

Appraisal report

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1. Purpose

1.1 Background

Statistics New Zealand Tatauranga Aotearoa (Stats NZ) was first established as an independent agency in 1936 and, since 1975, its functions and responsibilities have been governed by the Statistics Act 1975. Its core function under that Act is the management and delivery of New Zealand's statistical system, focused on the creation, collection, processing, analysis, and publishing of statistics, including official statistics¹, and maintaining their long-term sustainability for the benefit of all New Zealanders.

In 2017 that mandate was added to include data system leadership in the New Zealand data ecosystem, which includes both public and private sectors.

Until the Public Records Act 2005 came into effect, any public record of Stats NZ that was required to be kept secret, was exempt from the provisions of the Archives Act 1957 and managed the retention and disposal of its own records under the authority of the Government Statistician (Archives Act 1957 s3(b)). The Public Records Act 2005 repealed that exemption and amended the definition of 'record' to explicitly include data (Public Records Act 2005 s4).

Since 2005, Stats NZ has managed retention and disposal by using a mixture of the General Disposal Authorities (GDAs) issued by Archives New Zealand (GDA6 and GDA7)² and agency-specific disposal authorities for managing statistical information (see appendix 1). Several of the current disposal authorities have expired, are about to expire, or have identified gaps. Following a functional analysis, and in conjunction with the launch of a new content management system, a new schedule was created to cover all business requirements, to support consistent application across business groups, and to simplify use.

Since 2005, each Census of Population and Dwellings (2006, 2011, 2013 Censuses) has been treated as a unique event, with its own disposal authority. There is significant duplication of record classes between all three census disposal authorities and Stats NZ's Disposal Authority for Statistical Data, Metadata, and Documentation (DA379), which covers all non-census statistical data. It was therefore decided to amalgamate all statistical data requirements into the new schedule.

Key benefits of this approach are:

- it allows wider application of fewer, more generic record classes, simplifying use for affected business groups
- the new schedule is not year-specific, allowing more flexibility for future census development and reducing workload for census management
- it reduces duplication and streamlines business process
- all Stats NZ disposal activity is governed from one source, with GDA6 and 7.

¹ Official statistics are all statistics produced by government departments and specified crown entities. They can be collected through surveys or compiled from administrative records collected by agencies in the course of business activity.

² GDA6 General Disposal Authority for Common Corporate Service Public Records and GDA7 General Disposal Authority for Facilitative, Transitory and Short-Term Value Records

1.2 Schedule overview

The Disposal Schedule accompanying this report applies to all public records created or received by Stats NZ.

Stats NZ is aware that its changing business model, and its mandate to work across government in the wider data ecosystem, mean that this schedule may require future amendment.

The schedule consists of twelve classes of records:

- Governance, accountability, and strategic management of core functions
- Ministerial, parliamentary, and legal records
- External relationship management
- Statistical capability and training
- Research management
- Data and analytical frameworks, methodologies, standards, tools, and processes
- Data, metadata, collection tools, and supporting documentation related to data collection
- Data publishing and dissemination
- Retention, disposal and preservation of data, metadata, and information
- Records of historical value
- Business information systems
- Records that are too hazardous to handle.

2. Scope

2.1 In scope

The appraisal report and associated disposal schedule apply to all public records created and received by Stats NZ while carrying out its business functions.

This includes:

- legacy physical records
- current physical records
- legacy digital records, including records held in legacy databases, line of business systems, or managed in the Stats NZ Archive
- current digital records.

For more detailed information on physical and digital record holdings, see [3.2 Record-keeping environment](#).

In March 2017, Stats NZ took over management of the Open Data New Zealand programme from Land Information New Zealand (LINZ). This workstream has been integrated into Stats NZ's programme of work and is in scope for this schedule.

3. Agency information

3.1 Organisational structure

The Chief Executive of Stats NZ is also the Government Statistician and is assisted by four deputy chief executives/deputy government statisticians. The Government Statistician is a statutory office whose role, responsibilities, and independence are established under the Statistics Act 1975 (ss13–15). In 2017, the Government Statistician was appointed the Government Chief Data Steward.

The five roles described above comprise the Executive Leadership Team, which is responsible for overseeing and setting Stats NZ's strategic direction, for promoting and protecting the New Zealand statistical system, and for providing system leadership for data across the New Zealand data ecosystem.

Stats NZ is structured into five groups:

- Data System Leadership
- Insights and Statistics
- Data & Digital Services
- Organisation Capability and Services
- Data Ventures. (This is a small entrepreneurial hub. The Executive Director is not a member of ELT.)

Stats NZ operates across three offices in Auckland, Wellington, and Christchurch. Head office is in Wellington.

3.2 Record-keeping environment

3.2.1 Context

The Data & Information Management team (which covers data, records and library management) is led by the Manager, Data & Information Management. The team sits in the Data Management & Operations branch of Data & Digital Services.

Stats NZ primarily operates in a digital environment. While much of the physical documentation created or collected is supplemental to the digital record, and can be disposed of as required under the relevant GDA or Stats NZ-specific Disposal Authority ([see Appendix 1](#)), there are areas of the business where the collections are hybrid (i.e. a mixture of physical and digital records).

Business units are responsible for managing their own records and are advised and supported by the Data & Information Management team. Key information management resources, including policies, guidelines, and training tools, are available to staff through the intranet, which links to documentation held in the content management system, Tui Tuia (Cohesion/SharePoint), rolled out in June 2017.

The agency is moving systems and services from an internally-managed IT model to a cloud-based environment based on the all-of-government offerings.

3.2.2. Current physical records

As noted above, business units are responsible for day-to-day management of their own physical records. Most current physical records are of short-term value and are covered by existing disposal authorities.

Inactive records are transferred to offsite storage from all three office sites (Auckland, Christchurch, and Wellington) following established processes. Data & Information Management is available for support if required, but, as a rule, business units manage their own records to the point of disposal. Data & Information Management oversees disposal activity of records in all formats and is the business owner and administrator of the Stats NZ Archive, which is a curated archival management tool.

Both Christchurch and Wellington offices lost physical record collections during their respective earthquakes of 2011 and 2016. Christchurch records were disposed of under DA466, Archives New Zealand's Disposal Authority for agencies affected by the Christchurch earthquakes. Wellington records were disposed of under DA662, Archives New Zealand's Disposal Authority for agencies affected by the Hurunui/Kaikōura earthquakes.

3.2.3 Legacy physical records

Data & Information Management manages all disposal processes in coordination with the relevant business unit. Records are destroyed securely, either onsite in each office or by the offsite storage provider (TiMG). Disposal processes are documented.

Physical records of historical and/or archival value are either transferred to Archives New Zealand or retained at TiMG.

To date:

- archival-value census and other statistical records have been transferred under ad-hoc disposal agreements on an irregular basis
- no archival-value corporate records have been transferred.

3.2.4 Current digital records

Stats NZ holds digital records in a variety of business systems, all of which have business and system owners.

Data & Information Management is the business owner of the following recordkeeping systems, for which they provide advisory and support services.

- Tui Tuia (Cohesion/SharePoint all-of-government Electronic Content Management solution): replaced DocOne (Lotus Notes) as the primary repository for records and document management in June 2017.
- Colectica: repository for statistical metadata and supporting contextual information related to datasets. Colectica is the product name. Two repositories sit under Colectica: Metadata is the internal repository and DataInfo+ provides open access to publicly available metadata.
- Stats NZ Store House (ContentDM): repository for Stats NZ publications, conference papers, images, and research papers. The Store House is available to internal and external users.
- Stats NZ Archive: curated archive for data and information, including all census forms from 2013.

Digital data and information is also stored in other business systems, including but not limited to:

- shared drives
- line of business systems
- Integrated Data Infrastructure (IDI) & Longitudinal Business Framework
- statistical platforms

- Microsoft Outlook and Outlook Archive, which was migrated to Exchange Online in 2017.

3.2.5 Legacy digital records

Stats NZ implemented Lotus Notes in the 1990s and, initially, staff worked in WorkGroups and a variety of databases. DocOne, also a Lotus Notes database but with a better range of records and document management capability, replaced WorkGroups in 2007. At that point, WorkGroups became read-only.

Tui Tuia replaced DocOne in June 2017 and users copy records from DocOne to Tui Tuia as required. DocOne has been read-only since October 2017. Disposal of legacy records in all Lotus Notes databases will be managed under the attached Schedule (see appendix 4). Lotus Notes will remain in place until migration and/or disposal is completed.

The Stats NZ Archive is Stats NZ's official digital archive and is curated by Data & Information Management.

4. Methodology

The development of this schedule and report is in line with the guidelines issued by Archives New Zealand. It is based on:

- an analysis of Stats NZ's functions and business activities relating to corporate and statistical data, metadata, and documentation
- critical examination of Stats NZ's current disposal authorities, including a gap analysis to identify areas of risk
- development of a draft schedule and appraisal report
- internal consultation across all user groups
- external consultation with key stakeholder groups, including Archives New Zealand
- submission to Archives New Zealand.

4.1 Functional analysis

Stats NZ's current disposal authorities deal exclusively with statistical data, either from individual censuses or from other statistical collection activities.

The functional analysis considered Stats NZ's developing business model and the expansion of its remit (which affects both corporate and statistical information) and compared it with the authorities in current use. A gap analysis identified areas of non-coverage and/or areas of perceived risk. Disposal authorities from other agencies were consulted where specialist areas (i.e. statistical education, external relationship management) were being developed.

Data & Information Management considered planned developments in collection methodology for census, including a closer alignment with other statistical collection processes. A comparison of the standard census schedule with DA379 (used for all other non-census statistical information collection), confirmed that a substantial proportion of the classes were identical, as they were dealing with the same operational processes³. Taking both elements into account, Data & Information Management decided to amalgamate all statistical collection activity under the new disposal authority. This will support planned changes for the collection and management of census data, reduce duplication, and simplify disposal management.

As a result of the functional analysis, some areas of existing disposal authorities were adapted or amalgamated, and some business functions were identified as requiring more detailed consideration than was currently available.

The following new classes were added to the schedule:

- External relationship management
- Statistical capability and training
- Research management
- Data and analytical frameworks, methodologies, standards, tools, and processes
- Data publishing and dissemination
- Records of historical value

³ Data collection methodology and processes were identical. Differences were in 3 discrete areas – project management (a separate class in census schedules but managed under GDA 6 for non-census information), information of enduring historical or cultural value, and information required to be retained under legislation (e.g. for definition of electoral boundaries under the Electoral Act).

- Business information systems
- Records that are too hazardous to handle.

4.2 Internal consultation

Following the completion of the functional analysis, a draft schedule was developed. This draft was provided to staff in the business groups affected by the proposed changes and discussed in workshops or one-on-one sessions. Follow-up sessions were run on an as-needs basis.

As a result of this consultation the following changes were made:

- Overall:
 - Where operational and/or routine management and reporting had been added to specific classes, it was removed on the basis that all activities were adequately covered by GDA6 and GDA7, and that clear business process would address any perceived implementation concerns.
 - In classes where relationships are governed by formal contracts or agreements, a separate sub-class was created to manage the formal documentation, to simplify records lifecycle management.
 - Minor changes were made to wording in all classes to ensure that coverage was clear and reflected the current environment.
- **Class 1** was consolidated to two sub-classes and sub-class 1.3, which was primarily concerned with operational planning and reporting, was removed on the basis that the activities were adequately covered by GDA6 (see above).
- Enterprise-wide strategies were included as a separate sub-class (1.1.5).
- In **Class 3**, it was decided there was no substantive difference between the management of domestic and international relationships, so those sub-classes were combined.
- **Class 5** was originally separated into two sub-classes – internal and external research. After consultation it was decided one sub-class was sufficient, as the approval process was identical for both.

Retaining a full and complete record of all research outcomes directly contributes to the Government Statistician meeting their obligations under s14 of the Statistics Act 1975 to keep the Minister informed of statistical matters generally and of statistical projects across all government departments. These obligations also include providing evidence of the development of policies, standards, and classifications and of official statistics, and of Stats NZ meeting its obligations to support the wider data ecosystem.

The relationship between the final research product and the supporting data, metadata, and documentation was made explicit to ensure the complete package was archived as a unit. The retention period in-house was extended from 10 to 20 years to support the development of time series.

- Finding tools for individual censuses, which were originally subclasses in **Class 10, Records of historical value**, were consolidated into one sub-class and moved to **Class 9, Retention, disposal, and preservation of data, metadata, and information** on the grounds that their classification as records of archival value was based on their utility as finding aids, rather than any innate historical significance or value.

- In **Class 11**, it was decided to add a separate subclass for the management of Service Centre records (11.2.3) on the grounds that it provided a comprehensive records management structure for the business groups concerned. Retention periods were aligned with similar provisions in Class 3 (subclass 3.4).

4.3 External consultation

A number of external organisations and bodies were identified as key stakeholders that may have an interest in the disposal of Stats NZ records. Given the ubiquitous nature of Stats NZ's core functions, and the fact that the schedule and the report will in any case be open for public consultation once it is submitted to Archives New Zealand, it was decided to focus on stakeholders who were identified by the business as key business partners or contacts, and major research partners or customers.

Twenty-one agencies/organisations were asked to comment on the draft schedule and appraisal report. Twelve did not respond. Nine agencies responded, of which three provided no feedback outside general approval of the content.

Substantive comments were received from six individuals.

Name and position	Organisation
[Details removed]	Accident Compensation Corporation
[Details removed]	Department of Internal Affairs
[Details removed]	Inland Revenue Department
[Details removed]	Ministry for Primary Industries
[Details removed]	Ministry of Justice
[Details removed]	New Zealand Qualifications Authority

Table 1

Points addressed by external consultation			
	Referring to	Comment	Response
	Overall		
1		Overall recommendations and retention periods were supported as thorough and appropriate. Recommendations regarding Stats NZ's expanded role in the data ecosystem were well covered.	No change
2		Reverse order of 'trigger event' and 'retention period' for reading logic and rename 'retention period' to 'minimum retention period' for clarity.	Agree
3		Queried use of term 'significant records' where recommendation was to destroy. Clarify difference between 'strategic' and 'key' stakeholders. Clarify difference between 'generic' and 'specific' statistical frameworks.	Agree
4		Consider if some classes with similar use and values should be bundled up (e.g. management of contracts and MOUs).	Considered and rejected on basis of ease of use
5		Consider simplifying and shortening subclass titles in some areas.	Agree
	Specific classes		
6	1.1.7 Provision of secretariat services	Is 7 years long enough, particularly where agencies are governance groups.	Deleted as function had ceased
7	1.2.1 [System leadership of NZ data ecosystem] Strategic development, planning and reporting where Stats NZ is the lead agency	Do the recommendations as applied to the Open Data programme meet the requirements of the Open Data Charter adopted by NZ?	Confirmed
8	4.1.2 Accredited versions of statistical education programmes and curricula	Remove reference to 'discontinued' courses in 'Does not exclude' field as they are covered by other subclasses	Agree
9	5.4 Research data, metadata, analysis, and working papers	Works well with survey data or one-off data integration projects but does this subclass work effectively for data stored in IDI? IDI refreshes every 3 months, so can discrete datasets and supporting documentation be bundled in the way envisaged?	Currently applicable. Will require review if processes change Management of quarterly refreshes under review
10	7.3.4 [Metadata and supporting documentation] Classification and coding [NOTE: since consolidated into 7.3.2]	Final versions of classifications and coding should be available for 25 years not 10. [Note: Final versions are archived not destroyed].	Disagree Archival copies available on request

11	9.1 Preservation of statistical information	Information Asset Register is a living document and shouldn't trigger a disposal action.	Agree
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As a result of this consultation the following changes were made:

- Overall:
 - Changes regarding 'trigger event' and 'retention period' fields were made.
 - 'significant' records were renamed 'high value' records; 'strategic' was used to describe important stakeholders.
- **Sub-class 1.1.7** was deleted. Since the schedule was drafted, the Data Futures Forum has completed its work and Stats NZ has taken over management of its records. There are no current plans to provide secretariat services to other bodies.
- **Sub-class 4.1.2** recommendation from NZQA accepted, based on their expertise.
- **Sub-class 5.4:**
 - Currently, IDI refreshes its entire content on a quarterly basis. Older content is snap-shotted and stored on Tier 2 storage. It is accessible on request.
 - IDI has launched a multi-year transformation project that will include reconsidering the refresh policy and processes. The attached schedule will be reviewed against any proposed changes and amended as required.
- **Sub-class 9.1** Information Asset Register was removed from this section as an example.

[Appendix 2](#) lists all internal and external parties consulted.

5. Appraisal criteria

Archives New Zealand has developed a set of criteria that provides a framework for the appraisal of public records and that aligns with Archives New Zealand's mandatory *Information and records management standard* issued in July 2016⁴.

These criteria:

- must inform decisions concerning retention periods and disposal actions
- can interact or overlap

This framework has been applied to all Stats NZ records covered by this schedule and that are identified in the value statement for each class.

Table 2 lists the criteria. Appendix 3 outlines the full framework.

Table 2

Appraisal criteria	
Criterion	Description
Business value	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.
Accountability	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.
Rights and entitlements	Information and records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups.
Legitimacy of authority	Information and records that identify and document the source of authority and foundation of the machinery of government and its public sector bodies.
Treaty of Waitangi/Te Tiriti o Waitangi	Information and records that provide evidence of the recognition and respect for, fulfilment of, or aspirations to, Treaty of Waitangi/Te Tiriti o Waitangi principles and the Crown's obligations, or in the absence of this, evidence of failure to fulfil obligations and principles.
Knowledge	Information and 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.

⁴ Archives New Zealand Appraisal Statement v1.1 (July 2016)

6. Format of the schedule

Table 3 outlines the schedule's primary fields.

[Appendix 4 contains the Retention and disposal schedule.](#)

Table 3

Primary fields in the schedule	
Field name	Description
Class number	Reference number of the disposal class
Class title	Name of the disposal class
Subclass number	Reference number of the subclass
Subclass title	Name of the subclass
Class description	Description of the record class or subclass including any significant examples or notes
Class includes	Record types covered by the class or subclass
Class excludes	Record types excluded from coverage in the class or subclass
Trigger event/date	The event or point in time when the record becomes inactive and retention periods or disposal actions can be applied
Minimum retention period	Minimum period records are held before disposal is activated
Disposal action	The final disposal action on the record: D – Destroy A – Retain as public archive

7. Description and evaluation of classes

The Disposal Schedule has 12 classes and covers both corporate and statistical functions. The following section describes each class, including examples of the record types covered, describes the appraisal process applied to identify records of archival value, and outlines the recommended disposal actions.

The 12 classes are:

- Governance, accountability, and strategic management of core functions
- Ministerial, parliamentary, and legal records
- External relationship management
- Statistical capability and training
- Research management
- Data and analytical frameworks, methodologies, standards, tools, and processes
- Data, metadata, collection tools, and supporting documentation related to data collection
- Data publishing and dissemination
- Retention, disposal and preservation of data, metadata, and information
- Records of historical value
- Business information systems
- Records that are too hazardous to handle.

Classes six to ten apply to statistical data, metadata, and supporting documentation and are largely based on existing or recently expired Stats NZ disposal authorities (see appendix 1).

Statistical data is information about individuals, households, businesses, or other entities collected by Stats NZ and represented in a manner suitable for processing or analysis. It is primarily stored and managed as datasets, either within larger platforms or as separate entities.

Stats NZ collects its data through:

- conducting surveys and censuses
- agreements with other agencies/entities to access administrative and survey data collections held by that agency/entity.

Data is sometimes integrated from a variety of sources to provide richer information and save collecting the same information from multiple sources.⁵

Statistical metadata describes the collection, content, quality, processing, storage and dissemination of data. Supporting documentation refers to contextual information describing a data collection, dataset or unit data.

Contextual documentation can include:

⁵ Cabinet has authorised Stats NZ to undertake cross-agency personal data integration for statistical purposes (New Zealand Cabinet Minute CAB (97) M31/14)

- definitions of collection objectives, variables, and concepts
- methodologies for processing
- questionnaires and other collection instruments
- respondent management information
- classifications and coding frameworks and tools
- rules and procedures related to confidentiality and security.

7.1 Class 1: Governance, accountability, and strategic management of core functions

7.1.1 Class description

This class covers records related to the governance, accountability, and strategic management of Stats NZ's core functions.

In particular, it deals with:

- Stats NZ's system leadership for data in the New Zealand data ecosystem, which extends to both the public and private sectors
- Stats NZ's leadership of and/or collaboration with cross-agency and all-of-government initiatives in the data ecosystem
- design and management of the census, which produces information that is essential to managing the electoral process and is of long-term value to the social and economic history of New Zealand.

7.1.2 Subclass description

This class has two subclasses.

Subclass 1.1 Governance of core functions and programmes of work focuses on Stats NZ's core business and covers both corporate and statistical functions. It acknowledges Stats NZ's pivotal role in the New Zealand statistical system, the importance of the strategic thinking and planning involved in the five-yearly census, and the wide range of stakeholders involved in Stats NZ's business, in both domestic and international spheres.

Subclass 1.2 System leadership of the New Zealand data ecosystem specifically addresses Stats NZ's expanded role as system lead for data across the New Zealand data ecosystem. This function has been addressed individually because of the breadth of coverage and wide range of stakeholders involved.

Subclasses in these two groups include:

1.1.1: Strategic advice and/or direction to the Government Statistician/Chief Executive, executive, and senior leadership regarding the strategic direction of Stats NZ's core functions

Records documenting the strategic advice or direction provided to Stats NZ's senior leadership about developing and delivering Stats NZ's core functions, received from internal and external sources. In particular, this subclass addresses relationships with the Minister, with key central government agencies (i.e. Treasury, State Services Commission) and with significant international bodies (i.e. other national statistical offices, international statistical bodies). It also covers internal advice from senior specialist staff such as the Chief Methodologist, the Chief Architect, Principal Statisticians, and the Kaihautū.

1.1.2: Strategic planning, management, and reporting for programmes of work related to the Census of Population and Dwellings

Each census is managed as an individual programme of work over a period of years. Strategic planning includes re-evaluating practice against developments in statistical methodology and technology, including international comparative research. Records in this subclass include high-level consultation (with ministers, central agencies, and key stakeholders), programme governance, accountability, and management planning and reporting.

Records of administrative and operational planning and reporting are covered by GDA6.

1.1.3: Governance and leadership groups and committees – high-level records

This subclass deals with the governance and operation of leadership groups, working groups, and steering committees that contribute to the design, development, operation, and review of Stats NZ's statistical programme of work. Groups may be internal, external, or a mixture of both, and can include international bodies.

Records include information regarding the governance, membership, and structure of these groups, formal papers and reports written by or submitted to them, and programmes of work they oversee or manage.

Final versions of advice and opinions supplied to executive management and related to Stats NZ's strategic direction are covered by subclass 1.1.1, but records related to developing and drafting that advice are covered by this subclass.

1.1.4: Joint or combined policy initiatives where Stats NZ is not the lead agency – high-level records

Records documenting Stats NZ's contribution to joint, cross-sector, or all-of-government policy development and/or programmes of work that are led by other agencies or entities. Records include partnership agreements, frameworks and action plans for internal implementation, high-level meeting agendas and papers, and report-backs to lead agencies.

1.1.5: Enterprise-wide strategies – high-level records

Records documenting the development, implementation, and review of organisation-wide strategies that affect the business as a whole, and address or introduce fundamental changes to the way Stats NZ manages its business. An example is the Statistical, Data, and Analytic Job Family Review. It examined and redefined the roles and capabilities required to effectively develop and deliver the statistical programme of work and affects both specialist statistical and corporate staff roles and responsibilities.

1.1.6: Government Statistician/Chief Executive's correspondence

Correspondence to and from the Government Statistician/Chief Executive that does not relate to a specific work programme or management function, that is not covered elsewhere in the schedule, and that requires a response (e.g. comments on policy or programmes from members of the public, and discussions on sector-wide initiatives from chief executives of other international bodies).

1.2.1: Strategic development planning and reporting where Stats NZ is the lead agency

Records that document the development of strategies, frameworks, standards, and business plans at a sector or national level, where Stats NZ is acting as the system lead for data in the New Zealand data ecosystem. Reporting is against initiatives developed under those strategies, frameworks, standards, and plans. Records include research and analysis, discussion and consultation papers, the process and results of consultation with stakeholders, and audits and/or reviews of projects or programmes of work.

Examples of the work programmes covered include the Open Data New Zealand programme, which works across government with both producers and users of open government data, to increase the volume of data made available, improve access, and promote effective use and reuse.

1.2.2: Operational management of programmes of work

Records that document the operational management of specific programmes or projects resulting from the strategies and frameworks developed under subclass 1.2.1. This includes business cases, budgets, resourcing, and reporting against operational delivery.

7.1.3 Value statement

Records recommended for retention as a public archive meet the business value, accountability, legitimacy of authority, and knowledge criteria of the Appraisal Statement. They provide high-level evidence of the development of Stats NZ's strategic direction and its mandate for that development; of the advice received to support and direct programme and policy development and implementation at a ministerial and national level; and of the strategic decision-making resulting from that advice and direction. They also provide evidence of service development, innovation, and transformation internally, across government, and across the New Zealand data ecosystem.

This class specifically addresses the records generated by Stats NZ's extended remit as the system lead for data in the New Zealand data ecosystem (subclass 1.2), which is a much wider and more complex range of activities than those covered by GDA6. It requires Stats NZ to advise, mentor, and lead across the public and private sectors, to seek advice across domestic and international spheres, and to respond to government policy direction. This remit is new, and Stats NZ is investigating, building, and trialling the strategies, organisational structure, and tools that will most effectively deliver the required outcomes. Consequently, it is important that, where Stats NZ is the lead agency, the record of initiation, guidance, and implementation, and the mandate underpinning the strategic direction followed, is retained.

Regarding census programme management (subclass 1.1.2), the census is conducted under the authority of the Statistics Act 1975 (parts 3 and 4) and the data it produces is used as a statistical basis for revising electoral boundaries under the Electoral Act 1993. It is a primary

source of information on the size, composition, distribution, and state of well-being of New Zealand's population over time, including Māori. Each census is managed as an individual programme of work and includes high-level options papers on how the census should be designed and run, advice and decision-making by advisory groups, and programme strategy. Because of the importance of the data produced and the wide range of the coverage, these records are of long-term cultural, economic, and social value and should be permanently retained.

After each census, archival-value information and data is packaged and curated as a discrete collection in Stats NZ's Data Archive.

Enterprise-wide strategies (subclass 1.1.5) also reflect significant changes to the development of Stats NZ's business model and strategic direction. Interfacing with the strategic policy and framework subclasses, they can reflect a system-wide change that has a lasting effect on the organisation and should be retained as evidence of the history of the agency.

Where Stats NZ is not the lead agency delivering a strategic initiative or programme of work, records are considered to be of medium-term value only. Key strategic records will be managed by the leading agency or body, including Stats NZ's contributions to the programmes involved.

Working documents, including contributions from internal working groups or committees to Stats NZ's strategies, or to external work programmes, are of medium-term value and are retained long enough to be available as a resource for related projects and programmes. Chief Executive's correspondence is also regarded as of medium-term value on the grounds that any substantive action resulting from that correspondence will be included in the records of the relevant business area. These records are therefore recommended for destruction.

7.1.4 Retention and disposal recommendation

Table 4

Class 1 records recommended for retention as public archives	
Subclass	Title
1.1.1	Strategic advice and/or direction provided to the Government Statistician/Chief Executive, executive, and senior leadership regarding the strategic direction of core functions
1.1.2	Strategic planning, management, and reporting for programmes of work related to an individual census
1.1.5	Enterprise-wide strategies – high-level records
1.2.1	Strategy development, planning, and reporting where Stats NZ is the lead agency

Table 5

Class 1 records recommended for destruction	
Sub-class	Title

1.1.3	Governance and leadership groups and committees – high-level records
1.1.4	Joint or combined policy initiatives where Stats NZ is not the lead agency – high-level records
1.1.6	Government Statistician/Chief Executive's correspondence
1.2.2	Operational management of programmes of work

7.2 Class 2: Ministerial, parliamentary, and legal records

7.2.1 Class description

This class covers records relating to Stats NZ's relationship with the Minister of Statistics, with legislation that governs or impacts on Stats NZ's business and the statutory role of the Government Statistician, and with litigation or quasi-judicial action related to Stats NZ's core functions.

2.1: Ministerial correspondence related to core statistical functions

This subclass relates to correspondence documenting the relationship between Stats NZ and ministers, minister's offices, and parliamentary bodies regarding core statistical functions. It includes responses to parliamentary questions or questions from the House, and papers and reports submitted to Cabinet. It does not cover regular status summaries to ministers or capital funding submissions, which fall under GDA6.

Advice or direction provided to the Government Statistician and/or senior management about the strategic direction of Stats NZ's core functions is covered under subclass 1.1.1.

2.2: Development and review of legislation and legislative instruments where Stats NZ is the lead agency

This subclass covers records related to the development and reviews of, and amendments to, legislation and legislative instruments that govern Stats NZ's business, where Stats NZ is the administrative agency. Records include research, consultation, stakeholder feedback (including feedback from ministers), drafts, correspondence, parliamentary process support and advice.

2.3: Consultation on the development and review of legislation and legislative instruments where Stats NZ is not the lead agency

This subclass covers records of Stats NZ's contribution to, and feedback on, legislation and legislative instruments administered by other agencies that affect or relate to Stats NZ's business. Records include consultation and discussion papers, formal feedback documents, including papers and reports, correspondence, and meeting notes.

2.4 and 2.5: Litigation records

These two subclasses refer to records documenting Stats NZ's involvement in legal matters related to its core business. This includes court cases and mediation, litigation related to a census, and other quasi-judicial proceedings such as judicial reviews, Commissions of Inquiry, and Privacy Act complaints.

While some formal records of quasi-judicial proceedings (such as prosecutions or Privacy Act complaints) are managed by the relevant prosecuting agency or under the Courts schedule (DA564), this does not include Stats NZ's own response to the proceedings, including discussions of how matters should be managed or approached, or the downstream effects of judgments or decisions made.

7.2.2 Value statement

Records recommended for retention as public archives meet the accountability and legitimacy of authority criteria of the Appraisal Statement.

They provide evidence of Stats NZ's legitimacy of authority by documenting the development and review of the legislation and legislative instruments that:

- establish the role, responsibilities, and functions of the agency, and how they are to be applied and monitored
- the statutory roles of the Government Statistician and deputy government statisticians
- Stats NZ's responsibility to the New Zealand public to collect, maintain, and provide access to the official statistical record of New Zealand society and culture
- provide a mandate for the five-yearly census.

Records documenting key correspondence between the Minister and Parliament regarding Stats NZ's core services and mandates are also recommended for retention, as they reinforce, interpret and develop Stats NZ's role across government, the New Zealand data ecosystem, and internationally. Combined with formal ministerial direction and advice related to strategic development in subclass 1.1.1, they provide a fuller picture of the agency's development over time, and to the opening and release of government data and statistics.

Litigation and quasi-judicial records provide evidence of the range of Stats NZ's authority, of the development of that mandate over time, and of Stats NZ meeting its enforcement obligations. Where precedents are set or major changes to process are involved, it is recommended that these records, including the final decision or recommendations made, be retained as public archives. It is recommended that appropriate metadata is added to the relevant records so they can be clearly identified, in consultation with the legal team.

Records of Stats NZ contributing to the development of legislation or legislative instruments administered by other agencies, but that affect its own business, or of legal matters of a routine nature, are of short- or medium-term value and are recommended for destruction once their business value ceases.

7.2.3 Retention and disposal recommendation

Table 6

Class 2 records recommended for retention as public archives	
Subclass	Title

2.1	Ministerial correspondence related to core statistical functions
2.2	Development and review of legislation and legislative instruments where Stats NZ is the lead agency
2.4	Legal action, including litigation, judicial enquiries or reviews, or interaction with judicial or quasi-judicial bodies – precedent-setting cases and/or outcomes

Table 7

Class 2 records recommended for destruction	
Subclass	Title
2.3	Consultation on the development and review of legislation and legislative instruments where Stats NZ is not the lead agency
2.5	Legal action, including litigation, judicial enquiries or reviews, or interaction with judicial or quasi-judicial bodies – routine cases or matters

7.3 Class 3: External relationship management

7.3.1 Class description

This class covers records that document how Stats NZ interacts with stakeholders, partners, sister organisations and bodies, customers, and respondents. It covers records of developing and maintaining strategic relationships and partnerships with external parties (domestic and international), and of the operational management of those relationships. Relationship management is integral to most functions at Stats NZ and occurs across the agency.

Stats NZ interacts with a wide variety of stakeholders and customers for a range of purposes. This includes:

- maintaining relationships with national statistics offices around the world
- providing statistical capability training to Pacific Island National Statistical Offices
- working with public and private partners to deliver programmes of work
- managing formal relationships with:
 - data providers and consumers
 - iwi and other Māori stakeholder groups
 - individual citizens as part of survey collection, including census (known as 'respondents')
- responding to queries through the contact and information centres.

Some relationships are formally managed through a Memoranda of Understanding, agreements, or contracts, while others rely on personal contact.

Stats NZ manages external relationships in different ways. A team of strategic relationship managers at executive/senior level have responsibility for managing the key customers in their areas of responsibility or expertise. The External Engagement and Statistical Services

team oversees the management of these relationships to ensure a cohesive approach and manages Salesforce, the customer relationship management tool.

Where relationship management relates to a specific programme or area of work with unique characteristics, then relationship management is covered in the class relating to that programme or area, to simplify use.

This class does not include management of commercial relationships with external vendors and suppliers that relate to the delivery of services and products, as these relationships are covered by GDA6. Commercial relationships with key suppliers of IT systems, services and products, including procurement and service contracts under all-of-government offerings, is managed under Class 11.

7.3.2 Subclass description

3.1 and 3.2: Strategic relationship management

These subclasses cover records documenting relationship management activities between executive and senior staff and key stakeholders.

Examples of these stakeholders include:

- central government agencies, such as Treasury, Ministry of Foreign Affairs and Trade
- key data providers, such as Inland Revenue, Immigration New Zealand
- regional and local authorities
- iwi and iwi authorities
- other national statistics offices
- international agencies with statistical responsibility, such as ILO, EUROSTAT, IMF.⁶

Records governing these relationships can be formal and include memoranda of understanding and formal partnership agreements, formal agreements regarding data-sharing or provision, international agreements to which Stats NZ is a signatory, and formal meeting records and outputs. In other cases, relationships may be managed less formally, such as by personal contact, working parties, or communities of interest.

Stats NZ manages records of interactions with external parties through Salesforce or through formal meeting records or emails stored in the document management system.

3.3: Operational relationship management

This subclass is concerned with maintaining routine working relationships between Stats NZ and its stakeholders, partners, customers, and respondents. Records may include policies and processes giving effect to formal agreements, consultation processes and outcomes, reports and working papers, and correspondence.

3.4: Contact centre recordings and summaries of activities

This subclass documents the operation of Stats NZ's contact centres, which act as a front door to Stats NZ's services and products. These centres include the Contact Centre, which

⁶ International Labour Organisation, International Monetary Fund. Eurostat is a Directorate-General of the European Commission

deals with questions about surveys, and the Information Centre, which deals with general information enquiries and requests for services and products. Records include summaries of activity and trend analysis and recordings of phone calls for training purposes.

Requests for services that result in a customised product (e.g. customised datasets (see subclass 8.3), are managed as part of the subclass related to that product.

Management of service centre records related to delivering IT services are managed under Class 11 (see 11.2.3) to simplify business-level implementation. Recommended disposal activity in 11.2.3 is identical to the recommendations in this subclass, as the activity is essentially the same.

7.3.3 Value statement

Records recommended for retention as public archives in this class meet the business value and accountability criteria of the Appraisal Statement. They provide information at a high level about the development of key stakeholder relationships, including international cooperation between statistical agencies and key global statistical bodies. They also provide evidence of joint strategy and service development.

Records related to operational management of stakeholder and customer relationships are of medium-term value and are retained long enough to ensure full realisation of their business value. These records are recommended for destruction.

Records of contact centre operations are of short-term value and can be destroyed once business value has ceased. Requests for customised services or products received through contact centres are managed under sub-class 8.3 and destroyed after seven years.

7.3.4 Retention and disposal recommendation

Table 8

Class 3 records recommended for retention as public archives	
Subclass	Title
3.1	Strategic relationship management with domestic and international agencies, businesses, and interested parties – high-level records
3.2	Formal agreements with external bodies

Table 9

7.3.3: Records recommended for destruction	
Subclass	Title
3.3	Operational relationship management with domestic and international agencies, businesses, organisations, data users and suppliers, respondents, and other interested parties
3.4	Contact centre recordings and summaries of activities

7.4 Class 4: Statistical capability and training

7.4.1 Class description

This class covers records related to the design, development, accreditation and review of formal statistical education and capability programmes and qualifications for external users of statistics and data analytics. It also covers seminars, workshops and tailored training programmes delivered on demand to external parties as part of Stats NZ's role as system lead for data in the New Zealand data ecosystem.

7.4.2 Subclass description

Subclass 4.1: Programme, curriculum and course development covers records related to the design, development, accreditation, and review of formal statistical capability education programmes and qualifications for users of statistics and data analytics. It also covers the development, delivery, and review of seminars, workshops and on-demand training for external stakeholders, customers and data suppliers and users.

Subclass 4.2: Operational management of statistical capability training covers records about the operational management or oversight of all external statistical capability training delivered or supported by Stats NZ for users of statistics and data analytics.

Subclasses in both groups include:

4.1.1 and 4.1.2: Programme and curriculum design, development, approval and review and Accredited versions of statistical education programmes and curricula

Programme and course development for formal qualifications is managed by Stats NZ in collaboration with an external Industry Training Organisation (ITO) provider. Stats NZ provides the brief and supports the ITO in designing, developing, and delivering the course material, obtaining accreditation from the New Zealand Qualifications Authority (NZQA), and through subsequent audits and reviews during the qualification's lifecycle.

While Stats NZ commissions the work and owns the final output, custodianship of the records is shared between Stats NZ and the provider. Stats NZ records include training analyses and surveys, stakeholder discussion section business cases and budgets, and consultation with stakeholders. Stats NZ also provides the synthetic datasets used as a course resource.

Master sets of accredited curricula developed for qualifications-based education are retained for informational and accountability purposes, and to provide an historical record of Stats NZ's delivery of its educational function. These records include evidence of formal accreditation and the conduct of, and results from, external audits and reviews.

4.1.3: Design, development and review of seminars, workshops and on-demand capability training for external parties

Stats NZ also develops non-qualifications-based capability development and training for external parties on request, or where a need is identified within a specific programme of

work that Stats NZ is leading or supporting. Records include training analyses and surveys, business cases and budgets, draft training material, and resources and customer feedback.

4.2.1 to 4.2.2: Marking and moderation of assignments and examinations where the function is managed in-house and Management of accredited assessors

Stats NZ supports qualifications-based capability training in the Pacific region, including employing qualified assessors to mark and moderate assignments. The marking and moderation process is managed in-house.

The employment relationship between Stats NZ and the assessors is managed under this class as the relationship, and therefore the records, are managed by the Statistical Education team and not by Human Resources.

4.2.3: Routine management of statistical capability and training programmes and qualifications

Records documenting routine management of statistical education programmes and qualifications in which Stats NZ has a significant involvement. Activities include planning and reporting, budget management, and contractor management. This subclass is included to simplify disposal practice within the business group responsible for managing the overall programme of work.

7.4.3 Value statement

Accredited versions of statistical education programmes and curricula are recommended for retention as public archives and they meet the business value and knowledge criteria of the Appraisal Statement. They provide evidence of Stats NZ meeting its obligations, under the Statistics Act 1975 (section 14), to advise on and promote standard concepts, procedures, definitions, and classifications for use with official statistics. They also actively contribute to meeting Stats NZ's vision (Unleashing the power of data to change lives) and to its role of providing leadership in the data ecosystem.

Currently, most of the capability training delivered by Stats NZ is qualifications-based and delivered by an ITO. Therefore, apart from the final versions of programmes and curricula, the bulk of Stats NZ's records are operational and of medium- to short-term value and are recommended for destruction when business value has ceased.

Non-qualifications-based training programmes and resources developed in-house because they do not require formal accreditation and audit, are of medium-term value and are recommended for destruction when business value has ceased. This may include retention as a template or to provide background for the development of the programme as a whole.

Records relating to operational management of capability training and education are of medium- to short-term value and are recommended for destruction either when their business value has ceased or when legal requirements have been met. The marking and moderation process is managed in-house, and disposal recommendations are in line with standard tertiary education practice. The retention period for records relating to operational relationship management is aligned with Class 3, External relationship management, for consistency.

7.4.4 Retention and disposal recommendation

Table 10

7.4.3: Records recommended for retention as public archives	
Subclass	Title
4.1.2	Accredited versions of statistical education programmes and curricula

Table 11

7.4.3 Records recommended for destruction	
Subclass	Title
4.1.1	Programme and curriculum design, development, approval and review
4.1.3	Design, development, and review of seminars, workshops, and on-demand capability training for external parties
4.2.1	Marking and moderation of assignments and examinations where this function is managed in-house
4.2.2	Management of accredited assessors
4.2.3	Routine management of statistical capability and training programmes and qualifications

7.5 Class 5: Research management

7.5.1 Class description

This class covers records resulting from research programmes and projects, including those using microdata (i.e. data about specific people, households or businesses) collected and managed in the Data Lab. As the key processes underlying all research projects are identical, this class applies to all internally-initiated projects and to those initiated by external parties using Data Lab microdata.

Stats NZ conducts a range of internal research projects and programmes to support both statistical and corporate functions, including:

- developing products and services for external customers
- developing methodologies, standards and tools that underpin data management
- reconsidering job families and required capabilities to match current business needs
- contributing to international research and development.

Stats NZ's Data Lab collects and stores large volumes of microdata for use by internal and external customers. Researchers involved in bona fide research (see Statistics Act 1975 s37C) can access two large integrated databases:

- Integrated Data Infrastructure (IDI), which holds microdata about people and households
- Longitudinal Business Database (LBD), which holds microdata about businesses.

Access is tightly controlled to protect confidentiality and all research proposals require the approval of the Government Statistician to proceed.

Final versions of internally-produced research products and their associated datasets, metadata, and supporting documentation are managed as a package to support the development of time series and/or the replication of results. Reports and papers published under the Stats NZ imprint are official publications and are managed under Class 8.1.

The results of approved external research projects that have been audited by Stats NZ for compliance with privacy and confidentiality requirements are the property of the researcher, or research body, managing the project and are not covered by this schedule.

7.5.2 Subclass description

5.1: Research programmes that support core data and analytical functions and/or the strategic development of Statistics New Zealand

This subclass covers the development and implementation of Stats NZ's research programme as it affects both the statistical programme of work, and organisational development and corporate services. Records include development of the research strategy and framework, consultation with internal and external stakeholders, and programme audits and reviews.

5.2 to 5.4: Management of individual research projects

These subclasses cover the design, approval, high-level management, and products produced by internal research projects. Records include proposals and business cases, the process and outcome of consultation, privacy impact reports, and the final product/s. Where approval is required to access data in the Data Lab, the record of that approval is managed under subclass 5.5. The record of that approval will be packaged with the rest of the project when the project is completed.

5.5 and 5.7: Research involving access to microdata managed by the Data Lab – approved and unapproved

All research projects requiring access to microdata held by the Data Lab require formal approval by the Government Statistician and are audited for compliance with those terms and conditions before results can be released. These subclasses record the process of approval, reasons why approval was granted or denied, the terms and conditions applied, and evidence that those conditions were complied with.

5.6: Formal agreements between Stats NZ and external researchers and research bodies

Records of formal agreements with researchers, research bodies or organisations, and domestic or international agencies and/or bodies to conduct approved research using Stats NZ's microdata. This includes cross-agency and all-of-government partnerships or collaborations, regardless of whether Stats NZ is the lead agency. Records include memoranda of understanding, partnership agreements, contracts, commitments under all-of-government action plans, and consortia.

Formal approval to use microdata in the Data Lab for individual projects is managed under subclass 5.5 and forms part of the individual project documentation for internal projects.

7.5.3 Value statement

Records recommended for retention as public archives in this class meet the business value and knowledge criteria of the Appraisal Statement. They provide evidence of the research outputs generated to guide the ongoing development of Stats NZ's statistical products and services, and the corporate infrastructure required to support that development. They also provide information related to the social and cultural development of New Zealand, as evidenced by the information generated from data collections, the policies underpinning those collections, and changes in social licence⁷.

As the lead producer and custodian of official statistics for New Zealand, Stats NZ's research is of long-term value to the country. It requires access to time series with a lifecycle of 50 years or more to provide the full perspective that historical analysis requires. Preservation is of value both from a pure statistical perspective, and also for the value those statistics provide in analysing New Zealand's cultural, social, and economic changes over time. The retention period recommended is based on Stats NZ's experience of the lifespan of key research programmes.

As the data and analysis that underpins final research products produced internally is integral to understanding and validating the published results, they are packaged with final papers and reports as an archival product (subclasses 5.3. and 5.4).

In some cases, final research papers may be formally published under the Stats NZ imprint, and issued with an ISBN or ISSN. In that case, they are also covered under subclass 8.1, where legal deposit requirements are acknowledged. While both subclasses require products to be retained as a public archive, the retention period in subclass 5.3 is considerably longer. This reflects the long-term active business value of research products already discussed in this section.

Records related to operational management of research programmes and projects (see Table 13) have medium- to short-term business value only and are recommended for destruction when the business value has ceased. Where approval to access microdata is concerned (subclass 5.5), because research projects are regularly revisited in whole or in part by internal and external researchers, it is practical to retain those records for a minimum of 10 years.

⁷ Social licence is the level of trust and confidence that New Zealanders have that Stats NZ will manage their data responsibly and well.

7.5.3 Retention and disposal recommendation

Table 12

7.5.3: Records recommended for retention as public archives	
Subclass	Title
5.1	Research programmes that support core data and analytical functions and/or the strategic development of Stats NZ
5.3	Final research papers and research products
5.4	Research data, metadata, analysis, and working papers

Table 13

7.5.3: Records recommended for destruction	
Subclass	Title
5.2	Research requests and proposals
5.5	Approved research involving access to microdata managed by the Data Lab
5.6	Formal agreements between Stats NZ and external researchers and research bodies
5.7	Unapproved research involving access to microdata managed by the Data Lab

7.6 Class 6: Data and analytical frameworks, methodologies, standards, tools, and processes

7.6.1 Class description

This class covers records related to the design, development, review, and amendment of statistical frameworks, models, methodologies, standards, collection tools, and processes. This includes both the ongoing development of existing products, and the exploration of innovative approaches that inform the growth of New Zealand's data and analytical infrastructure.

It also includes the audit, review, and redevelopment of specific existing tools or the development of new ones, either because of the exploratory work covered by this class or in response to stakeholder demand. This demand may be internally generated because of changes to functions, processes, or collection methodology, or be in response to demand from external stakeholders and customers, including changes to government policy.

The products generated by this work are available for use within Stats NZ and across government, and may include collaboration with other government agencies, private sector organisations, service providers, or international bodies or agencies.

7.6.2 Subclass description

6.1: Design, development, audit and review of data and analytical frameworks, models, methods, standards, tools, and processes – high level records

Records documenting the high-level design, development, audit and review of:

- data and analytical frameworks, models and methodologies
- collection methods and collection instruments
- data processing methods
- classifications, standards, and geospatial elements

that support the creation, collection, interpretation, and management of data and analytical information.

These records document key decision points and milestones and may lead to developing new data collections or collection instruments. Development or re-development may be in response to stakeholder requests or advice, or as a result of changes to functions, processes, or collection methodology. Records include research, consultation with domestic and international stakeholders, pilots and proofs of concept.

Stakeholders can include ministers, central government agencies (such as State Services Commission or Treasury), Māori or Pasifika interest groups, businesses, internal subject matter areas, or external groups with specific interest areas (such as disabilities or homelessness).

6.2: Final versions of approved frameworks, models, methodologies, standards, processes, and collection tools

Records of the approved, final versions of frameworks, models, methodologies, standards, processes, and collection tools. These records are the final result of the work in subclasses 6.1 and 6.2 and are listed separately for ease of management.

6.3: Formal agreements for the shared development of data and analytical frameworks, models, methodologies, standards, tools, and processes

Records of formal agreements with partners or service providers for the shared development of frameworks, models, methodologies, standards, processes. Records may include memoranda of understanding, partnership agreements, contracts for service, or consortia agreements.

7.6.3 Value statement

Records recommended for retention as public archives in this class meet the business value, accountability, and knowledge criteria of the Appraisal Statement. They represent the strategic and conceptual thinking that underpins the management of New Zealand's data and analytical infrastructure and the application of that thinking in practice over time, which provides evidence of Stats NZ's fulfilling its functions and responsibilities under the Statistics Act 1975.

They also provide evidence of the ongoing development of specific tools and resources, and the influence on that development of external bodies, research, and international developments. This includes developments in the design and delivery of the census.

Formal agreements for shared developments are of medium-term value only and they are recommended for destruction. They are managed in line with this type of documentation throughout the schedule.

7.6.4 Retention and disposal recommendation

Table 14

Class 6 records recommended for retention as public archives	
Subclass	Title
6.1	Design, development, audit and review of data and analytical frameworks, models, methods, standards, tools, and processes – high-level records
6.2	Final versions of approved frameworks, methodologies, processes, models, and collection tools

Table 15

Class 6 records recommended for destruction	
Subclass	Title
6.3	Formal agreements for the shared development of data and analytical frameworks, models, methods, standards, tools, and processes

7.7 Class 7: Data, metadata, collection tools, and supporting documentation related to data collections

7.7.1 Class description

This class covers records that document the process of collecting, processing, analysing, and preparing data for dissemination as a result of specific collection activities, including the five-yearly census and the acquisition of administrative data from external sources. It includes the metadata and supporting documentation that describes and provides context for each data collection.

Note: Administrative data is all data collected by government agencies or private organisations in conducting their businesses and services. It is initially collected or captured for non-statistical purposes, such as delivering a service.

7.7.2 Sub-class description

This class has four subclasses:

Subclass 7.1 covers the tools used for the initial collection of statistical data, and the sampling frames drawn from datasets collated from all sources, including administrative data.

Subclass 7.2 describes the lifecycle from initial creation to finalised version ready for publication or dissemination. This is not a linear process and not all datasets follow the full cycle (operational – processing – analytical/working) before they are finalised and published with the related contextual information.

Subclass 7.3 covers the management of metadata and other documentation that supports and describes data collections described in subclass 7.2.

Subclass 7.4 covers the testing of collection tools and processes before or during the collection process. It also applies to quality testing of data and metadata repositories.

7.1.1 and 7.1.2 Sampling frames:

Sampling frames are datasets collated from any source and primarily used to define a population, so that samples can be drawn from it. Most sampling frames are temporary and are of little use once the sample has been selected. Some sampling frames are also used as inputs for statistical processing and analysis, and therefore have the same value to statistical collections as a dataset.

7.1.3 Collection tools:

This subclass applies to the initial collection tools used to collect data from respondents to surveys and censuses⁸, which are generically described as schedules⁹. Schedules are format-neutral. Where information is initially collected in physical format, the paper version is scanned and the initial processing dataset (see 7.2.2) is produced from the scanned image. Digital data in this subclass is in its raw state as received or collected, without validation, quality-checking, or anonymisation.

This subclass also covers administrative data ingested from external sources, as it is received from the source provider.

7.1.4 Census schedules from 2018 onwards – master sets:

This subclass applies to individual schedules generated by censuses from 2018 onwards. The Government Statistician has the discretion to classify these schedules as historical documents under the Statistics Act 1975 (s37D).

Schedules from censuses in 2006, 2011, and 2013 (after the introduction of the Public Records Act in 2005 and before 2018), are covered by individual disposal authorities and have the same disposal requirements as this schedule. Censuses before 2005 were not subject to the Archives Act 1957 and were managed in line with the Government Statistician's direction at the time.

7.2.1 to 7.2.3 'Working' datasets

⁸ A census targets the entire population group; surveys target a sample of an identified population group.

⁹ "Schedule" means any book, document, form, card, tape, disc, or storage media on which the information required is entered or recorded or is required to be entered or recorded for statistical purposes..." Statistics Act 1975 s2

These subclasses cover the management of datasets from initial creation or ingestion to the point where they are considered to be complete. Operational and processing datasets are datasets that are cleansed, anonymised, and processed to the stage where they are ready for analysis.

This can include:

- classification and coding
- editing, including removing duplicates and redundant data
- imputing missing data
- integrating data from different sources
- creating metadata and documentation that describe the dataset.

Analytical datasets are 'clean' datasets used for research, investigative and analytical purposes. They can pass through many iterations before being finalised.

7.2.4 Finalised datasets:

A finalised dataset is any dataset that has reached a steady state. A steady state is a stage in the statistical value chain where the output of a process meets a predefined set of quality indicators, indicating that a set of processes have been satisfactorily completed.

A finalised dataset may be from a single source and be published when all analytical processes have been completed (see Class 8). It may also go on to be repeated in whole or in part, or be consumed by a different statistical process, creating a new finalised dataset.

7.2.5 Finalised census datasets used to define electoral boundaries and the Māori electoral population:

The Electoral Act 1993 (s35(6)) requires the Government Statistician to report the results of each census to the Surveyor General to inform the setting of electoral boundaries and to identify the Māori electoral population. These datasets are managed separately because of their historical value.

7.2.6 Datasets that cannot be used because of inadequate metadata or contextual information:

Datasets that are unusable in any analytical process because they have insufficient metadata or descriptive contextual information.

7.3.1 Ministerial approvals:

This subclass covers ministerial approval for the commissioning and implementation of new or altered surveys, as required under the Statistics Act 1975 (s6).

7.3.2 Final versions of key metadata, documentation and collection tools supporting, describing, or providing context for individual data collections:

This subclass covers the metadata and supporting documentation that describe and interpret individual datasets and are packaged with the datasets they support.

These can include:

- methodological designs
- classifications and coding
- rules and processes for data processing

- collection instruments used
- technical reports.

7.3.3 Collection management:

This subclass covers records of the day-to-day management of data collection for a specific survey and includes respondent management, sample maintenance, and training and resources for staff who manage surveys.

7.4.1 Application development and testing:

This subclass covers records documenting the development and testing of collection application components, including pilots and field tests.

7.4.2 Repository testing:

This subclass covers testing and quality assurance activity related to in-house data repositories used for storing data and metadata, such as Colectica and the Data Archive.

7.7.3 Value statement

Records recommended for retention as public archives in this class meet the business value, accountability, and knowledge criteria of the Appraisal Statement. They provide evidence of Stats NZ's management and delivery of the New Zealand data system, as required under the Statistics Act 1975, including the robustness of the processes supporting delivery and protecting personal and/or confidential information.

Records in this class are currently managed under Stats NZ's Disposal Authority DA379 for Statistical Data, Documentation, and Metadata and the disposal authority for the 2013 Census, the last full census held. After consultation with the relevant business teams, the terms of those authorities were transferred to this schedule unchanged, as they are still applicable for the current work model and for legacy records. As that model changes, this schedule will be reviewed for continuing applicability and amended as/if required.

With regard to data collection, records of permanent value to the business include:

- finalised datasets (subclass 7.2.4) and the metadata and supporting documentation that identifies, describes, and manages them (subclass 7.3.2) and sampling frames used as inputs (subclass 7.1.1). This data package provides both the data that underpins decision-making and the means to interpret and manage it. Sampling frames used as inputs for another statistical collection are included as they may be acting as an administrative dataset.
- records of ministerial approvals for developing new, or amending existing, surveys provide evidence of Stats NZ's mandate under statute to conduct business (subclass 7.3.1), and of the strategic development of official data collection by the New Zealand government over time
- census records of historical or long-term social value (subclasses 7.1.4 and 7.2.5).

Finalised datasets provide evidential value of the nature and quality of published statistical information and support statistical analysis and research. In particular, they allow the development of time series that provide an historical perspective of New Zealand's economic and social environment. They also support research, policy development, and social analysis by other agencies and bodies that directly affect future planning for those agencies, and for New Zealand as a whole.

For operational management of the collection process, datasets created from the point of receipt up to finalisation are of medium to short-term value and can be destroyed when their business and statistical value has ceased. This includes sampling frames not used as inputs for statistical processing (subclass 7.1.2), data received in its original format (subclass 7.1.3), the initial processing dataset created on receipt (subclass 7.2.1), and subsequent datasets created as the data is processed, cleaned, anonymised, confidentialised, and analysed (subclasses 7.2.2 and 7.2.3).

Approval to destroy datasets under these sub-classes sits with the relevant specialised business unit.

Information related to the outcome of processing or change is captured in the metadata and documentation, which is retained (see Class 7.3).

Collection management (7.3.3) involves the routine operational management of the collection process.

7.7.4 Retention and disposal recommendation

Table 16

Class 7 records recommended for retention as public archives	
Subclass	Title
7.1.1	Sampling frames used as inputs for statistical processing and analysis
7.1.4	Census of Population and Dwellings from 2018 onwards: final definitive versions or master sets of statistical schedules
7.2.4	Finalised datasets
7.2.5	Census of Population and Dwellings: electoral population information – finalised datasets
7.3.1	Ministerial approvals and approved business cases – final versions
7.3.2	Final versions of key metadata, documentation and collection tools supporting, describing, or providing context for individual data collections

Table 17

Class 7 records recommended for destruction	
Subclass	Title
7.1.2	Sampling frames not used as inputs for statistical processing and analysis
7.1.3	Statistical schedules, administrative data, and other methods of initial data collection
7.2.1	Operational datasets

7.2.2	Processing datasets
7.2.3	Analytical and working datasets
7.2.6	Datasets that cannot be used because of inadequate metadata or contextual information
7.3.3	Collection management
7.4.1	Application development and testing
7.4.2	Operational data and metadata repositories – testing

7.8 Class 8: Data publishing and dissemination

7.8.1 Class description

This class covers records documenting the process of publishing and disseminating data, and analytical and methodological information, in all formats. Publication includes formal publication methods, including use of the Stats NZ imprint title, e-publications, and web-based products. Dissemination includes providing customised and/or dissemination datasets to individual customers or customer groups.

This class does not include publication of corporate or accountability documents, or promotional or training resources, such as census information.

7.8.2 Subclass description

8.1 and 8.3: Publishing process and published information

Formal publication of data, and analytical and methodological information occurs in a variety of formats, including use of social media. Stats NZ provides access to formal publications, datasets with supporting metadata and documentation, research, standards and classification tools, and educational and/or training resources for public use through a selection of web-based platforms.

While GDA6 does cover agency-sourced publications, subclass 8.1 has a wider ambit and includes publications that fall outside National Library's collection mandate or legal deposit requirements. In particular, it covers publications primarily based on datasets and their supporting information.

8.2: Published and/or promotional material of no enduring value that does not qualify for legal deposit

Publications, promotional materials and artefacts that relate to a specific event or data collection but have no enduring business, historical or social value or interest outside that occurrence. Items may include posters, banners, pamphlets in a variety of languages, advertisement and supporting materials for promotional events. This type of material most commonly supports surveys.

8.4: Customised datasets

Customised datasets are datasets created from one or more finalised dataset/s in response to a specific research request from an external customer. This can be either a one-off request or as a result of an ongoing business relationship. Customised datasets include metadata and supporting information.

8.5: Dissemination datasets, load files, and aggregated tables

Dissemination datasets are datasets created from one or more finalised datasets for use in publications or presentations (e.g. information releases, workshops, conference papers) or added to load files for use in web-based applications.

7.8.3 Value statement

Records recommended for retention as public archives in this class meet the business value and knowledge criteria of the Appraisal Statement. They provide business intelligence for developing new services and information to inform business processes for internal and external customers. They also provide key data and analytical information to public and private individuals, agencies, businesses, and other bodies that support delivery of their products and services.

Published information (subclass 8.1) is recommended for retention as it includes publications of national interest and business value that fall outside the National Library's collection mandate. They also provide evidence of Stats NZ meeting its obligations under the Statistics Act 1975 and under its mandate as system lead for data in New Zealand data ecosystem.

Stats NZ imprint titles are relatively unique in the breadth and depth of insight they provide into many aspects of New Zealand history, culture, social, and economic development from 1840 to the present day. The complete physical collection is held at Wellington head office and is not duplicated to that level of completeness in any other publicly-available collection in New Zealand.¹⁰

Published resources in e-format are preserved in Stats NZ's data archive, which is a curated repository. If they fall within the National Library's collection mandate, they are also deposited under the legal deposit scheme.

Stats NZ sometimes produces a range of publications and/or promotional material to support a specific data collection or event, most commonly to support a census (sub-class 8.2). This material has no long-term value to the business, although sample sets may be held for up to five years where they relate to a census and have template value. Where the material produced is of historical or social value, and does not meet the criteria for legal deposit, it is recommended for retention under sub-class 10.2.

Records providing evidence of the operational management of the publication process (sub-class 8.3) are of medium-term value only and are recommended for destruction.

Customised datasets (sub-class 8.4) are of medium- to short-term value, as they are created as part of a business transaction. They are recommended for destruction. They provide

¹⁰ All key series are microfiched and will be digitised over time

evidence of Stats NZ's Data Lab services. As such, if they are likely to contribute to time-based research or form part of a research programme for those customers, data will be held in the Data Lab for future reference.

Dissemination datasets (sub-class 8.5) are recommended for destruction when they are no longer required by the application they support. They have business value only.

7.8.4 Retention and disposal recommendation

Table 18

Class 8 records recommended for retention as public archives	
Subclass	Title
8.1	Published statistical information

Table 19

Class 8 records recommended for destruction	
Subclass	Title
8.2	Published and/or promotional material of no enduring value that does not qualify for legal deposit
8.3	Operational management of the publication process
8.4	Customised datasets
8.5	Dissemination datasets, load files, and aggregated tables

7.9 Class 9: Retention, disposal, and preservation of data, metadata, and information

7.9.1 Class description

This class covers records documenting the retention, disposal, and preservation requirements for Stats NZ's data and information. In particular, considering Stats NZ's lead role in data management across the New Zealand data ecosystem, it addresses the disposal actions for statistical information under Stats NZ's management and control.

Stats NZ has a curated data archive for the long-term preservation of data and data-related publications. As the content of this archive includes New Zealand's official statistics, it is important that the governance and management of the archive is documented for future reference.

7.9.2 Subclass description

9.1 and 9.2: Preservation and destruction of statistical information

Because of the importance of the statistical collections created, acquired, and managed by Stats NZ, and the likelihood that those collections will expand in the future, the long-term preservation and/or disposal of that information needs to be carefully managed and documented, for use both by Stats NZ and by external bodies interested in, and reliant on, those collections.

These subclasses document the preservation and disposal strategies for statistical data, metadata, and supporting documentation. This includes data management plans, Retention, Preservation and Disposal (RPD) Statements attached to published datasets, and the methodology and implementation, migration, and ingestion of statistical information packages into the Stats NZ Archive.

Disposal will be managed using current processes and be recorded in the Disposal Register. Management is included in this schedule for clarity and consistency.

9.3: Finding aids for use with census data

This subclass refers to census schedule metadata and other finding aids generated as part of an individual census programme of work that can be used to locate specific schedules and/or responses and which allow them to be used. This subclass applies to any census from 2018 onwards.¹¹

9.4: Data archive management

The Data Archive is a curated repository set up by Stats NZ to manage statistical data and information requiring preservation or retention for an extended period. These records document the policy and processes underpinning management of the archive and include stakeholder consultation and advice, reviews and audits, risk management, and operational issue management.

7.9.3 Value statement

Records recommended for retention as public archives in this class meet the business value, accountability, and knowledge criteria of the Appraisal Statement. They provide business intelligence about the full range of information assets held by the agency and how high-value records are preserved and managed over time, including the policy and processes underpinning the preservation of official statistics.

Some records provide unique evidence of New Zealand's development as a nation. Decisions about their retention or disposal are of importance both inside and outside the agency. Preservation of data and supporting information is managed at a collection level. RPD Statements are part of the contextual information attached to each collection. Preserving RPD Statements with the finalised datasets they apply to will ensure that full information about the management of each collection is available over time.

Information that directly supports the interpretation and interrogation of census information is integral to the management and usability of each collection. Managing a five-yearly census is a legislative requirement (Statistics Act 1975, Parts 3 and 4) and a key deliverable for Stats NZ. The information produced is widely used and, in some cases, underpins functions in other agencies (see subclass 7.2.5 about defining electoral boundaries). Census schedules provide an historical snapshot of New Zealand's social, economic, and cultural

¹¹ Censuses between 2005 and 2018 have a similar provision in their individual schedules. Before 2005, retention and/or disposal is as specified by the Government Statistician on a census-by-census basis

development. Consequently, to support long-term access and consistent management, key metadata and supporting documentation are wrapped with census schedules as an archival package after each census and preserved.

The Government Statistician, with the advice of the Chief Archivist, has the legislative mandate to authorise the release of individual schedules as historic documents after 100 years (Statistics Act s37D). Because the archival package contains personal information drawn from individual schedules, census packages are recommended to be held on restricted access for 100 years before that decision is made.

The Data Archive was set up in 2007 and built to meet international digital preservation standards. As Stats NZ is New Zealand's national statistical office, how it manages and preserves data is of value across the wider data ecosystem, as well as supporting the development and integration of well-managed internal systems and platforms. Evidence of the strategic direction of the Data Archive and the policies underpinning data preservation are of long-term interest to the agency, across government and in the private sector, and should be preserved.

Records documenting the destruction of statistical information are of medium-term value and are aligned with the provisions of GDA6 as the business requirements are the same.

7.9.4 Retention and disposal recommendation

Table 20

Class 9 records recommended for retention as public archives	
Subclass	Title
9.1	Preservation of statistical information
9.3	Finding aids for use with census data
9.4	Data Archive management – high-level records

Table 21

Class 9 records recommended for destruction	
Subclass	Title
9.2	Destruction of statistical information

7.10 Class 10: Records of historical value

7.10.1 Class description

This class covers records of ongoing historical or cultural value that are not covered by any other class in the schedule.

10.1: Governor-General's Proclamation for the Census of Population and Dwellings

Each census is officially launched by a proclamation from the Governor-General, which is also published in the Gazette (Statistics Act 1975 s23(2)). The proclamation is digitised for

ease of use. The original is an official document in traditional format and is therefore the official record.

10.2: Published material with historical and/or social value to the New Zealand public and not covered by legal deposit

Stats NZ occasionally produces printed material (e.g. publications, posters, promotional material) to support a specific data collection or to celebrate an anniversary or an event of national importance (e.g. to commemorate 100 years since WW1). This material has little or no business value, and does not qualify for legal deposit, but does provide evidence of Stats NZ's promotional and/or public relations activity related to significant events.

7.10.2 Value statement

All records in this class are recommended for retention as public archives and meet the accountability and knowledge criteria of the Appraisal Statement.

The proclamation for the census is an official document signed by the Governor-General under the authority of the Statistics Act 1975. The digitised version is archived, as part of the archival package mentioned above in class 9, with each individual census. The physical document, as the official record, has long term archival value on its own merit because of the material of which it is composed.

Stats NZ occasionally produces printed and/or promotional material related to events of national importance. While this material is of no evidential business value and does not provide evidence of the historical or social development of the agency, it can be of enduring historical interest as evidence of how government agencies responded to these events and communicated with the NZ public. This material does not qualify for legal deposit but is of interest to Archives New Zealand as part of the record of New Zealand government, and sample sets are retained for this purpose.

Printed or promotional material that is not of historical interest is disposed of under subclass 8.2.

7.10.3 Retention and disposal recommendation

All records in this class are recommended for retention as public archives, so there is no disposal table.

Table 22

Class 10 records recommended for retention as public archives	
Subclass	Title
10.1	Governor-General's proclamation for the census
10.2	Published material with historical and/or social value to the New Zealand public and not covered by legal deposit

7.11 Class 11: Business information systems

7.11.1 Class description

This class covers records documenting the acquisition, design, development, maintenance, and decommissioning of business systems. Activities covered include procurement, system design and implementation, maintenance and support, and decommissioning systems that may or may not have accessible content. As this activity is primarily managed by one business group, all activities are managed in one class for ease of reference and implementation.

Stats NZ is moving from in-house management of technology services to government-approved cloud-based services, which means that some areas of this class will primarily apply to legacy systems. Because of the volume and range of legacy systems, their lifespan, and ubiquity across Stats NZ's operations, and the potential value of the information they contain, their management needs to be clear and consistent.

This class does not cover content management, except where the presence of content affects the process of managing the system the content sits in.

7.11.2 Subclass description

This class has three subclasses:

11.1 covers records related to acquiring and implementing business systems.

11.2 covers records related to system development, maintenance, and support.

11.3 covers records related to decommissioning business systems.

11.1.1: Procurement management

This subclass covers records related to system procurement, from initial scoping of business requirements to allocating the contract. It includes evaluating market offerings, the tender process, shortlisting, proof of concept and pilots, and contract negotiations, including negotiations with all-of-government panels, consortia, and syndicated contracts.

11.1.2: System implementation and management

This subclass covers records related to the implementation and high-level management of business systems. Implementation and roll-out of new systems is usually managed as a project, requiring integration of document and project management software to deliver a comprehensive record. Record types include information architecture, network design, testing and pilot exercises, integration with existing systems, user training, and vendor management.

11.2.1: Major system upgrades

This subclass documents scoping and implementing major system upgrades that make substantive changes to the way a system operates, including changes to related systems. Significant change impacts on policies, business process, products, and services and raises business risks. As with subclass 11.1.2, this level of change is usually managed as a project, requiring integration of document and project management software to deliver a comprehensive record. Record types include information architecture, network design,

testing and pilot exercises, integration with existing systems, roll-back options, user training, and vendor management

11.2.2: Minor system upgrades

Routine upgrades to systems are regular, follow a standard process, and have low impact. They are usually managed as core business and generate routine maintenance records. This subclass is included to ensure clear, comprehensive management of business system-related records.

11.2.3: Operational support for business systems

Operational support for business systems can be delivered internally or in partnership with external vendors. Stats NZ uses a service desk application (Cherwell) to manage all service calls, including on-reference to vendors as required. Business system owners outside Digital Business Services also use Cherwell to manage service-related vendor communication.

Records covered by this subclass include service calls, background information to support service provision, processes for integrated service delivery, analysis and reporting on service provision, and liaison with external service providers.

11.3.1: Decommissioning systems where the content has been migrated

Decommissioning business systems, particularly cornerstone systems and/or systems with extended lifespans (e.g. Lotus Notes), requires careful management to ensure valuable content is not lost, rendered inaccessible, or corrupted. Because of the longevity of many of Stats NZ's products and the importance of the data held, it is important that key data collections are preserved and remain accessible in perpetuity. How that is managed, including risk identification and mitigation, is important for business continuity and disaster management, and valuable for audit and compliance testing as it may affect the reputation of the business.

This subclass documents the key decision and management events in decommissioning systems after content has been migrated or disposed of. This may be either an operational activity or part of a larger project to replace the system. Records will include business analysis, migration planning and implementation, risk management and vendor management.

7.11.3 Value statement

Records in this class are not recommended for retention as public archives, as they are primarily of operational value. As core systems require comprehensive documentation to ensure effective management, lengthy retention periods have been recommended in some cases.

Acquiring business systems is a key function for all agencies and represents significant budget expenditure. Decisions about purchasing and implementing business systems, particularly when they underpin key services, is of high evidential value for accountability and financial management. Disposal recommendations are aligned with GDA6's recommendations for tenders.

Implementation and ongoing management of business systems, including major upgrades and enhancements, produces key documentation that remains relevant to effective management over time (e.g. information architecture, network diagrams, risk scenarios). Where upgrades make major changes to the system, it is recommended that the information

remains accessible for the life of the system, as major upgrades can affect accessibility, productivity, and business processes. An historical record of system changes over time is valuable for development and diagnostics.

Minor upgrades are regularly rolled out and have less impact on the system. This information should be retained for as long as it is of value to the system administrators.

Operational support for business systems records the day-to-day support usually requested through service desks. Records provide useful information on areas of risk and can be useful for training development. Stats NZ's current and historic operational support has been a mixture of in-house and vendor-delivered services, and the information supplied is useful in identifying resource requirements, capability shortages, and system vulnerabilities. This subclass has been aligned with contact centre management in Class 3 (subclass 3.4), which focuses on services delivered to external customers.

Subclass 11.3 is concerned with documenting the process of decommissioning business systems and providing evidence of decision-making where migration has been successfully completed.

7.11.4 Retention and disposal recommendation

All records in this class are recommended for destruction, so there is no retention table.

Table 23

Class 11 records recommended for destruction	
Subclass	Title
11.1.1	Procurement management
11.1.2	System implementation and management
11.2.1	System upgrades: major
11.2.2	System upgrades: minor
11.2.3	Operational support for business systems
11.3.1	Decommissioning systems where the content can be migrated: high-level records

7.12 Class 12: Records that are too hazardous to handle

7.12.1 Class description

This class covers records present health and safety risks to handle, and that need a formal disposal action attached to them.

7.12.2 Subclass description

12.1: Records that cannot be handled because of health and safety risks

This subclass deals with physical records that cannot be handled because of health and safety risks. Specifically it allows the immediate secure disposal of records in any physical format that have been collected or received, as part of the organisations business practice, that have been contaminated by chemicals or other toxic substances. This includes physical survey forms or other collection instruments contaminated by substances such as faecal matter. The subclass does not extend to contamination of records resulting from natural disasters or emergencies, such as earthquakes, flood, fires, or building failures. These instances will be covered by event specific or General Disposal Authorities issued by Archives New Zealand.

7.12.3 Retention and disposal recommendation

All records in this class are recommended for destruction, so there is no retention table.

Table 24

Class 12 records recommended for destruction	
Subclass	Title
12.1	Records that cannot be handled because of health and safety risks

Appendix 1: Disposal Authorities

Table 25

Current and recently expired disposal authorities			
DA #	Agency office	Expiry date	Description
CURRENT			
379	Head Office	15/07/2019	Statistical data, metadata, and documentation created after 21 April 2005 and not related to any census
439	Head Office	02/02/2021	Information created and received during 2006 Census
440	Head Office	02/02/2021	Information created and received during 2011 Census
563	Head Office	19/02/2023	Information created and received during 2013 Census
EXPIRED			
271	Head Office	23/02/2017	Individual statistical schedules collected or received by Stats NZ (excluding census)
272	Head Office	23/02/2017	Administrative data created or received by Stats NZ (excluding census)

Appendix 2: Consultation

Internal consultation

Table 26

Internal consultation	
Group and team	Name and role
Data Services, Customer Support and Development, Customer Support	[Details removed]
Data Services, Customer Support and Development, Customer Support	[Details removed]
Data Services, Customer Support and Development, Customer Support	[Details removed]
Data Services, Customer Support and Development, Customer Support, Customised Data Services	[Details removed]
Data Services, Customer Support and Development, Customer Support, Digital Publishing	[Details removed]
Data Services, Customer Support and Development, Customer Support, External Engagement and Statistical Services	[Details removed]
Data Services, Customer Support and Development, Integrated Data	[Details removed]
Data Services, Customer Support and Development, Integrated Data	[Details removed]
Data Services, Customer Support and Development, Integrated Data	[Details removed]
Data Services, Digital Business Services	[Details removed]
Data System Leadership, Office of the Government Statistician and Chief Executive	[Details removed]
Data System Leadership, Statistical Methods	[Details removed]
Data System Leadership, Statistical Methods	[Details removed]
Data System Leadership, System and Partnership	[Details removed]
Data System Leadership, System and Partnership	[Details removed]
Data System Leadership,	[Details removed]

System and Partnership, System and Design	
Data System Leadership, System and Partnership, System and Design	[Details removed]
Data System Leadership, System and Partnership, System and Design	[Details removed]
Data System Leadership, System and Partnership, System and Design, Information Management	[Details removed]
Data System Leadership, System and Partnership, System and Design, Information Management	[Details removed]
Data System Leadership, System and Partnership, System and Design, Information Management	[Details removed]
Data System Leadership, System and Partnership, System and Design, Information Management	[Details removed]
Data System Leadership, System and Partnership, System Integrity and Engagement	[Details removed]
Data System Leadership, System and Partnership, System Integrity and Engagement	[Details removed]
Data System Leadership, Te Tohu Rautaki Angitu Maori	[Details removed]
Data System Leadership, System and Partnership, System Integrity and Engagement	[Details removed]
Insights and Statistics, Products, Services and Insights, Business Indicators	[Details removed]
Insights and Statistics, Products, Services and Insights, Population Statistics	[Details removed]
Insights and Statistics, Products, Services and Insights, Population Statistics	[Details removed]
Insights and Statistics, Products, Services and Insights, Population Statistics	[Details removed]
Organisation Capability and Services	[Details removed]
Organisation Capability and Services	[Details removed]

Organisation Capability and Services, Organisational Strategy and Performance	[Details removed]
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External consultation

Table 27

External consultation	
Name and position	Organisation
[Details removed]	Accident Compensation Corporation (ACC)
[Details removed]	Department of Internal Affairs (DIA)
[Details removed]	Inland Revenue Department (IRD)
[Details removed]	Ministry for the Environment
[Details removed]	Ministry of Social Development (MSD)
[Details removed]	Ministry for Primary Industries (MPI)
[Details removed]	New Zealand Qualifications Authority (NZQA)
[Details removed]	Te Puni Kokiri
[Details removed]	Ministry of Justice
[Details removed]	Land Information New Zealand (LINZ)
[Details removed]	Ministry of Business, Innovation and Employment (MBIE)
[Details removed]	Ministry of Education
[Details removed]	Ministry of Health
[Details removed]	Ministry of Transport
[Details removed]	Social Investment Agency
[Details removed]	New Zealand Treasury
[Details removed]	Auckland Council
[Details removed]	Sky City
[Details removed]	Victoria University
[Details removed]	Auckland University
[Details removed]	Massey University

Appendix 3: Archives New Zealand Appraisal Criteria

Business value	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>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. These information and records will need to be retained for a period of time as opposed to those of a transitory nature.</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 • 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>	
Accountability	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>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>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 • 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>	
Rights and entitlements	Information and records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups
<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>Indicators may include evidence of:</p> <ul style="list-style-type: none"> • impact on individuals/groups, people who are disadvantaged, effect on well-being, and the right to participate • the effect on individual identity • proof of rights/qualification for ongoing rights. 	

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.	
Legitimacy of authority	Information and records that identify and document the source of authority and foundation of the machinery of government and its public sector bodies
<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>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 disestablishing functions, jurisdictions, mandates, powers, and operations • judgments or rulings determining the extent of jurisdiction or powers. <p>Length of retention will be determined by requirement for proof of authority.</p>	
Treaty of Waitangi/Te Tiriti o Waitangi	Information and records that provide evidence of the recognition and respect for, fulfilment of or aspirations to Treaty of Waitangi/Te Tiriti o Waitangi principles and the Crown's obligations, or in the absence of this, evidence of failure to fulfil obligations and principles
<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>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 • the Crown sustaining and protecting Mātauranga Māori. <p>Length of retention will be determined by the level of evidential value.</p>	
Knowledge	Information and 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>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>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>	

- 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.

Whakapapa/genealogical

Indicators may include evidence of:

- Family relationships – links between the past and the present.

Cultural

Indicators may include evidence of:

- 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.

Scientific/technical/engineering

Indicators may include evidence of:

- 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.

Stewardship/Kaitiakitanga

Indicators may include evidence of:

- environmental monitoring, data – collections and analysis of environmental data
- changes to land use; e.g.; national parks, marines reserves
- contaminant usage, hazardous substances.

Length of retention will be determined by the level of contribution that can be demonstrated.

Appendix 4: Disposal Schedule

The Schedule accompanies this Report as a separate Excel spreadsheet