



Appraisal Report

Functions, Activities and Records Evaluation

Broadcasting Standards Authority

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Purpose

The Broadcasting Standards Authority (BSA) is currently reviewing its records management processes. As part of this review, the BSA wish to renew their disposal schedule to ensure that a new schedule is fit for purpose in the BSA's increasingly digital environment. The current disposal authority DA255 is due to expire in January 2017 but an extension has been granted to 9 January 2018 to ensure continuing coverage. A further extension will be granted if required in order to finalise the replacement schedule. This appraisal report seeks approval for the disposal schedule to assist the BSA in meeting its recordkeeping responsibilities under the Public Records Act 2005.

Scope

This schedule applies to all records created, maintained and received by BSA. It covers current, non-current or yet to be created records. This schedule covers records in:

- Digital format
- Hard copy
- Audio/video (Vimeo, DVD, VHS)

This schedule excludes records covered by Archives New Zealand's General Disposal Authorities, GDA 6 and GDA 7.

Agency Information

Name of Public Office	Broadcasting Standards Authority
Alternative name	BSA
Agency Code	ABJV
Year established	1989
Year disestablished	Current
Website	www.bsa.govt.nz

The Broadcasting Standards Authority (BSA) is an independent Crown entity and quasi-judicial tribunal established by the Broadcasting Act 1989 (the Act).

The functions of the BSA are set out in the Act. Section 5 of this Act requires that a body other than the broadcaster must be available for complaints, and section 20 establishes that body, the BSA.

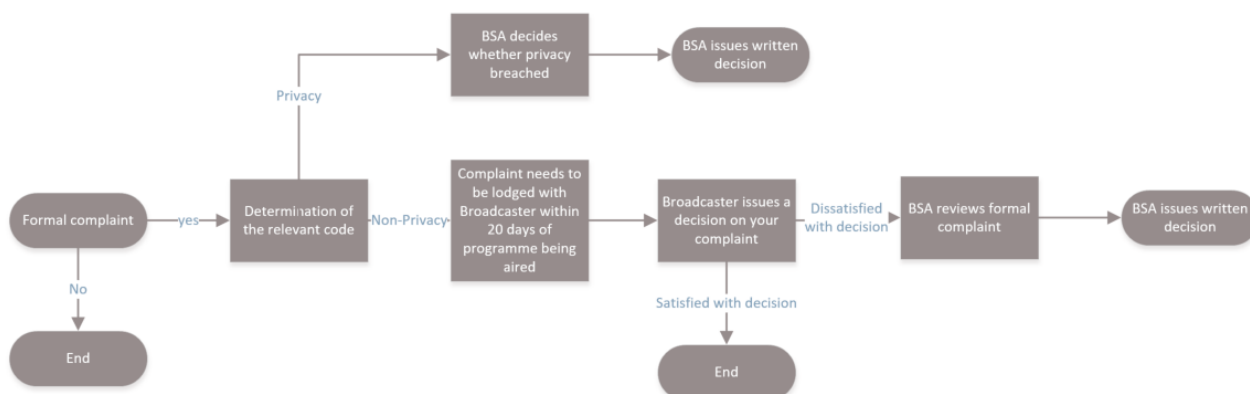
The BSA has three key functions:

- a) complaints determination with respect to broadcasting standards
- b) oversight and development of the broadcasting standards system, including the receipt of levies, stakeholder engagement and research
- c) information and communication including guidance to broadcasters and the public, information about the standards and complaints decisions and related research.

The BSA provides the public with a free, independent complaints service, determining complaints that allege that a broadcaster has breached one or more standards in one of the codes of Broadcasting Practice. BSA deals with programmes on broadcast media, which includes free-to-air television, pay television, and radio. The BSA is also responsible for deciding complaints about broadcast election programmes. The BSA works with broadcasters and others to set clear broadcasting standards, reviewing the Codes of Broadcasting Practice, issuing practice notes and undertaking research.

The third key activity of the BSA is to provide clear, user-friendly information about the broadcasting standards system and the BSA's decisions. Information is communicated through the BSA website, through media releases and through the publication of a regular newsletter.

Complaints Determination Process



Recordkeeping System Information

The BSA currently creates and stores electronic documents in a shared drive (S:\drive). There are approximately 32,500 files stored on the S:\ drive, which consists of approximately 159 Giga Bytes of data.

The BSA continues to print and file information for some activities and currently every report or publication is printed and stored physically. BSA is moving towards full digitisation of records but does not yet have a final ‘all digital’ policy in place. The paper file is regarded as the official record. E-mails and attachments are also printed and stored and linked to this paper file. All formal complaints and related enquiries are filed and structured in an official paper copy. Other miscellaneous non-complaints enquiries are stored and handled electronically. The recordkeeping policies and procedures were updated at the end of 2016.

The BSA keeps paper files corresponding with the approved file management structure in the shared drive. The responsible person for the file ensures all relevant documents and correspondence are stored on the paper file and that both the electronic and paper files are kept up to date. Paper files are stored in the BSA office and archived files are moved to the basement for storage. Files are then destroyed or sent to Archives NZ in accordance with the disposal schedule. BSA does not use offsite storage for paper files. The BSA’s Information Management Policy contains further information about how paper files are stored and managed.

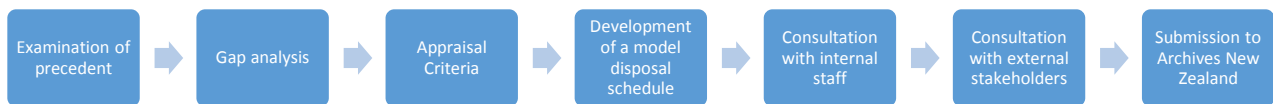
Broadcast material

The standard for storing broadcast material (both audio and audiovisual) is on the S:\drive and on Vimeo (an online video platform). The BSA also retains master DVDs of all broadcasts considered at Board meetings. Older broadcast material is also stored on VHS.

Methodology

Overview

The following process for the development of the disposal schedule and appraisal report has been followed.



Relevant precedent

Disposal Authority	Coverage	Controlling Agency
DA255	All hard copy records created by the Broadcasting Standards Authority in the performance of its functions	Broadcasting Standards Authority

Disposal decisions from the preceding disposal authorities have been continued with this new disposal schedule, where relevant.

Gap analysis

A gap analysis was undertaken to identify the key changes that had taken place since the development of the last schedule. The functions and ways of working of the BSA have stayed largely the same since the last schedule was created. The key changes identified were:

- Implementation of new technology (for example the use of online video storage over DVDs)
- Records covered by GDA 6 and GDA 7 have been removed from the schedule.

Application of Appraisal Criteria

The Archives New Zealand Appraisal Statement was used to inform the disposal criteria.

<p>Criteria One: Business Value</p> <p>Information and 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 New Zealand public.</p>
<p>Statement</p> <p>Information and records identified will be considered essential for the particular business processes or services of an agency or public office, or for fulfilment of other requirements whether legislative, regulatory or commercial. This information and records will need to be retained for a period of time as opposed to those of a transitory nature.</p>
<p>Guidance</p> <p>Indicators of value may include:</p> <ul style="list-style-type: none"> • requirements for business continuity – high value information and records; • evidence of decision-making; • use for business intelligence for the development of new services; • risk management; and • use in other business processes by other agencies.
<p>Length of retention will be determined by the business need for access to that information and records. Although information and records determined to have business value may need a long retention period their value beyond that date may not merit them becoming public archives.</p>

<p>Criteria Two: Accountability</p> <p>Information and 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.</p>
<p>Statement</p> <p>Information and records identified will be considered essential for the protection and well-being of current and future generations and enhance public confidence in the actions of public offices and local authorities. This includes information and records documenting the impact of government activities on the community or individuals, and the intervention of the government in people’s lives.</p>
<p>Guidance</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • the impact of Public Office or Local Authority’s actions, on people’s lives; • agreements between governments; and • audit or monitoring of government interventions in response to inequalities.
<p>Length of retention will be determined by the type of activity and influenced by the scale of impact and the level of accountability. Many activities have a big impact on individuals for a relatively short period of time, but once that activity is over accountability will diminish. However, the impacts of other activities have longer and wider implications and the level of accountability remains high.</p>

<p>Criteria Three: Rights and Entitlements</p> <p>Information and records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups.</p>
<p>Statement</p> <p>Information and records that are essential for the establishment and protection of fundamental rights and entitlements of individuals, legal or natural, and groups within the community and nation, and the ongoing administration of the government of New Zealand. This includes information and records documenting the existence of individuals or groups, their rights to participate in the affairs of the nation and make claim to entitlements, and protection provided by the government.</p>
<p>Guidance</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • impact on individuals/groups, people who are disadvantaged, effect on wellbeing, and the right to participate; • the effect on individual identity; and • proof of rights/qualification for ongoing rights.
<p>Length of retention will be influenced by the nature of the right or entitlement and the length of time that right or entitlement may need to be proved.</p>

<p>Criteria Four: Legitimacy of Authority</p> <p>Records that identify and document the source of authority and foundation of the machinery of government of New Zealand and its public sector bodies.</p>
<p>Statement</p> <p>Information and records that document the establishment and allocation of functions to government agencies and local authorities. They will define the nature and extent of their jurisdiction, obligations and powers. They will originate from legislation and central agencies of the public service.</p>
<p>Guidance</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • validation of authority e.g. high level public service appointments; • formal instruments or authorities establishing or dis-establishing functions, jurisdictions, mandates, powers and operations; and • judgments or rulings determining the extent of jurisdiction or powers.
<p>Length of retention will be determined by requirement for proof of authority.</p>

<p>Criteria Five: Te Tiriti o Waitangi / Treaty of Waitangi</p> <p>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.</p>	
<p>Statement</p> <p>Information and records provide evidence of government decisions that have been documented in relationship to consultation, negotiations, debates and discussions including those that document failure to fulfil obligations. They will also provide evidence of post Treaty settlement relationships and partnerships with Iwi Māori. They will be taonga available for all New Zealanders, iwi and the Crown.</p>	
<p>Guidance</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • Treaty negotiations and settlements; • the principles of the Treaty of Waitangi/Te Tiriti o Waitangi being acknowledged and embedded; • strategies to identify opportunities for partnerships with tangata whenua; and • the Crown sustaining and protecting Mātauranga Māori 	
<p>Length of retention will be determined by the level of evidential value.</p>	

<p>Criteria Six: Knowledge</p> <p>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.</p>	
<p>Statement</p> <p>All information and records carry knowledge through time. Ongoing retention is only justified for information and records identified as having the capacity and potential to substantially contribute to the body of knowledge or understanding that will materially improve the life of New Zealanders now and in the future.</p>	
<p>Guidance</p> <p>Societal</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • cohesion and conflict between social groups and the government • development and management of infrastructure • social well-being. 	<p>A ‘New Zealand’ Identity</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • New Zealand’s place in the world, international relations, involvement in, or opposition to global developments • involvement with, relevance to, global events, movements • uniquely New Zealand enterprises, systems, services • contributions of notable individuals to New Zealand’s character • Treaty settlements.

<p>Whakapapa/genealogical</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • Family relationships – links between the past and the present. 	<p>Cultural</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • iwi, hapū, ethnic community/group identity, issues and initiatives • government responses to, or services for, specific ethnicities • management /registration/preservation of areas of cultural or heritage importance/meaning • initiatives to preserve and/or promote a resurgence of languages.
<p>Scientific/technical/engineering</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • innovation, development or improvement to services / processes / infrastructure • degree of transformation of a service, delivery or process • major discoveries of importance for communities/New Zealanders. 	<p>Stewardship/Kaitiakitanga</p> <p>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • environmental monitoring, data - collections and analysis of environmental data • changes to land use e.g.; National Parks, marine reserves • contaminant usage, hazardous substances.
<p>Length of retention will be determined by the level of contribution.</p>	

Consultation

The following consultation processes were undertaken:

Internal Consultation

Consultation meetings were held with the following staff:

Name	Title
[Name removed]	Chief Executive
[Name removed]	Executive Sponsor Records Management
[Name removed]	Legal Advisor
[Name removed]	Executive Office Manager

The feedback from this review was incorporated into the report. A draft of the schedule was also discussed with the Board and comments incorporated into the draft.

External Consultation

BSA have asked the following organisations to provide comment on the draft appraisal report and schedule as part the external consultation process:

Organisation	Summary of Feedback
NZ on Air	No comments received.
Advertising Standards Authority	No comments received.
Ministry of Culture and Heritage	No comments received.
Television New Zealand	TVNZ were impressed with the report and schedule and noted no further comments.
Radio New Zealand	RNZ noted the comprehensive nature of the documentation, however queried the lack of specific information about how the BSA stored audio records. For example, what media was used and whether audio records were stored on Vimeo in the same way as video records. This feedback has been addressed on pages 4 and 6.
Māori Television	No comments received.
[Name removed] Victoria University of Wellington	No comments received.
SKY Television	No comments received.

Class Descriptions

Class 1: Accountability, Governance and Strategic Management

Description

The accountability, governance and strategic management class covers records relating to the strategic management, governance and overall accountability of the BSA. It covers the following sub classes:

1.1 Board Papers and Decisions

1.2 Levy Collection

1.3 Administrative Board Papers

1.1 Board Papers and Decisions

These records include the formal minutes and decisions of the Board. The Board minutes are printed and signed. These records also include authorised decisions of the BSA on broadcasting standards complaints. Information contained in the decision includes:

- The broadcast
- The complaint
- Standards against which the complaint was assessed
- A summary of the broadcaster's response to the complainant
- A summary of the complainant's referral to the BSA
- The BSA's determination
- A list of correspondence associated with the complaint

Complaints must be accompanied by a recording of the broadcast. Formats for storing these broadcasts have changed over time from VHS, to DVD and currently, digital files in the S:\drive (shared drive) and on Vimeo (though all broadcasts considered at Board meetings are stored on DVD).

1.2 Levy Collection

This class covers records relating to the collection of the Broadcasting Levy. Broadcasters are required by the Broadcasting Act 1989 to send an annual return to certifying certain financial information on which the levy, which is to be paid by the broadcaster, is calculated.

1.3 Administrative Board Papers

This class of records deals with records relating to all aspects of operational policies and procedures associated with the Board.

Value Statement

1.1 Board Papers and Decisions

Records recommended for retention as public archives in this class meet the **Accountability** criteria of the Appraisal Criteria. The records document the development, implementation and governance of the BSA's work, provide high-level evidence of how the BSA board manages its obligations under the Broadcasting Act 1989, and its decisions. These records are therefore recommended for retention as public archives.

Master recordings of subjects of complaint do not hold any long term informational value and are recommended for destruction unless they are considered a significant complaint as stated in sub class 2.1.1.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
1.1.1	Board Meeting Records	Agendas, minutes, correspondence and papers and reports presented to the Board, resolutions of the Board. Includes all reports to the Board, and summaries of policy decisions and approvals by the Board, Board resolutions and amendments	10 years	Date of last action	Retain as public archives
1.1.2	Board decisions	Authorised decisions of the Broadcasting Standards Authority	10 years	Date of last action	Retain as public archives

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
1.1.3	Videos and DVDs of subject of complaint	Master recordings of broadcasts subject to complaint presented to Board to assist in decision-making process (excluding master recordings relating to significant formal complaints – see 2.1.1)	10 years	Date of last action	Destroy

1.2 Levy Collection

Records relating to the collection of broadcasting levies are specific to the BSA. The records in this sub class are lower level routine/operational and as such they are of short term business value. They are therefore recommended for destruction.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
1.2.1	Broadcasting levy collection records	Records of levy funds collected from broadcasters.	7 years	Date of last action	Destroy

1.3 Administrative Board Papers

The records in this sub class are lower level routine/operational and as such they are of short term business value. The operational papers are available elsewhere. They are therefore recommended for destruction.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
1.3.1	Administrative and operational policy, guidelines and instructions associated with the Board	Records relating to all aspects of operational policies and procedures associated with the Board. This includes: - Protocols - Delegated authorities	10 years	Date of last action	Destroy

Class 2: Complaints

Description

The BSA is responsible for complaints determination. This includes firstly identifying whether the complaint is a **formal complaint** or an **informal** enquiry. In order to be recognised as a formal complaint under the Broadcasting Act 1989, the complainant must, in most cases, in the first instance write to the broadcaster stating their concern with a particular broadcast, identify a possible breach of standard/s and give reasons for the objection. If they are dissatisfied with the broadcaster's response they can then refer their complaint to the BSA. The exception is privacy or election programme complaints which can be sent directly to the BSA.

Once a complaint is received and deemed formal, a file is created with the control system of calendar year and complaint number (e.g. 2016/001). Sometimes there can be multiple complaints regarding one broadcast. In these instances the files are numbered 2016/001A, 2016/001B.

Information contained in formal complaints files comprises the original complaint, correspondence between the BSA, complainant and broadcaster, submissions from both the complainant and the broadcaster and miscellaneous information. All of this information is summarised in the decision published by the BSA.

Policies and procedures records relate to all policies and procedures associated with the formal complaints process.

The following classes of records are covered in the Complaints record class:

2.1 Formal Complaints

2.1.1 Formal Complaints – significant

2.1.2 Formal Complaints – minor

2.2 Informal Complaints

2.3 Policies and Procedures relating to the formal complaints process

2.1 Formal Complaints

This class covers records regarding complaints that set a precedent for future decisions by the board, and complaints files that document internal discussions and provide key evidence of the decision making process within BSA.

2.2 Informal Complaints

This class covers records of complaints that do not meet the criteria for formal decision making under the complaints process for example, enquiries. The informal complaints are those that do not fall under the jurisdiction of the BSA. The BSA retains a copy and forwards the complaint onto the appropriate party.

2.3 Policies and Procedures relating to the formal complaints process

This class covers records relating to policies and procedures including ratified policies and guidelines relating to the complaints process.

Value Statement

2.1 Formal Complaints

The majority of information in the formal complaints files can be found in other forms elsewhere, for example the decisions papers in Class 1.1.1. The only information not contained in these decisions is the original correspondence. It is recommended that the BSA retain records as public archives where these records relate to complaints that set a precedent or records that were the subject of multiple and high profile complaints. Records recommended for retention as public archives meet the **Knowledge** criteria, as they provide evidence of the shift in (societal) values over time.

Information about minor formal complaints is available in other forms elsewhere (such as the written and published decision), or is summarised in another class. Minor formal complaints are of short term business value and are therefore recommended for destruction.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
2.1.1	Formal Complaints - Significant	Significant formal complaint files include the following: - Records regarding complaints that set a precedent for future decisions by the Board - Complaints files that document internal discussions and provide key evidence of the decision making process within BSA - Records that were the subject of high profile and multiple complaints - Records of complaints subject to appeal - Electronic master recording that is the subject of the complaint.	10 years	Date of last action	Retain as public archives

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
2.1.2	Formal Complaints - Minor	Complaints received by the BSA under the formal complaints process that are not classified by the Legal Manager as significant complaints (applying the criteria in 2.1.1 above).	10 years	Date of last action	Destroy

2.2 Informal Complaints

Informal complaints do not meet the criteria for formal decision making and are only recorded and are usually forwarded to the broadcaster responsible or another relevant agency or entity (such as the Advertising Standards Authority). These records are therefore recommended for destruction, because they are of limited or short term business value.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
2.2	Informal complaints	Complaints that do not meet the criteria for formal decision making under the complaints process e.g., enquiries.	10 years	Date of last action	Destroy

2.3 Policies and Procedures relating to the formal complaints process

The records in this class provide evidence of the policies and procedures associated with a core function of the BSA and are recommended for retention. They document the nature of the BSA's operations, the extent of its authority over time and how this authority has been applied and provide important context about the BSA's functions and activities over time. They meet the appraisal criteria of **legitimacy of authority** and are therefore recommended for retention as public archives.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
2.3	Policies and procedures relating to the formal complaints process	Final approved versions of policy and procedures including ratified policies, guidelines (these may also contain some administrative policy and procedures information but this is administratively inefficient to separate)	10 years	Date of last action	Retain as public archives

Class 3: Codes of Broadcasting Practice

Description

The Broadcasting Act 1989 creates a system of broadcasting standards. There are eleven areas specified within this Act from which standards have been developed. They are:

- Good taste and decency
- Programme information
- Children's interests
- Violence
- Law and order
- Discrimination and denigration
- Alcohol
- Balance
- Accuracy
- Privacy
- Fairness

Codes of Broadcasting Practice are designed to provide guidance to the broadcasters and their audiences on standards. There are four codes:

- Radio
- Free-to-Air television
- Pay Television
- Election Programmes

As a key part of its core functions, the BSA collaborates with broadcasters to develop codes of broadcasting practice that apply to all television and radio broadcasters in New Zealand. Broadcasters are responsible for developing the codes. The BSA approves them after consulting relevant parties via submissions. The Codes are reviewed every five years. Records associated with the reviews include correspondence, drafts, legal opinions, final codes and administrative records.

3.1 Submissions

This class covers records associated with the opinions and recommendations made by groups and individuals, including broadcasters, previous complainants, lobby groups and academics, relating to the four broadcasting codes of practice.

3.2 Reviews

This class covers records relating to the code reviews. The code review enables all interested parties to have a say in the development of broadcasting standards, and to ensure that these standards reflect the general values and expectations of New Zealand society.

3.3 Development

This class covers records relating to the development of policy on broadcasting standards. It also includes development of potential future codes administered by the BSA.

3.4 Legal Precedent

This class covers legal opinion and/or cases that may have an impact on codes of broadcasting practice.

3.5 Administrative records associated with code reviews

This class covers administrative records and working papers not of a significant nature related to the development of the codes of broadcasting practice.

Value Statement

3.1 Submissions

These records provide evidence of one of the key statutory roles of the BSA. They demonstrate the development of policy on broadcasting standards. The submissions provide members of the public with trust in government because it shows that the impact of broadcasters on the community is protected by the BSA. The submissions record the voice and opinion of groups and individuals on how the broadcasters impact them, in compliance with the standards and codes, these records therefore meet the **Accountability** criteria and are recommended for retention as public archives.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
3.1	Submissions	Submissions from groups and individuals in relation to the review of broadcasting codes of practice: - Submission hearings - Submissions from individuals	15 years	Date of last action	Retain as public archives

3.2 Reviews

These records provide evidence of one of the key statutory roles of the BSA. They demonstrate the development of policy on broadcasting standards. These records meet the **accountability** criteria and are recommended for retention as public archives as they provide evidence of the accountability of government and the Authority in managing the regulatory regimes with which broadcasters must comply.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
3.2	Reviews	Review process by BSA on broadcasting codes of practice: - Review of Free-to-Air Television Code - Review of Radio Code - Review of Pay Television Code - Review of Election Programmes Code - Review of future Codes	15 years	Date of last action	Retain as public archives

3.3 Development

These records provide evidence of one of the key statutory roles of the BSA. They demonstrate the development of policy on broadcasting standards. They are recommended for retention as public archives on the basis that they justify **accountability** to the government by providing evidence of the protection and well-being of the general public, and enhancing public confidence in the actions of public offices and local authorities.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
3.3	Development	Development of new broadcasting codes of practice: - On-demand content code of practice	15 years	Date of last action	Retain as public archives

3.4 Legal Precedent

These records provide evidence of one of the key statutory roles of the BSA. They demonstrate the development of policy on broadcasting standards and therefore meet the **legitimacy of authority** criteria because they define the nature and extent of the BSA's jurisdiction, obligations and powers.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
3.4	Legal Precedent	Legal opinion and/or cases that may have an impact on codes of broadcasting practice.	15 years	Date of last action	Retain as public archives

3.5 Administrative records

Administrative records that are associated with code reviews are of short term business value and are recommended for destruction.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
2.2	Administrative records associated with code reviews	Administrative records and working papers not of a significant nature related to codes of practice development activities	10 years	Date of last action	Destroy

Class 4: Surveys and Research

Description

One of the statutory functions of BSA is conducting research and publishing findings on matters relating to standards in broadcasting and the functions of the BSA. The research programme includes regular surveys, for example surveys of the public's attitudes towards matters such as swear words and children's media use. Some research is conducted in-house and some contracted out. All of the planning and programming for research is undertaken in-house. While some research consists of one-off projects (for example the Children's Media Use Study) there is also longitudinal research carried out, for example the yearly Broadcaster Satisfaction survey.

Surveys and research contain the following subclasses:

- Surveys – Published
- Surveys – Unpublished
- Research projects- Published
- Administrative research and survey records

4.1 Surveys – Published

The BSA undertakes yearly surveys to measure its effectiveness and to identify areas for improvement and to measure or benchmark the general public's expectations. Other examples include surveys over time to measure how acceptable the public finds the use swear words in broadcasting and levels of public awareness about the BSA.

4.2 Surveys – Unpublished

This class covers records that contain unpublished detailed analysis and tailored reports produced to examine specific aspects on complainant satisfaction.

4.3 Research projects – Published

This class covers records that contain published detailed analysis and research reports produced to examine specific aspects on public attitudes and expectations that inform standards for broadcasting. BSA researches a broad range of topics, for example Children's Media Use and Litmus testing on BSA's decisions. All research reports produced by the BSA are published.

4.4 Administrative research and survey records

This class covers administrative records and working papers not of a significant nature related to the development of the research and surveys.

Value Statement

4.1 Surveys – Published

Published survey results are recommended for destruction as they will be available via legal deposit at the National Library of New Zealand and online.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
4.1	Surveys – Published	Final reports of surveys conducted by or for BSA.	10 years	Date of last action	Destroy

4.2 Surveys – Unpublished

This class covers records that contain unpublished detailed analysis and tailored reports produced to examine specific aspects of complainant satisfaction or public attitudes. These surveys may provide an insight into the wider community's perception of what is acceptable in broadcasting over time. They are recommended for retention because they meet the **Knowledge** criteria.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
4.2	Surveys – Unpublished	Final reports of unpublished surveys	10 years	Date of last action	Retain as public archives

4.3 Research Projects – Published

Published research is recommended for destruction as it will be available via the legal deposit scheme of the National Library of New Zealand.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
4.3	Research Projects – Published	Final reports of published research projects conducted by or on behalf of BSA	10 years	Date of last action	Destroy

4.4 Administrative Research records

This class covers raw data and administrative records and records associated with the administration of the research. These records are of a short term operational and business value and are recommended for destruction.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
4.4	Administrative research records	Records collected and created to support surveys and research. Records include: - Raw data - Draft reports - Contracts - Administrative correspondence	10 years	Date of last action	Destroy

Class 5: External Communications

Description

This class covers records relating to information communicated externally to clients, stakeholders, interested parties and/or the general public. Records in this class include:

- Significant external communications
- Public Awareness campaigns
- Social Media Communications

5.1 Significant external communications

This class covers records of information communicated externally to inform the media and the general public about decisions on complaints, including media releases, the BSA Bulletin and other publications. (This only covers external communication that is not covered by GDA 6-6.1.0 and GDA 6-8.1.7).

5.2 Public Awareness campaigns

This class covers records of the development and management of external public awareness campaigns (e.g. television advertisements).

5.3 Social Media Communications

This class covers routine and informal external and internal communication records that are published on authorised social media sites such as the official BSA Twitter account.

Value Statement

5.1 Significant external communications

Significant external communications by BSA cover summaries of decisions and summaries of published research and surveys. Media releases and the BSA Bulletin contain summarised information that is available in fuller extent elsewhere and are therefore recommended for destruction.

5.2 Public Awareness campaigns

Public awareness campaigns are run by BSA to inform the general public about the complaints system and how they can lodge a complaint. The campaign itself is of limited ongoing business value and is therefore recommended for destruction.

5.3 Social Media Communications

The records covered by this class are informal and transitory in nature and are recommended for destruction once their business value expires.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
5.1	Significant external communications	Media releases, BSA Bulletin and other publications	10 years	Date of last action	Destroy
5.2	Public Awareness Campaigns	Records of the development and management of external public awareness campaigns (e.g. TV ads)	10 years	Date of last action	Destroy
5.3	Social Media Communications	Routine and informal external and internal communication records that are published on authorised social media sites such as Twitter	Once no longer administratively required	Date of last action	Destroy

Class 6: Liaison and Collaboration with Other Organisations

Description

The BSA has strong links with organisations both nationally (for example the Advertising Standards Authority and Press Council) and internationally (for example the Australian Communications and Media Authority).

Subclasses covered by this class are:

- Stakeholder relationship management
- Joint working groups that are led by BSA
- Joint working groups that are not led by BSA
- Administration of shared services with other agencies

6.1 Stakeholder relationship management

This class includes records of relationship management activities that document the relationship between the BSA and strategic stakeholders or partners.

6.2 Joint working groups that are led by BSA

This class covers records associated with joint working groups of broadcasters and Government representatives which are led by BSA.

6.3 Joint working groups that are not led by BSA

This class covers records associated with joint working groups of broadcasters and Government representatives which are led by another Agency.

6.4 Administration of Shared Services with other agencies

This class covers records of facilities service management activities that document the relationship between the Chief Executive and strategic partners.

Value Statement

6.1 Stakeholder relationship management

These files provide evidence of BSA's interaction with broadcasting and wider community groups and the BSA's position on, or involvement in broadcasting issues. While the files do consist of material for

information only they also include correspondence between the BSA and the organisation and provide context for international precedent and practice in broadcasting standards. These records provide evidence of how BSA works with other stakeholders to contribute to broadcasting practice and standards. They are recommended for retention as public archives because they meet the **Knowledge** criteria by presenting the New Zealand identity and uniquely New Zealand systems.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
6.1	Stakeholder relationship management	Records of relationship management activities that document the relationship between the BSA and strategic stakeholders or partners Records may include: - memoranda of understanding - meeting records - relationship strategy records - correspondence - internal notes about the relationship	10 years	Date of last action	Retain as public archives

6.2 Joint working groups that are led by BSA

The records of committees and working groups administered by BSA demonstrate the key areas of research and evaluation that have been undertaken at a sector level. They provide evidence of how agencies work together to research and evaluate how policies and processes impact at a sector level. These records are recommended for retention as public archives as they demonstrate BSA's **legitimacy of authority** by providing evidence of how they carry out their functions at a sector level.

Recommended for retention as public archives:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
6.2	Joint working groups that are led by BSA	Records associated with joint working groups of Broadcasters and Government representatives established to oversee the process for working collectively. Example of joint working groups: - Broadcaster's Working Group Records include: - Minutes and agendas - Policy frameworks and discussion papers	10 years	Date of last action	Retain as public archives

6.3 Joint working groups that are not led by BSA

Records of committees and working groups administered and led by other agencies are recommended for destruction as they will be held by the lead agency.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
6.3	Joint working groups that are not led by BSA	Records associated with joint working groups of Broadcasters and Government representatives established to oversee the process for working collectively. Records include: - Minutes and agendas - Policy frameworks and discussion papers	10 years	Date of last action	Destroy

6.4 Administration of shared services with other agencies

Records of the administration of shared services are recommended for destruction as they do not relate to one of the functions of the BSA and are not of a significant nature related to the BSA.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
6.4	Administration of shared services with other agencies	Records of facilities service management activities that document the relationship between the Chief Executive and strategic partners. Examples of such stakeholders include: NZ On Air Records may include: memoranda of understanding, internal notes about the relationship, Shared Service agreements	10 years	Date of last action	Destroy

Class 7: Policy Advice

Description

This class covers records documenting the function of development of policy advice to the New Zealand government and Ministers.

The subclasses in this category are:

- Policy Advice – BSA led
- Policy Advice – Led by other agencies

7.1 Policy Advice – BSA Led

Records including formulation of advice in the area of BSA's policy and/or regulatory ambit.

7.2 Policy Advice – led by other agencies

Includes records where another agency is the lead agency and BSA is commenting or participating.

Value Statement

7.1 Policy Advice – BSA Led

Records associated with the formulation of policy meet the **accountability, legitimacy of authority, and knowledge (societal, a 'New Zealand' identity, cultural) criteria**. They demonstrate decisions made in relation to New Zealand broadcasting, how these decisions came about and the changes in policy directions over time.

Recommended for retention as public archives

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
7.1	Policy Advice – BSA Led	Applies to all policy formulation in the area of BSA's policy ambit. Includes discussion papers, policy papers, Cabinet briefings, meeting papers, briefing papers, projects on particular issues, terms of reference, results and reports from research, forecasting and modelling	10 years	Date of last action	Retain as public archives

7.2 Policy Advice – Led by other agencies

Records of BSA’s comments on policy led by other agencies are recommended for destruction as the expectation is the lead agency will be retaining the authoritative set of records. They are required by the BSA for business purposes only.

Recommended for destruction:

Sub-class:	Title	Description:	Minimum Retention Period	Trigger	Disposal Action
7.2	Policy Advice – Led by other agencies	Applies to all policy formulation where another agency is the lead agency and BSA is simply commenting or participating.	10 years	Date of last action	Destroy

Caveat

- 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.