building projects, management of heritage buildings, and contract management
- Policy advice
- Accounting services
- Research information services
- Security services
- Information and communications technology support
- Catering services

It is also responsible for looking after the buildings and grounds of the parliamentary precinct.

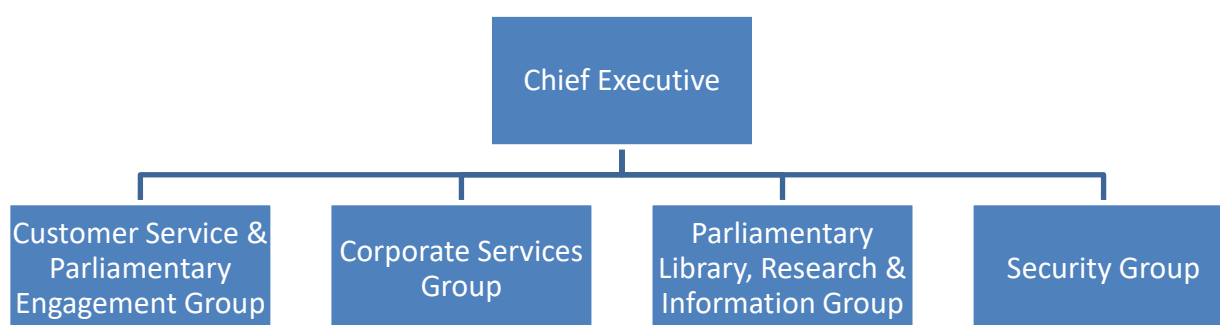
1.2.2 Relevant Legislation

The Parliamentary Service was established by section 6 of the Parliamentary Service Act 2000 (the Act). Its principal duties under section 7 of the Act are:

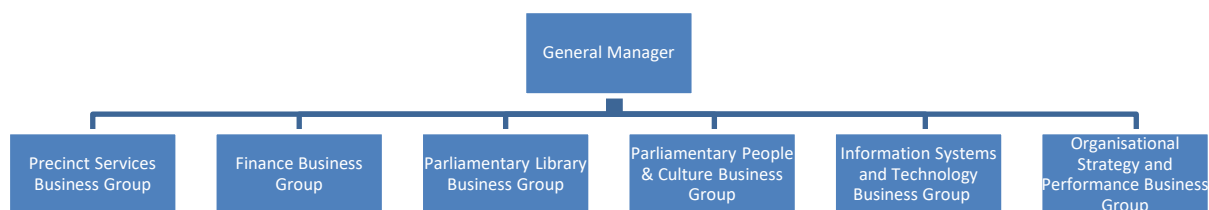
- To provide administrative support and services to the House of Representatives and to members of Parliament
- To administer, in accordance with directions given by the Speaker, the payment of funding entitlements for parliamentary purposes

1.2.3 Organisational Structure

The Parliamentary Service is headed by the Chief Executive, a non-political role accountable to the Speaker for the running of the Service. The service employs approximately c.460 staff as well as another c.260 people employed as Electorate and Community Office staff in the regions. It is organised into the following business groups:



Note that when this report was prepared, the internal consultations held, and the report originally submitted to Archives New Zealand on 17 August 2018 the organisational structure was significantly different to its present form. The previous structure (see below) is reflected in section 3.1 when identifying the internal positions consulted for the purposes of the schedule and report.



1.2.4 Functions of the Parliamentary Service Commission

The Parliamentary Service Commission (PSC) advises the Speaker about the services to be provided to the House of Representatives and to members of Parliament, and the objectives of those services. The Commission is made up of representatives from each of the parliamentary political parties, chaired by the Speaker.

It is constituted under the Parliamentary Service Act 2000 and has the following functions:

- to advise the Speaker on the nature of the services to be provided to the House of Representatives, members of Parliament, parties and qualifying electoral candidates;
- to advise the Speaker on proposed directions relating to the allocation and administration of funding to support the parliamentary operations of members of Parliament, parties, and qualifying electoral candidates;
- recommend persons who are suitable to be members of the appropriations review committee;
- consider and comment on draft reports prepared by the appropriations review committees; and
- to appoint members of the Parliamentary Corporation

PSC may also require the Speaker or General Manager of the Parliamentary Service to report on matters relating to the administration or the exercise of any function, duty, or power under the Parliamentary Service Act 2000.

1.2.5 Structure

The **membership** of PSC is governed under sections 15-18 of the Parliamentary Service Act 2000. Members of the Commission are:

- the Speaker, who also chairs the Commission;
- the Leader of the House, or a member of Parliament nominated by the Leader of the House;
- the Leader of the Opposition, or a member of Parliament nominated by the Leader of the Opposition;
- one member for each recognised party that is represented in the House by one or more members; and
- an additional member for each recognised party that is represented in the House by 30 or more members

PSC may form **committees**, to assist the Commission on any matter within the scope of its functions. Committee members do not have to be members of the Commission. The number and names of committees can change over time but have included such committees as the Artworks Committee, ICT Committee and the Precinct Committee. The decisions and actions of these formed committees are not captured within PSC records as they operate independently of the PSC.

The Parliamentary Corporation is a body corporate. It acquires, holds and disposes of land and other assets for parliamentary purposes. It provides a legal entity through which the Parliamentary Service can contract and manage its own risk. The records of the Parliamentary Corporation are part of the standard operating records of the Parliamentary Service.

1.3 Recordkeeping Systems

1.3.1 Electronic Business Documents (unstructured data)

The Service uses an enterprise content management solution (ECM) called Objective to store its electronic documents. The system was introduced 2008 and replaced shared drives. Objective is used to manage and control unstructured records which include typical office application documents, emails, images, pdfs etc.

Content held in Objective is arranged and accessed via a hierarchical taxonomy based on enduring business functions. Content is version controlled and managed under an access rights regime to ensure the secure and auditable management of business records. Since Objective was introduced c. 1.5 million records have been managed within it.

1.3.2 Paper Records

Any current physical records being created or received by the Parliamentary Service are held on site. This may be by the relevant business group (for example physical personnel files for current employees are held by Parliamentary People and Culture as are the most recent year of accounts payable invoices by the Finance Team).

All physical records are held on the Parliamentary Precinct in secure storage spaces. In total there are c. 400 linear metres of registered physical records currently held by the Service.

1.3.3 Business Information Systems (structured data)

The table below summarises the key business information systems used by Parliamentary Service.

System	Function and Content
Chris 21	Chris 21 is a comprehensive Human Resource Integrated Solution, which contains key HR and Payroll facilities.
Microsoft CRM (aka Kete)	A web-based customer relationship management workflow application that records service delivery information and the passing of information from one team to another for auctioning.

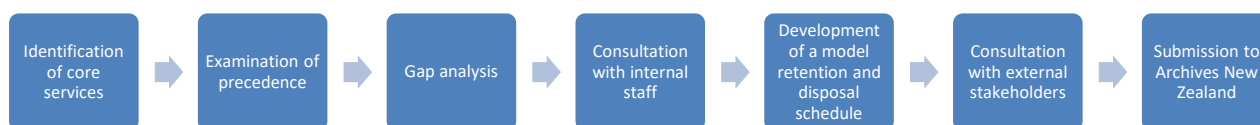
MagiQ	MagiQ is a finance reporting and budgeting tool that interfaces with Navision.
Gallagher	Gallagher is the security card id and personal authentication system that manages physical access and movement across the Precinct.
Microsoft Dynamic Navision system	Navision is the Service's Financial Management Information System (FMIS).
BEIMS (Building and Engineering Information Management System)	A system containing a register of Parliamentary Service physical assets over a particular value and also to record and allocate building work requests
Snaphire	A workflow system used for the end to end recruitment process
Cornerstone	A system used for the management of staff performance and professional development
Vernon	Manages artworks and gifts from acquisition through to disposal
Koha	Browser based library management software as a service.

2 METHODOLOGY

The core functions and activities of the Parliamentary Service were identified. An assessment was made as to whether these functions were covered by Archives New Zealand's general disposal authorities (GDA6 and GDA7) or should be covered by the proposed disposal schedule. In some instances, for example Security, some activities are covered by GDA6 and GDA7 while other activities specific to Parliamentary Service are included in the disposal schedule.

Workshops were held with representative staff to explain the purpose of the disposal schedule and identify specific types of information and retention requirements.

The process is summarised in the following diagram:



2.1 The Disposal Schedule

The table below describes the content of each of the fields in the disposal schedule.

Field Name	Description
Class	The reference number of the disposal class
Record Class Description	The broad class of records and sub-classes and a description of the record type
Examples of records	Examples of the records covered (or excluded)
Minimum Retention Period	The agreed period of time for which the record will be kept before being either Destroyed or Transferred to Archives New Zealand. Note – the Parliamentary Service is able to retain the information for longer if required
Trigger	The point at which the retention period begins
Disposal Action	Action to be taken once the minimum retention period has been met Retain as a 'Public Archive' or 'Destroy'
Restrictions	Restrictions that may need to be placed on records transferred to Archives New Zealand due to privacy or confidentiality of record contents

Archives New Zealand's Appraisal Statement (2014) sets out six appraisal criteria against which to assess the value of records in terms of their relative contribution to the knowledge and understanding of New Zealand's history and communities:

- **Business value:** Records that are fundamental to the ability of a public office or local authority to carry out its business and enable continuity of services to the Aotearoa New Zealand public.
- **Accountability:** Records that are fundamental to providing citizens with trust in government; providing evidence of the well-being of the community and the impact of government activities on them, in compliance with relevant legislation and regulations.
- **Rights and entitlements:** Records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups.
- **Legitimacy of authority:** Records that identify and document the source of authority and foundation of the machinery of government of Aotearoa New Zealand and its public sector bodies.
- **Te Tiriti o Waitangi:** Records that provide evidence of recognition and respect for, fulfilment of or aspirations to Te Tiriti o Waitangi /Treaty of Waitangi principles and the Crown's obligations, or in the absence of this, evidence of failure to fulfil obligations and/or principles.

- Knowledge: Records that will substantially contribute to knowledge and understanding of New Zealand, its history, geography, society, culture and achievements and New Zealanders' sense of their national identity.

2.2 Precedent

A number of current disposal authorities were examined to identify precedent and ensure consistency in the retention period and disposal actions. Disposal authorities referred to included:

DA661 Office of the Clerk of the House of Representatives

DA633 Department of Internal Affairs

DA648 New Zealand Police, National Headquarters

The disposal authority for the Department of Parliamentary Services in Australia was also examined.

- 2008/00533770 issued 19 November 2008 Information, Analysis and Advisory Services
- 2007/00210158 issued 29 February 2008 – Board Management; Building design and management; Business and facility services; Collection management; Health and recreation services; Parliamentary awards; Parliamentary insurance; Parliamentary protection

2.1 Gap Analysis

A gap analysis was undertaken to identify the key changes that had taken place since the development of the last disposal schedule, DA339 which expired in May 2018. The functions and ways of working of the Parliamentary Service have stayed largely the same since DA339 was created. However, some key changes identified were:

- The addition of a Parliamentary Protection class
- Records covered by GDA6 and GDA7 have been removed

3 CONSULTATION

3.1 Internal Consultation

A series of workshops were held with representatives from across the organisation. The draft appraisal report and disposal schedule documents were circulated to workshop participants.

Name	Role	Group
[Name removed]	[Details removed]	OSP
[Name removed]	[Details removed]	OSP
[Name removed]	[Details removed]	OSP
[Name removed]	[Details removed]	OSP
[Name removed]	[Details removed]	OSP
[Name removed]	[Details removed]	OSP
[Name removed]	[Details removed]	OSP

[Name removed]	[Details removed]	GM/OSP
[Name removed]	[Details removed]	FIN
[Name removed]	[Details removed]	FIN
[Name removed]	[Details removed]	FIN
[Name removed]	[Details removed]	PP&C
[Name removed]	[Details removed]	PP&C
[Name removed]	[Details removed]	PP&C
[Name removed]	[Details removed]	PP&C
[Name removed]	[Details removed]	PP&C
[Name removed]	[Details removed]	Security
[Name removed]	[Details removed]	Security
[Name removed]	[Details removed]	Security
[Name removed]	[Details removed]	D&C
[Name removed]	[Details removed]	D&C
[Name removed]	[Details removed]	LIB
[Name removed]	[Details removed]	LIB
[Name removed]	[Details removed]	LIB
[Name removed]	[Details removed]	IST
[Name removed]	[Details removed]	IST
[Name removed]	[Details removed]	IST
[Name removed]	[Details removed]	Precinct
[Name removed]	[Details removed]	Precinct
[Name removed]	[Details removed]	Precinct

3.2 External Consultation

Feedback and comment on the draft disposal schedule was invited from the following organisations:

The feedback received is documented in Appendix A:

Agency	Addressee/Responder
Parliamentary Counsel Office (PCO)	[Names and details removed]
Department of Prime Ministers and Cabinet (DPMC) / Treasury	[Names and details removed]
Office of the Clerk	[Names and details removed]
Department of Internal Affairs, Ministerial and Secretariat Support	[Name and detail removed]

4 DESCRIPTION AND EVALUATION OF CLASSES

4.1 Class 1 Governance and Accountability

Description
<p>This class covers records associated with the governance and overall accountability of Parliamentary Service. It covers records not included in the Archives New Zealand General Disposal Authority for Common Corporate Records (GDA6).</p> <p>Executive Leadership Team (ELT) meeting records include agendas, minutes and papers presented to the ELT.</p> <p>Parliamentary Service provides regular briefings to the Speaker of the House. These briefings may be contained either in the Weekly Briefings to the Speaker or in the form of ad hoc policy advice.</p> <p>Relationship management records that document high level relationship management with other campus agencies, for example the Office of the Clerk and DPMC.</p> <p>Correspondence to and from both the General Manager and the Speaker of the House is recorded in registers and the correspondence is captured in Objective.</p>
Value Statement
<p>The records in this class document the high-level strategic management, governance and overall accountability of the Parliamentary Service. The Executive Leadership Meeting records and Briefings to the Speaker of the House provide evidence of strategic decision making and planning and demonstrate the legitimacy of Parliamentary Service's authority.</p> <p>Correspondence and Relationship management records demonstrate Parliamentary Service's interaction with key stakeholders, the development of these relationships and the provision of advice. They provide evidence of how the Parliamentary Service interacts with its stakeholders.</p> <p>These records meet the accountability, legitimacy of authority, and knowledge (societal, a 'New Zealand' identity, cultural) criteria and are recommended for retention.</p>

Recommended for Retention as Public Archives

Class ID	Class Title
1.1.1	Executive Leadership Team Meeting Records
1.1.2	Briefings to the Speaker
1.1.3	Relationship Management
1.1.4	Correspondence of the General Manager and Speaker of the House

Recommended for Destruction

None

4.2 Class 2 - Planning and Advice

Description
<p>This class covers records documenting the function of organisational policy formation and advice at a strategic level.</p> <p>High level policy records document strategic level policy that is made in relation to the operation of the Parliamentary Service.</p> <p>In addition to regular briefings to the Speaker (see class 1.1.1), advice may be given to the Speaker on matters relating to or impacting on the delivery of the Parliamentary Service.</p> <p>Business Continuity Planning (BCP) records are included in this class as the disposal action differs from that of GDA6 and GDA7. The Business Continuity Plans detail arrangements that would need to be made to respond to crises such as the need to re-house Parliament in the event of an emergency or natural disaster. BCP documentation reflects the uniqueness of the organisation. It also establishes the powers and operations required to ensure the continuity of the business and decision making of Parliament.</p>
Value Statement
<p>The records in this class demonstrate decisions made in relation to servicing Parliament, how these decisions came about and the changes in policy directions over time. They document the nature of Parliamentary Service's operations, the extent of its powers and how those powers were exercised and provide important context about Parliament, its functions and operations over time.</p> <p>This small class of records relating to organisational policy and advice meet the accountability, legitimacy of authority, and knowledge (societal, a 'New Zealand' identity, cultural) criteria.</p> <p>The records will be invaluable for research into what decisions were made about how services would be delivered, how the decisions came about and the changes in policy directions over time.</p> <p>All records within this class are therefore recommended for retention.</p>

Recommended for Retention as Public Archives

Class ID	Class Title
2.1.1	Policy Advice Provided to the Speaker of the House
2.1.2	Business Continuity Planning

Recommended for Destruction

None

4.3 Class 3 Parliamentary Service Commission

Description
<p>This class covers records associated with the Parliamentary Service Commission (PSC).</p> <p>PSC meeting records document the official meeting process and include agendas and signed minutes, and papers presented at PSC meetings.</p> <p>PSC Sub-Committee meeting records document the actions of the sub-committees (e.g. Artworks Committee, Information and Technology Committee) and include agendas and signed minutes, and papers presented at committee meetings.</p> <p>PSC Reporting Records cover the formal reporting records of the PSC and include appropriation reviews and ad-hoc reporting from the PSC to the Speaker (the Chair of the PSC).</p> <p>Directions from the Speaker are the formal directions given to the PSC by the Speaker.</p> <p>PSC Membership Records cover the administration of PSC membership and include correspondence and administration records relating to the selection and appointment of PSC members.</p>
Value Statement
<p>The records in this class are the formal, core decision-making records of the PSC. They document the actions, discussions and recommendations of the key body advising the Speaker about the services to be provided to the House of Representatives and to Members of Parliament, and the objectives for those services. They provide evidence of advice and decisions made to the Speaker and demonstrate the Commission's authority.</p> <p>The first four classes described underpin and support the development of Parliament and are recommended for retention, as they meet the legitimacy of authority, accountability and knowledge (societal, a 'New Zealand' identity, cultural) criteria.</p> <p>PSC membership records are of an operational nature and summarised information relating to membership can be found in the Annual reports. These records are recommended for destruction.</p>

Recommended for Retention as Public Archives

Class ID	Class Title
3.1.1	PSC Meeting Records
3.1.2	PSC Sub Committee Records
3.1.3	PSC Reporting Records
3.1.4	Directions from the Speaker

Recommended for Destruction

Class ID	Class Title
3.1.5	PSC Membership Records

4.4 Class 4 Members of Parliament and their Entitlements

Description
<p>Parliamentary Service is charged with the development of policy and rules in relation to the entitlements (which are determined by other bodies) of Members of Parliament. The entitlements are largely financial and administrative such as travel, housing and use of cars.</p> <p>Details on current and former members of Parliament includes administrative information such as publicly available biographical information, family and contact details and routine service preferences.</p> <p>Parliamentary Service staff also provide advice and interpretation of the rules and policies on a case by case basis. Records documenting this advice are included in this class.</p>
Value Statement
<p>The finance and administrative policy and rules for entitlements have high evidential value as it is the primary record of conditions and entitlements for Members of Parliament. They demonstrate how Members entitlements have changed over time. They are therefore recommended for retention as they meet the rights and entitlements and knowledge (Societal, a 'New Zealand' identity, cultural) criteria.</p> <p>The records documenting the provision of ad hoc advice to Members have low value as they are of a routine nature and are therefore recommended for destruction. They primarily focus on the provision of advice or interpretation of the finance and administration rules and processes documented within the policy and rules for Members of Parliament. Note the Parliamentary Service considers that these records are current until the Member leaves Parliament.</p> <p>Details on current and former members of Parliament are of a routine operational nature and are recommended for destruction 6 years after the member has left the House.</p>

Recommended for Retention as Public Archives

Class ID	Class Title
4.1.1	Policy and Rules for Members entitlements

Recommended for Destruction

Class ID	Class Title
4.1.2	Advice to Members
4.1.3	Member of Parliament details

4.5 Class 5 Collection Management

Description
<p>This class covers records associated with the management of the Parliamentary Collection of artefacts and artworks.</p> <p>The Parliamentary Collection comprises historical and contemporary multi-media works, including paintings, installations, furniture, busts, and photographs. The collection includes items acquired through purchase, gift, bequest and some accumulated historical items held since the 19th century.</p> <p>These are defined as:</p> <ul style="list-style-type: none"> • Photographs • Furniture and equipment • Memorabilia • Monuments and statues • Plaques • Artwork Installations • Gifts • Taonga • Artworks <p>The overall day to day operations of the Parliamentary Collection is governed within the Parliamentary Service.</p> <p>The purchase of art works is governed by the Parliamentary Service Commission through an Artworks Committee (See Record Class No. 3).</p>

All information relating to the individual works is captured in a museum management database system (Vernon). This includes structured information on:

- Acquisition
- Description and a photographic image
- Location and movement
- Conservation management
- Licenses, ownership, and rights
- Access
- Loans
- De-accessioning and disposal
- Conditions reports, associated remedial work and related expenditure
- Values – collection valuations

Associated unstructured documentary records on areas such as purchase agreements are held on Object files managed in Objective.

Value Statement

Under the acquisitions criteria, Parliamentary Services aims to collect historical and contemporary items and receive gifts with an association to Parliament or New Zealand. They also aim to collect artworks that recognise the multicultural composition of New Zealand and of Parliament itself. The priority of the item and its historical significance is also considered.

It is recommended that records associated with the Management of the Collection and the Collecting Policy be retained as public archives as they meet the knowledge criteria and will substantially contribute to knowledge and understanding of New Zealand, its history, culture and New Zealanders' sense of their national identity.

Procedures associated with managing the collection are of a routine operational nature and are recommended for destruction.

Recommended for Retention as Public Archives

Class ID	Class Title
5.1.1	Management of Collection
5.1.2	Collection Policy

Recommended for Destruction

Class ID	Class Title
5.1.3	Collection Management Procedures

4.6 Class 6 Event Management

Description
<p>This class covers records associated with organising and facilitating events within the Parliamentary precinct.</p> <p>Significant events held within the Parliamentary precinct and directly managed and facilitated by the Parliamentary Service are ceremonial or official occasions. Examples include the opening of Parliament and the investiture of the Governor General. These ceremonies are run in accordance with a set of established protocols. Records associated with the management of these significant events include invitations and invitation lists, programmes of the event, menus, photographs and security operational plans</p> <p>The Parliamentary precinct is also made available to various parties to host non-Parliamentary public events. This may include events such as book launches or weddings. Records associated with these events include bookings, information on security passes and visitor lists.</p>
Value Statement
<p>Records associated with the management of significant events, and the protocols for these events, are few but will provide evidence of how the New Zealand Parliament conducts important ceremonies. These records meet the accountability and knowledge (societal, a New Zealand Identity, cultural) criteria and are recommended for retention.</p> <p>Records associated with the arrangements of non-Parliamentary public events held within the Parliamentary precinct are of a routine operational nature and are recommended for destruction.</p>

Recommended for Retention as Public Archives

Class ID	Class Title
6.1.1	Records of Significant Parliamentary Events
6.1.2	Protocol Guidance and Standards

Recommended for Destruction

Class ID	Class Title
6.1.3	Records documenting arrangements for non-Parliamentary public events

4.7 Class 7 Parliamentary Protection

Description

A core function of Parliamentary Service is the development, planning and management of security for the Parliamentary precinct. The nature and extent of this function meant that the section on security captured within Archives New Zealand general disposal authorities was not sufficient to cover all activities and this specific class has been created for inclusion within this disposal schedule.

Records in this class cover the function of developing, planning and managing security and emergency arrangements at Parliament precinct and its environment, to protect property and occupants, including Members of Parliament, dignitaries and visitors. Includes acquisition, installation and maintenance of security equipment, implementing advice received from security management bodies, intelligence gathering, liaising with emergency and police services, and management of security breaches and security controls.

There are three broad activities covered by this class:

Incident Management

Parliamentary Service manages and investigates incidents in the Parliamentary precinct. These incidents may be **major security breaches or incidents**, for example sabotage, physical injury or major damage to Parliament or **minor security breaches and incidents**, for example losing keys.

Security Operations

Decisions and directions for managing security are outlined in the **Security Policies**. The **Security Procedures** are set out in various records, for example in the Standard Operating Procedures, Temporary Instructions and contingency plans.

Security control records document the implementation of the procedures, for example, surveillance tapes, detailed maps and plans, visitor passes and rosters.

Security equipment and systems records document the installation and maintenance of security equipment controlled by Parliamentary Services.

Security Surveys of electoral offices are conducted to ensure these premises are adequately protected.

Security reports document routine security activities.

Surveillance tapes capture CCTV footage from cameras set up around the precinct for safety and security.

Access requests document the consideration of access requests, visitor passes, and recording and sign-in requirements.

Duty state sheets record the routine physical duty checks on the precinct undertaken by security shifts each day.

Security clearance records document the clearance process for all staff.

Security checks document the liaison and processing of Police and Ministry of Justice security checks.

Intelligence Gathering

Records capturing information on persons and groups of interest are maintained. Content of the registers include case sheets, profiles, correspondence and links to incident reports. This information is shared with relevant agencies and used to undertake threat assessment.

Security staff also keep a **pocket notebook** that records day to day activities. A key record are the Security Threat Assessments based on intelligence activities.

Value Statement

Incident Management

Records documenting a major incident or security breach (and their summaries) provide evidence of threats or damage to a nationally significant New Zealand institution, how such threats and damage were dealt with, whether precinct security was effective, or improvements were required. These records are recommended for retention on the grounds that they meet the accountability, rights and entitlements, and knowledge criteria.

Minor incident records are of an operational nature and are recommended for destruction. Their business value is transitory.

Security Operations

Security policies demonstrate the specific vulnerabilities and threats Parliament is subject to and the approach taken to keep Members of Parliament and the buildings safe. These records meet the accountability and knowledge (societal, a New Zealand Identity, cultural) criteria and are recommended for retention.

Operational and procedural records for implementing the policy, including information on security equipment and systems, security controls and security clearances are of an operational nature and are recommended for destruction.

Facilitative records such as the security surveys, security reports, surveillance tapes, duty state sheets, access requests, and security checks are routine in nature and transitory in value, and are recommended for destruction.

Intelligence gathering

Information gathered in relation to Persons of Interest (POI) and Groups of Interest (GOI) are used to inform security responses. This information is of an operational nature and is recommended for destruction. It is of business value only for its period of currency, with the retention period proposed (60 years) reflecting the potential active period of a Person or Group of interest.

Security Officers' pocket notebooks are in effect a transitory working document for security officers. Significant information from the notebooks will be found in registers and incident management reports. The notebooks are recommended for destruction.

Security Threat Assessments are evidence of the level of risk identified as relating to specific events or activities. They are key strategic and planning records reflecting the credibility and seriousness of potential threats and whether they could become a reality and Parliament's responses. These records are recommended for retention as public archives as they meet the accountability and knowledge criteria.

Recommended for Retention as Public Archives

Class ID	Class Title
7.1.1	Incident Management Major
7.1.3	Incident Summary Information

7.2.1	Security Policies
7.3.3	Security Threat Assessments

Recommended for Destruction

Class ID	Class Title
7.1.2	Incident Management Minor
7.2.2	Security Procedures
7.2.3	Security Surveys
7.2.4	Security Equipment and Systems
7.2.5	Security Control
7.2.6	Security Reports
7.2.7	Surveillance tapes where no incident has occurred
7.2.8	Surveillance tapes where an incident has occurred (minor)
7.2.9	Access Requests
7.2.10	Duty State Sheets
7.2.11	Security Clearances
7.2.12	Security Checks
7.3.1	Persons of Interest/Groups of Interest
7.3.2	Security Officers Pocket Notebooks

5 ACCESS RESTRICTIONS

[Details removed]

[Details removed]

Caveat

Refer to any sentencing guidelines accompanying this report for specific recommendations:

- **Records must be kept for the minimum period specified.**
- **The retention periods in the disposal schedule do not override any other retention period required by law.**
- **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.**
- **No disposal action may be taken under this authority to any record in respect of which an OIA request has been made under the Official Information Act 1982 until such time as access has been granted to the requestor, or in the case where access is denied, an appeal against refusal has been determined or, in the case where no appeal is made, 3 months after the refusal.**

This authority is valid for a period of 10 years from date of signing, unless previously agreed with the Chief Archivist.

APPENDICES

Appendix One: External Feedback details

Agency	Feedback	Outcome/PS comment
Parliamentary Counsel Office (PCO)	The PCO had no comments on specific disposal recommendations or retention periods but did ask the following minor clarification questions.	
	For classes of documents with 'to be restricted at transfer' to Archives New Zealand, is there a period for how long these records could have open access or access can be allowed on conditions?	We have been advised by ANZ that restriction periods are not required to be specified until the point of an actual transfer. For the purposes of the RDA PS is simply making indications of content that we expect will require restrictions.
	Class 1.1.2 Relationship management – these high-level records have been appraised as evidence of how Parliamentary Service interacts with its stakeholders. It is understood that PS is the main formal record keeper of these records, particularly of the agreements made with OOC, DPMC, or PCO.	Every agency has a responsibility to retain and maintain their significant bilateral and multilateral relationship management records.
	Class 3.1.5 – PSC membership records – makes sense to put D-destroy as disposal action because this information is captured in PS Annual Report which in GDA 6 has 'Transfer to Archives New Zealand' disposal action.	Agreed
	p. 11, Appraisal Report Class 5.2 Planning and advice [Description] – second to the last line, there is missing 'to' between the words 'need' and 're-house'.	Amended
	How would you manage your metadata disposal?	The Service will continue to retain the metadata for all destroyed (or transferred) records in our ECM so at the very least the 'stub' of the disposed records will exist to be discovered and to document what happened to them, why and when. This will also allow the

Agency	Feedback	Outcome/PS comment
		disposal activities to be mapped and tracked against the specific disposal authority actions.
Department of Prime Ministers and Cabinet (DPMC) / Treasury	<p>Class 2.1.2 - Business Continuity Planning – We are not clear as to how the appraisal criteria are fitting (Legitimacy of Authority, Accountability and Knowledge) for Business Continuity Planning records specifically. It may be useful for the value statement to specify the value of Business Continuity Planning records.</p> <p>We recommend disposal by destruction after 10 years destruction</p>	<p>Value statement amended to add “. The BCP documentation reflects the uniqueness of the organisation. It also establishes the powers and operations required to ensure the continuity of the business and decision making of Parliament”.</p> <p>The Service included these records as retain because of the constitution role of the Executive and the national importance of ensuring the continuance of the sovereign governance in the event of an emergency.</p>
	Class 3.1.2 – Parliamentary Service Commission (PSC) Sub Committee Records. The value of retaining PSC Sub Committee records is not clear, given final decisions will be recorded at PSC Committee meetings.	The value statement has been updated to reflect that the PSC Sub Committees operate independently of the Parliamentary Service Commission. The records created by these Sub Committees are not captured in the PSC minutes and therefore require separate retention.
	One small spelling error on page 20 – under Description the s is missing off ‘New Zealanders’	Amended
Office of the Clerk	Advised that the appraisal report and disposal schedule had been reviewed and that the Office had no comment or suggestion to make.	n/a