



Appraisal Report

for

the New Zealand Defence

Force (NZDF)

Disposal Authority

Version 1.1

March 2022

| Document Control | |
|--------------------------|---|
| File/Document ID | For Archives New Zealand use |
| Agency | New Zealand Defence Force |
| Contact Name and Details | Agency contact – Glenn Kirker s. 9(2)(a) |
| Date | March 2022 |
| Version | 1.1 |

CONTENTS

| | | |
|-----|---|----|
| 1 | Introduction | 5 |
| 1.1 | Schedule overview..... | 5 |
| 1.2 | Context of the development of the disposal schedule | 5 |
| 1.3 | Scope of the disposal schedule..... | 6 |
| 2 | Agency information - about the New Zealand Defence Force..... | 7 |
| 2.1 | Functions of NZDF..... | 7 |
| 2.2 | Organisation structure..... | 7 |
| 2.3 | NZDF Information Management Environment | 10 |
| 3 | Points of note | 13 |
| 3.1 | Importance of NZDF and its records | 13 |
| 3.2 | Role of the military museums..... | 14 |
| 3.3 | Standard pattern for every class | 15 |
| 3.4 | Use of terms 'significant' and 'standard' | 16 |
| 3.5 | Use of General Disposal Authorities (GDA)..... | 17 |
| 3.6 | Personnel class to be added as an amendment..... | 19 |
| 3.7 | Implementation considerations | 19 |
| 4 | Methodology..... | 20 |
| 4.1 | Development Activities..... | 20 |
| 4.2 | Internal consultation..... | 20 |
| 4.3 | External consultation..... | 21 |
| 4.4 | Preceding disposal authorities of relevance | 21 |
| 4.5 | Appraisal criteria | 22 |
| 4.6 | Format of the schedule | 24 |
| 5 | Description and evaluation of classes..... | 24 |
| 5.1 | Class no. 1 – Command, Governance, Strategy and Planning..... | 25 |
| 5.2 | Class no. 2 – Intelligence and Security | 34 |
| 5.3 | Class no. 3 – Operations..... | 40 |

5.4 Class no. 4 – Logistics and Estate 47

5.5 Class no. 5 – Information Technology and Information Management 53

5.6 Class no. 6 – Learning, Training and Education 56

5.7 Class no. 7 – Capability and Development 62

5.8 Class no. 8 – Finance 67

6 Access restrictions 71

Appendix One - Internal consultation 74

Appendix Two – External consultation 79

1 Introduction

1.1 Schedule overview

The New Zealand Defence Force (NZDF) is responsible for delivering defence capability and services for New Zealand. The Disposal Schedule accompanying this report applies to information and records pertaining to the functions of NZDF, whether current, non-current or yet to be created.

The disposal of NZDF information and records must be authorised by the Chief Archivist as per the requirements of the Public Records Act 2005. This is typically documented through a disposal schedule that identifies the different types of information and records created and received, and the time period for keeping information and records prior to their destruction or transfer to Archives New Zealand. This appraisal report provides context and justification for the disposal decisions documented in the disposal schedule. Its purpose is to support the approval of the disposal schedule by the Chief Archivist as required under the Public Records Act.

There is also a business requirement to ensure the accompanying disposal schedule can be implemented easily and practically.

The schedule consists of eight classes of information and records:

1. Command, Governance, Strategy and Planning
2. Intelligence and Security
3. Operations
4. Logistics and Estate
5. Information Technology and Information Management
6. Learning, Training and Education
7. Capability and Development
8. Finance

A ninth class covering activities associated with managing personnel is also being developed and will be submitted as an amendment to this Disposal Schedule at a later date.

In addition to this disposal schedule, NZDF will utilise relevant classes of the Archives New Zealand General Disposal Authorities (GDAs) 6 and 7 for information and records covered by those authorities. The GDAs provide disposal approval for information and records created for common corporate functions that are relevant to all public sector agencies.

1.2 Context of the development of the disposal schedule

NZDF is undergoing a significant period of change in relation to its information and records management practices.

The Knowledge and Information Management Directorate (KIMD), was established in 2015 to deliver on a large portfolio of work encompassing initiatives such as (but not limited to):

- Delivery of a Digital Workplace programme to modernise how NZDF creates, stores and consumes information
- Delivery of Enterprise Analytics capability
- Development of a new business classification structure for its information

- Completion of an information asset identification exercise

Development of this disposal schedule is timely as it supports and informs the wider portfolio of work that is improving the management of information and records across NZDF. To date NZDF has used separate disposal schedules for each of the three services; Air, Navy and Army. This new schedule combines the functions of each service and addresses gaps in existing disposal coverage.

It is planned that following the approval of this disposal schedule, an education and training project will be undertaken across NZDF to support the implementation of disposal actions on non-current records. Disposal activity will also be integrated into recordkeeping and line of business systems. This means for existing systems, NZDF plans to undertake appropriate disposal activities on the information in those systems. This will be implemented through system functionality where possible, and if not, then likely at point of migration to any new system. It also means that information disposal requirements will be considered during new system design and implementation. NZDF policy is that no information or records will be transferred to Archives New Zealand if they are still classified. A declassification process will take place on any classified material prior to transfer.

1.3 Scope of the disposal schedule

This disposal schedule applies to all information and records in any format pertaining to the functions of NZDF whether current, non-current or yet to be created. This includes:

- Information and records created/used/managed by any business unit in NZDF (whether New Zealand based or overseas)¹
- Hard copy records (both current and non-current)
- Electronic records (both current and non-current)
- Information and records held in line of business systems and databases
- Information and records that are either unclassified or classified at SECRET level and below

The disposal schedule excludes:

- Information and records classified at TOP SECRET level
- Information and records created/managed/used by Veterans' Affairs as they have recently developed their own disposal schedule
- Information and records received by NZDF from other countries as part of Operations or Intelligence activities.
- Information collected by NZDF on behalf of other New Zealand government agencies that is then passed on directly to those agencies. Such information is covered by the disposal authorities of the agency that the information is being collected for. For example, hydrographic data collected by NZDF for the National Institute of Water and Atmospheric Research (NIWA)
- Ministry of Defence (MoD) information and records that are stored on NZDF systems. While MoD has a close working relationship with NZDF, which includes sharing a document

¹ Military Personnel information will be covered in an amendment to this schedule. See section 3.6 of this report for more detail

management system and ICT requirements, the disposal of Ministry records is covered by their own agency specific disposal schedule

2 Agency information - about the New Zealand Defence Force

2.1 Functions of NZDF

The Defence Act (1990) established NZDF and the primary responsibilities for the provision of defence for New Zealand and security for New Zealanders. The Act reaffirms the historical prerogative of the Crown to raise and maintain armed forces.

The principal role of the Defence Force is to defend the nation's sovereign territory and those areas for which New Zealand is responsible, providing security for New Zealanders, including against terrorism and related threats. Its functions are to:

- Defend New Zealand's sovereign territory
- Contribute to national resilience and whole of government security objectives
- Meet New Zealand's commitment as an ally of Australia
- Support New Zealand's civilian presence in the Ross Dependency of Antarctica, and participate in whole of government efforts to monitor and respond to activity in the Southern Ocean
- Contribute to and, where necessary, lead operations in the South Pacific
- Make a credible contribution in support of peace and security in the Asia-Pacific region
- Protect New Zealand's wider interests by contributing to international peace and security, and the international rule of law
- Contribute to the advancement of New Zealand's security partnerships
- Participate in all-of-government efforts to monitor the strategic environment
- Be prepared to respond to sudden shifts in the strategic environment

2.2 Organisation structure²

Section 5 of the Defence Act 1990 constitutes that the Governor-General may raise the armed forces in the name and on behalf of the Sovereign of New Zealand. The Governor-General, under the Letters Patent 1983, serves as the Commander-in-Chief of the Realm of New Zealand.

Under the Defence Act 1990, the Secretary of Defence is the lead civilian advisor on defence matters and the Chief of Defence Force is the lead military advisor and senior military officer. The Minister of Defence exercises control of NZDF through the Chief of Defence Force (CDF).

The Secretary of Defence and the Chief of Defence Force are jointly accountable for the management of defence capability. This joint accountability is exercised through the Capability

² Detail in the following section has been taken from the NZDF website as at September 2019

Governance Board (formerly the Capability Management Board), which includes two external advisors. The Secretary of Defence has primary accountability for policy development, capability definition and acquisition. The Chief of Defence Force has primary accountability for introduction into service of capability, operating that capability in service, and disposing of it at end of life. In many instances the Ministry of Defence and New Zealand Defence Force collaborate on key pieces of work including on Defence capabilities and international Defence relations. While the Secretary of Defence and Chief of Defence Force have separate formal accountabilities for phases of the capability life cycle, they are carried out in a seamless and dynamic process.

The command structure of NZDF is a single chain emanating from the Crown, through the CDF to individual units and Single Service (Navy, Army and Air Force) personnel. The CDF is the professional head of the Armed Forces as a whole and the Government's principal military adviser. This includes the direction of Military Operations and, through the Chiefs of Service (Navy, Army and Air Force), the responsibility for ensuring the fighting effectiveness, efficiency and morale of NZDF.

In addition to the strategic command role, CDF is the Chief Executive of the Defence Force and solely accountable to the Government and people of New Zealand for the effective and efficient management of the NZDF.

The Navy, Army and the Air Force are the primary components of the NZDF and individually are known as the Single Services. The Single Service Chiefs have primary responsibility for the management of activities that ensure their own Force Elements are trained, equipped and prepared for operational employment, including the engagement of joint enablers for some functions.

The personnel component of these capabilities comprises full-time and part-time uniformed personnel including the specialists needed to support deployed operations and others that are available to individually augment operational forces.

The Commander Joint Forces delivers integrated joint force capabilities through additional training activities and pre-deployment validation and assessment. These activities prepare soldiers, sailors, and airmen/airwomen, leaders and units to operate and succeed in an uncertain operational environment where the stability can deteriorate without warning. While there is some commonality in the way each Service generates operational capability, each is optimised to meet specific environmental imperatives.

Navy capability generation is driven largely by the need to maintain and deliver ships and their complement at readiness. The fleet training programme differs from the activities of the other Services in that maritime deployments cover a range of concurrent tasks including maritime exercises, defence diplomacy, potential operations and some training.

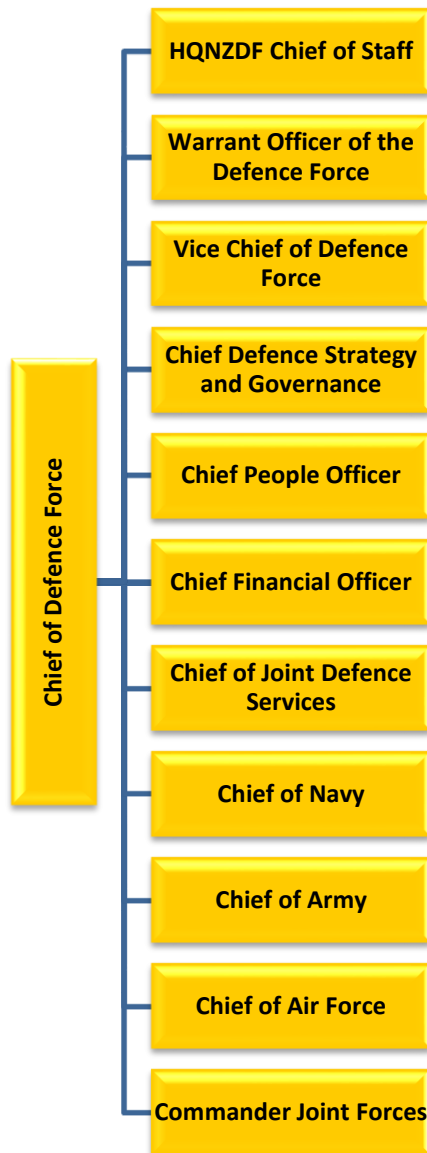
The Army operates an annual training plan with units and formations moving through progressive stages of preparation and contingency before being ready for deployment.

Air Force processes are driven by the need to train and maintain aircrews at the directed state of readiness and provide air capabilities to concurrently sustain domestic outputs and deployed operations.

Reserve Forces contribute to follow-on forces and can augment smaller operational missions. They also provide additional capacity when regular forces are deployed on operations. In particular, the Reserve Force provides specialists in a wide range of roles where it is not practical or cost-effective to maintain the capability in the regular force on a continual basis.

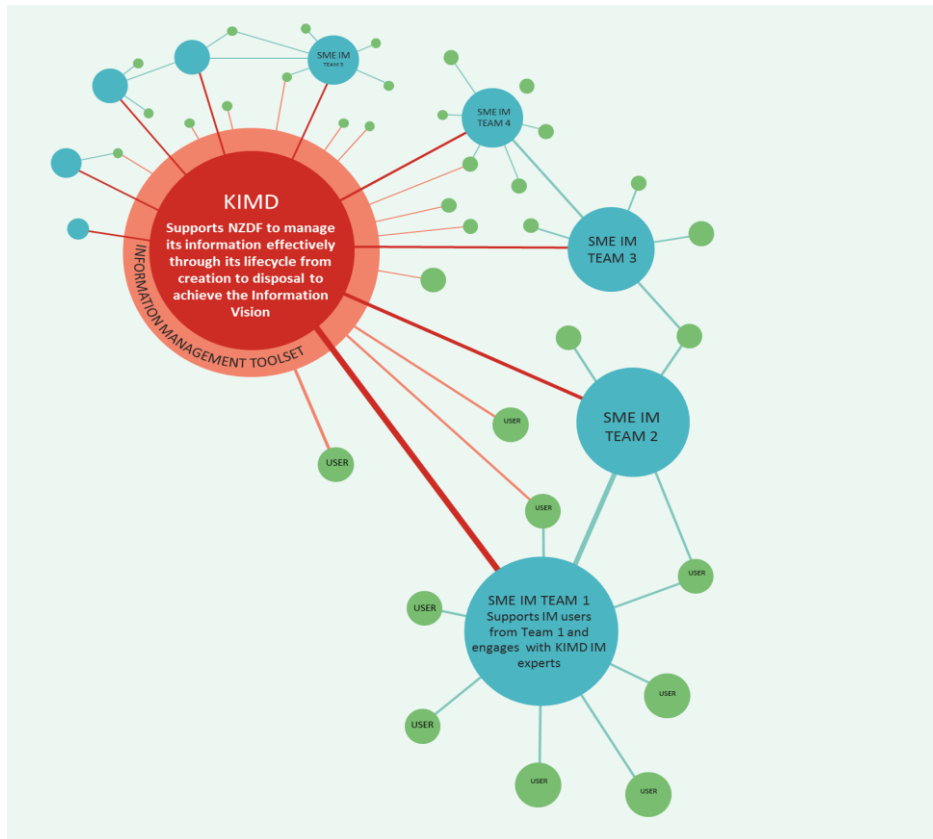
The Headquarters Joint Forces New Zealand plans and executes joint or potentially joint operations in support of the Government's direction to the Defence Force. For domestic crises, this headquarters is responsible for the Defence Force contributions to the civil power.

The below diagram illustrates the top two tiers of NZDF's organisational structure as a 2019.



2.3 NZDF Information Management Environment

Information and records management for NZDF is coordinated by the KIMD. KIMD is part of Communications and Information Systems (CIS) Branch within Joint Defence Services (JDS) and leads the delivery of information management strategy across NZDF, working in partnership with all parts of NZDF to ensure continual evolution of information management maturity and compliance.



KIMD uses a hub and spoke (federated) model to support Knowledge and Information Management (KIM) Subject Matter Expert(s) (SME) across NZDF. KIMD acts as the central hub to provide support and expertise, while most of the information management work across NZDF will remain the responsibility of existing teams.

As the hub KIMD:

- Provides KIM specialists
- Sets the standards
- Defines the processes
- Manages KIM tools
- Provides best practice KIM leadership

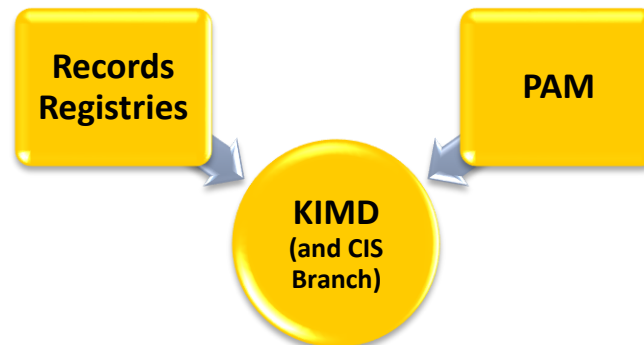
As the spokes business units:

- Provide functional SMEs with KIM skills
- Follow the standards set by KIMD
- Follow the processes set by KIMD

- Use KIM tools for management of their information and records
- Demonstrate best practice KIM

KIMD works closely with the information and communications technology staff in CIS Branch to ensure NZDF's information systems are fit for purpose and support NZDF staff to manage information effectively throughout its lifecycle.

Examples of 'spokes' that have specific recordkeeping responsibilities are the Records Registries across the three forces (that make up NZDF and Joint Forces), Personnel Archives and Medals (PAM).



The Records Registries provide recordkeeping services, primarily with physical records, for each of the three services plus Joint Forces. There are multiple Registries across NZDF and located in most NZDF camps and bases throughout New Zealand. However, they do have a responsibility to KIMD to ensure that they are following NZDF policy and practice in relation to information and records management.

Personnel Archives and Medals (PAM) business unit is located at Trentham Camp, Upper Hutt and is part of the People Capability Portfolio that reports directly to the CDF. PAM currently has two broad business functions:

1. To store all physical personnel files, both civilian and military, and provide information from these records to individuals, their families and other interested parties in accordance with New Zealand Government legislation; and
2. To research and establish entitlement to medals of serving and ex-serving military personnel, and to issue campaign and service medals awarded on behalf of New Zealand to entitled recipients.

The role of PAM has evolved from a business unit that created and managed current Army personnel records in 1915 to that of managing non-current physical military personnel files of Single Services today. The incorporation of Navy and Airforce records occurred from 1989 as part of the establishment of the NZDF Headquarters.

2.3.1 Current paper records

Formal paper files are still being created across NZDF. Transition to electronic only recordkeeping has begun but will take several years to become embedded practice. In the meantime, the Registries support NZDF teams and units through the creation, management, storage and advice relating to paper-based filing systems.

2.3.2 Non-current paper records

NZDF non-current physical records are kept onsite at camps and bases. Very few are kept offsite at commercial storage providers. It is expected therefore that NZDF is holding large quantities of non-current paper-based records that could be disposed of once this disposal schedule is approved.

2.3.3 Current electronic documents

NZDF has rolled out an enterprise wide electronic Defence Document Management System (DDMS). It will ultimately replace shared drives and become the primary document-based repository for NZDF electronic records. It is planned that disposal processes will be able to be implemented within DDMS.

2.3.4 Business information systems and data stores

NZDF has a wide range of line of business systems, many bespoke, to support specific processes. Examples of the range of repositories in use are:

| Database Name | Short Description |
|---------------|--|
| AMS | Accommodation Management System. Booking and placement system for staff staying in Barracks on Camps and Bases. |
| EARLLS | Electronic Activities Reporting and Lessons Learnt System. Lessons Learnt system for Operations and Exercises. |
| ESM | Executive Strategy Manager. Portfolio Project Management Reporting tool. |
| FEMS | Force Element Management System. Supports Operational reporting and management requirements across the RNZAF including Flying Hours recording, Personnel details, Flight Authorisations, General Declarations and Aircrew Currencies. |
| SID | Security Incident Database. |
| SRS | Safety Reporting System. Reporting system for Health and Safety. |
| VICRS | Vehicle Incident Crash Reporting System. |
| MID | Moving Images Database. |
| DDMS | Defence Document Management System. |
| Sitaware | A Battle Management System that tracks tactical information around land forces while on operations |
| LIGHTHOUSE | The application that holds the Master Activity Schedule for NZDF exercises and operations. |

In addition, NZDF has multiple customer facing websites, with backend databases that support publication to them.

Specific repositories of information and records (such as the example databases/tools listed above) are not named in the disposal schedule as, in principle, the schedule applies regardless of what format or in which repository the information resides.

3 Points of note

The sections below outline points of note that pertain to the development of the disposal schedule for NZDF.

3.1 Importance of NZDF and its records

The primary purpose of NZDF is national defence. The success, and degree to which NZDF undertakes this role, can directly impact how New Zealand may view itself and its place in the world. In the past, the military had the primary role of defence from invasion but also may have been used in offensive warfare (e.g. New Zealand participation in World War I and II). However, NZDF now has a much broader role in society than ever before, internally and internationally during both peace and times of conflict.

With these broader roles now being undertaken by NZDF it touches on almost all aspects of society to some extent as it is deployed in different ways. For example, through:

- Operations to keep peace, participate in conflict zones and cooperate with allies
- Civil defence including responding to national and international emergencies and natural disasters
- Responding to internal security incidents
- Aiding law enforcement, e.g. border control, drug control, crime investigation, cyber operations, intelligence gathering
- Civil protection tasks, e.g. protecting critical infrastructure, important personnel, or largescale public events
- Non-security focussed tasks such as search and rescue, training and monitoring, equipment or asset and facility provision, scientific research, environmental protection

The information and records created by military activities while deployed, and those that document the readiness required by NZDF in order to be able to deploy at short notice, provide a strong body of knowledge that is relevant across society and across time. The information and records reflect government and military decisions, actions and outcomes and as such provide a highly valuable resource for future understanding and research about decision-making, action taken and involvement in national and international affairs. This in turn shapes New Zealand and its defence forces.

Military records have traditionally had very high retention rates due to the importance of the military in society. In developing this disposal schedule, attention has been paid to this fundamental role that NZDF and the armed forces play in society.

3.2 Role of the military museums

Each Single Service that makes up NZDF operates its own service specific Museum. The National Army Museum is based in Waiouru with the area of responsibility the Waiouru Army Base, the Navy Museum is operated from Devonport Naval Base and the Airforce Museum is run from Wigram in Christchurch. The Museums are run by Museum Trust Boards and are operated as charitable trusts.

New Zealand's military museums hold important collections of film, photographs and archives relating to the various arms of each service.

Any public records offered to the museums for their collections must be formally discharged under section 25 of the Public Records Act and Archives New Zealand's discharge process. To facilitate that process the following criteria have been established to govern which information and records marked as Destroy/Discharge in the schedule will be offered to the Museums to add to their collections.

- Routine records of commemorations and ceremonies hosted or led by Single Services, including Single Service-specific awards and competitions
- Routine records of Heritage, culture and historical matters related to the Single Services
- Routine records related to Single Service publications
- Routine records related to Single Service Operations
- Routine records related to Single Service Military Training
- Routine records related to Single Service Maintenance and Engineering, Movements, Transport and Supply
- Routine records related to Facilities, Estate and Infrastructure associated with single service activities

There are several classes in the disposal schedule, listed below, where it is expected that information and records recommended for destruction will meet the criteria outlined above and therefore be offered to the museums using the Public Records Act discharge mechanism instead of being destroyed.

All records eligible for discharge to the museums will only be discharged with the relevant NZDF Business Owner's approval. If that approval is given and the museum wishes to accept the record then it will be able to add it to their collection and the record will no longer be considered to be a public record, meaning NZDF will have no further control over what the museum may choose to do with that record. Affected classes are:

| Sub-class | Title |
|-----------|--|
| 1.1 | Support activities associated with the enablement of NZDF Command, Governance, Strategy and Planning |
| 3.1 | Support activities associated with the enablement of Operations |
| 3.11 | Deployment, redeployment and conduct activities during Standard or Routine Operations |

| Sub-class | Title |
|-----------|--|
| 4.8 | Maintenance and engineering activities associated with NZDF-owned military-specific vehicles, vessels, aircraft and equipment or asset |
| 4.9 | Logistics Movements, Transport and Supply |
| 4.10 | Facilities, Estate, and Infrastructure maintenance and management |
| 6.1 | Support activities associated with the enablement of Military Learning, Training and Education |

Additionally, the following criteria have been established to determine information and records that will not be offered to the Museums:

- Policy or policy review records
- Governance and Strategy records
- Legal records
- Contracts
- Intelligence and Security records
- Research and development records
- NZDF project records
- Information Technology records
- Operations records where the Operation was led by Joint Forces

3.3 Standard pattern for every class

To support consistency of implementation and interpretation, a standard set of four sub-classes has been established for each class in this schedule. They are:

- Support activities
- Raw data
- Governance and strategy activities
- Reporting and performance activities

Support activities are those activities that are delivered to support a function. The information and records may be at a detailed level, or about lower level processes within a class, or they may be the workings and drafts of more important documents that are recommended for retention as archives in other sub-classes. The purpose of this sub-class is to have a standard place covering administrative aspects of any function. The examples of information and records of relevance have been tailored to each class. All information and records considered to be support records are recommended for destruction as they are of a transitory value and low-level in nature.

The **raw data sub-class** in each class provides a place for all kinds of data that may be generated in fulfilling the function covered by the class it is in. When developing the disposal schedule, it became apparent that NZDF creates and holds vast amounts of data, yet as an organisation the protocols and

practices around data management are still maturing. To ensure that NZDF staff are aware of the need for disposal of data to be governed by the disposal schedule it was decided that putting it into its own sub-class would support more robust data disposal practices. The examples of possible datasets have been tailored to each class. All raw data sub-classes have a Destroy action once the data is administratively no longer required. Any data that is considered to be analysed / anonymised / processed is covered by the other non 'raw data' sub-classes as just one of the formats each sub-class may cover.

Governance and strategy and planning activities are those activities that provide governance, planning and decision making at a strategic level for any function. Typically, this would include strategic level decision-making, organisation-wide planning and strategic thinking, and oversight and governance at a senior level through formal governance bodies or processes. All sub-classes relating to governance, strategy and planning activities have a Retain as Archive disposal action. These are high-level information and records documenting a function so have archival value because they provide accountability, transparency and knowledge about governance, strategy and planning activities.

Reporting and performance activities are the activities that focus on monitoring and comparing progress/success against what was planned and what happened. At a strategic level this covers reporting and planning (including risk management) of either organisation-wide initiatives and frameworks or reporting requirements or strategic programmes of work. All sub-classes relating to reporting and performance activities have a Retain as Archive disposal action as they are the high-level information and records documenting a function so have archival value because they provide accountability, transparency and knowledge about reporting and performance monitoring activities.

3.4 Use of terms 'significant' and 'standard'

To differentiate between information and records of archival value and those that are more routine the terms *significant* and *standard* are used throughout the schedule. Anything described as significant will have an archival value, whereas those described as standard have only short-medium term business value.

Example criteria used to establish whether information documented may be considered significant are:

- It documents a high-level and strategic view of a core function of NZDF
- It documents the process of decision-making and approvals which involve substantial change/innovation, elevated risk, and/or large capital expenditure
- It documents advice to Ministers and Ministerial decisions
- It documents at a strategic level the liaison and/or agreements with partners and international forces, or other government agencies
- It documents a strategic level of planning and reporting
- It documents an organisation-wide view of the management and maintenance of New Zealand's military forces their personnel, processes and protocols
- It documents NZDF participation and contribution to events of national significance (whether ceremonial, military or emergency response)

- It documents activities that are covered by the Archives New Zealand Appraisal Statement September 2018 as having archival value

Example criteria used to establish whether information may be considered routine are:

- It documents activities which are of a routine and regular nature that are just part of NZDF “business as usual”
- It documents at a detailed level, activities that may be unique to NZDF, but that are more appropriately captured in other records (e.g. summary records)
- It documents administrative activities

The exception to this “rule” is class 7 where the word consequential is used to describe the projects that have archival value, rather than significant. Within NZDF use of the word significant in relation to capability projects was previously used to denote Defence-led projects which are actually covered by the Ministry of Defence disposal schedule for the relevant life cycle phases. To avoid the potential for confusion in Class 7, the word significant has therefore not been used.

3.5 Use of General Disposal Authorities (GDA)

NZDF intends, for the most part, to use the general disposal authorities for information and records covered by those authorities. However, several classes in **GDA6** do not provide appropriate disposal coverage to the degree in which they are needed for NZDF, or do not express the activities covered by the GDA classes in a way that makes sense within the NZDF environment. The table below outlines how **GDA6** will be utilised.

| Class | Use of GDA6 |
|---|--|
| Class 1 - Command, Governance, Strategy and Planning | GDA6 Classes 1, 2, 3, 6, 7 apply and will be utilised to provide disposal decisions for common corporate records pertaining to command, governance, strategy and planning activities of relevance. Anything related to Command, Governance, Strategy and Planning not adequately covered by GDA6 will have its own sub-class in the NZDF specific disposal schedule. |
| Class 2 - Intelligence and Security | GDA6 does contain some sub-classes covering physical security however, given the nature of NZDF activities, those clauses were not considered to be adequate to cover NZDF information and records of security activities. Anything related to Intelligence and Security not adequately covered by GDA6 will have its own sub-class in the NZDF specific disposal schedule. |
| Class 3 – Operations | GDA6 does not apply as this function is not common across the public sector. All activities under Operations therefore have their own sub-class in the NZDF specific disposal schedule. |

| Class | Use of GDA6 |
|--|--|
| Class 4 - Logistics and Estate | GDA6 Class 5 applies and will be utilised to provide disposal decisions for common corporate records pertaining to logistics and estate activities. Anything related to Logistics and Estate not adequately covered by GDA6 will have its own sub-class in the NZDF specific disposal schedule. |
| Class 5 - Information Technology and Information Management | GDA6 Class 8 applies and will be utilised to provide disposal decisions for common corporate records pertaining to information technology and information management. Anything related to Information Technology and Information Management that NZDF does not consider to be either adequately covered by GDA6 will have its own sub-class in the NZDF specific disposal schedule. In addition, where GDA6 wording does not sufficiently match the terminology and processes used to manage IT and IM within NZDF, then NZDF specific classes have been included in this schedule to assist with implementation. |
| Class 6 - Learning, Training and Education | GDA6 Class 3 applies and will be utilised to provide disposal decisions for common corporate records pertaining to learning, training and education. Specifically, GDA6 will be used to provide disposal decisions for civilian training activities. Anything related to Learning, Training and Education not adequately covered by GDA6 will have its own sub-class in the NZDF specific disposal schedule. |
| Class 7 - Capability and Development | GDA6 does not apply as this function is not common across the public sector. All activities under Capability and Development therefore have their own sub-class in the NZDF specific disposal schedule. |
| Class 8 – Finance | GDA6 Class 4 applies and will be utilised to provide disposal decisions for common corporate records pertaining to finance activities. Anything related to Finance not adequately covered by GDA6 will have its own sub-class in the NZDF specific disposal schedule. |

GDA7 will be used across all classes of NZDF information and records as appropriate.

3.6 Personnel class to be added as an amendment

The function of managing personnel is an extremely complex function within NZDF. NZDF is New Zealand's largest government employer and has a mix of both military and civilian roles.

In developing the disposal schedule, it became apparent that the systems and processes in place for managing personnel information were highly complex and spanned multiple decades, formats, locations and processes to a greater extent than any other NZDF function.

Development of the disposal schedule is a pre-requisite for several other projects being implemented across NZDF such as decommissioning various line of business databases, re-framing how the Registry activities operate, redeveloping directives and policy, and closing legacy environments. It is therefore not desirable to hold up the rest of the development process until appropriate effort can be placed covering the personnel function.

KIMD, with the support of Archives New Zealand Disposal and Acquisition staff, determined that the project was not able to include the personnel function in the schedule at this time. A separate exercise will be carried out to complete the analysis and appraisal required to determine appropriate disposal actions for personnel related information and records. It is planned that once complete, an amendment to the disposal schedule will be submitted as Class Nine, to Archives New Zealand, so it can be considered as part of the same disposal authority.

3.7 Implementation considerations

NZDF is a large and complex organisation with many different systems, tools and physical locations where information and records are created and managed. The disposal schedule will therefore be implemented in a very distributed manner.

A full education and support process will be put in place for those implementing the schedule. However, as part of the development of the schedule, the planned distributed implementation model led to several decisions about wording and terminology to support its implementation. These were:

- Use of the term 'retain as archive' rather than 'retain as public archive'. This is to ensure that NZDF staff implementing the schedule are not confused by the use of the word public to mean that the information once it becomes an archive will automatically be open to members of the the public. The list of restrictions is available in section 6 of this report, and by each relevant sub-class in the schedule.
- The term "administratively no longer required" is used in a number of sub-classes instead of a specific retention time period. This statement has been used for sub-classes where it was not possible to determine single minimum retention period that is appropriate across NZDF. For example the raw data sub-class which features in every class. The appropriate time period for retention of raw data is particular to the context in which that data was collected, its purpose and use. For some parts of NZDF that raw data may only be relevant for 12 months for other parts of the organisation it will have a longer business value. By using the term 'until administratively no longer required' those that create and use that data will have the ability to establish a consistent business rule for raw data which is relevant to the activity it relates to. It is expected that as part of implementation, any business group

applying the schedule on a sub-class that has such a minimum retention statement will establish their own business rules for what that time period should be. These would then be documented in their business unit specific implementation guidance which will mitigate the risk over-retention and premature disposal. Raw data that may be required for evidential and compliance purposes are covered by other classes pertaining to formal investigations and inquiries.

4 Methodology

4.1 Development Activities

The following activities were undertaken to develop this disposal schedule:



4.2 Internal consultation

Following the completion of background research and information gathering from many staff across the NZDF functions, a draft disposal schedule for NZDF was developed.

The draft schedule was submitted to the Digital Workplace Senior Advisory Group for their review. This group is the appropriate internal governance group for this project as they are responsible for providing NZDF wide subject matter expertise and direction to information related projects within NZDF. Members of the group then nominated representative staff from across NZDF to review the disposal schedule to ensure that:

- It will provide complete coverage across NZDF functions and activities
- It will be fit for purpose
- The retention periods and disposal actions are supported by the business

Appendix One lists all NZDF staff who were consulted during the development of the disposal schedule.

4.3 External consultation

Several organisations were identified as key external stakeholders for the NZDF disposal schedule because they may have an interest in the disposal of NZDF information and records.

Feedback from the external consultation was considered and included within the schedule as appropriate. Appendix Two contains the list of external stakeholders provided with the opportunity to provide feedback on the draft disposal schedule.

Feedback during the external consultation was received from:

- CASS/The Treasury
- Centre for Defence and Security Studies, Massey University
- Department of Prime Minister and Cabinet (DPMC)
- Ministry of Civil Defence and Emergency Management
- Ministry of Foreign Affairs and Trade (MFAT)
- Ministry of Primary Industries (MPI)
- National Institute of Water and Atmospheric Research (NIWA)
- New Zealand Professional Historians Association
- NZ Police
- Office of the Auditor General
- Office of the Ombudsman
- Records and Information Management Specialists Australasia (RIMPA)
- Veterans' Affairs

There were no major changes required to either the schedule or report as a result of the feedback received. Some minor wording and editing changes were made in response to the feedback.

4.4 Preceding disposal authorities of relevance

The table below shows current disposal authorities relating to NZDF information and records (Archives New Zealand agency code ABFK – NZDF Headquarters). There are many previous disposal decisions across multiple ongoing and ad-hoc disposal authorities covering NZDF information and records. While they inform the disposal recommendations made in this disposal schedule, the appraisal carried out to develop it is based on appraisal criteria as released by Archives New Zealand.

| DA number | Expiry date | Description |
|-----------|-------------|--|
| DA196 | 31/12/2020 | This retention and disposal schedule covers Royal New Zealand Navy classified and unclassified records in the Standard Defence Filing System (SDFS). |
| DA357 | 31/12/2020 | This Disposal Authority covers classified and unclassified Royal New Zealand Air Force (hereafter RNZAF) records in the SDFS. |
| DA470 | 23/09/2026 | This disposal authority for the New Zealand Army covers hardcopy classified and unclassified records in the SDFS. |

| DA number | Expiry date | Description |
|-----------|-------------|---|
| DA540 | 25/06/2022 | This appraisal report covers classified and unclassified records created during flights carried out by the RNZAF. |
| DA654 | 28/02/2027 | This disposal authority covers all records controlled by Veterans' Affairs New Zealand (an operational unit of the New Zealand Defence Force) in all formats. |

Disposal decisions from the preceding disposal authorities have been continued within this new disposal schedule where relevant. Development of this new disposal authority has allowed for assessment of archival value and a more considered and justifiable set of disposal actions to be recommended.

Approval of this disposal schedule will require DA196, DA357, DA540 and DA470 to be revoked as the disposal decisions in this schedule will replace those existing disposal decisions.

4.5 Appraisal criteria

The following appraisal criteria have been used in assessing the value of the records covered by this disposal schedule. These criteria (which were current at the time of writing this appraisal report) have been taken from the Archives New Zealand Appraisal Statement September 2018 that were developed to provide the rationale for long-term retention of public records as archives.

| | |
|--|--|
| Criteria 1. Business value | <i>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.</i> |
| Information and records identified will be considered essential for the particular business processes or services of an agency or public office, or for fulfilment of other requirements whether legislative, regulatory or commercial. This information and records will need to be retained for a period of time as opposed to those of a transitory nature. | |
| Criteria 2. Accountability | <i>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.</i> |
| 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. | |

| | |
|---|---|
| Criteria 3. Rights and entitlements | <i>Information and records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups.</i> |
| 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. | |
| Criteria 4. Legitimacy of Authority | <i>Information and records that identify and document the source of Authority and foundation of the machinery of government of New Zealand and its public sector bodies.</i> |
| 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. | |
| Criteria 5. Treaty of Waitangi/Te Tiriti o Waitangi | <i>Information and records that provide evidence of recognition and respect for, fulfilment of or aspirations to the 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/or principles.</i> |
| 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. | |
| Criteria 6. Knowledge | <i>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.</i> |
| 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. | |

4.6 Format of the schedule

The retention and disposal schedule spreadsheet (Appendix Three) has the following primary fields:

| Field name | Description |
|--|---|
| Class No. | The reference number of the disposal class |
| Class/sub-class title | The broad class of records and sub-classes. |
| Description and examples | A description of the record type and examples of the information and records covered (or excluded) |
| Trigger (point when minimum retention period starts) | When the record becomes non-current and thus can have retention periods and disposal actions applied |
| Minimum retention | The minimum period of time for which the record must be kept before final disposal |
| Disposal action | The final disposal action on the record: D – Destroy A – Transfer to Archives NZ DIS – Discharge. Discharge in relation to information and records covered by this disposal schedule means that NZDF may choose to offer records from classes marked with this action to the Army, Navy or Airforce museums instead of destroying them providing discharge authority has been given by Archives New Zealand. |

5 Description and evaluation of classes

The sections below outline each class and provide details of records covered by that class, an evaluation and recommended disposal action. The schedule consists of eight classes of records, namely:

- Class 1** Command, Governance, Strategy and Planning
- Class 2** Intelligence and Security
- Class 3** Operations
- Class 4** Logistics and Estate
- Class 5** Information Technology and Information Management
- Class 6** Learning, Training and Education
- Class 7** Capability and Development
- Class 8** Finance

A ninth class covering activities associated with managing personnel is also being developed and will be submitted as an amendment to this disposal schedule at a later date.

5.1 Class no. 1 – Command, Governance, Strategy and Planning

5.1.1 Description

Command, Governance, Strategy and Planning is the function of developing, authorising and directing the strategic management, governance and accountability of NZDF. This function includes authorising missions and tasks, developing organisational goals, objectives, and strategic plans and high-level reporting internally and externally via key output documents.

The Command, Governance, Strategy and Planning class consists of the following sub-classes of information and records:

- Support activities associated with the enablement of NZDF Command, Governance, Strategy and Planning
- Raw data collected to support enablement of NZDF Command, Governance, Strategy and Planning
- Significant organisation-wide NZDF Command, Governance, Strategy and Planning
- Standard organisation-wide NZDF Command, Governance, Strategy and Planning
- Implementation of Command, Governance, Strategy and Planning outputs
- Organisational performance reporting
- Significant Legal Advice and Counsel associated with Operations
- Standard Legal Advice and Counsel associated with Operations
- Significant Legal Advice and Counsel associated with all NZDF activities (excluding Operations)
- Standard Legal Advice and Counsel associated with all NZDF activities (excluding Operations)
- Serious or significant Military good order and/or discipline
- Standard Military good order and/or discipline
- Administrative support to external inquiries and reviews
- Audit and Assurance monitoring and reporting
- Military Ceremonies, Commemorations, and Protocols planning and management
- Military Heritage and Culture planning and management
- Relationship management reporting and coordination

Sub-class 1.1 Support activities associated with the enablement of NZDF Command, Governance, Strategy and Planning are those associated with supporting and administering the NZDF Command, Governance, Strategy and Planning function.

Examples of information and records may include (but are not limited to):

- Records for meeting groups/committees/boards which have no influence on the overall Command, Governance, Strategy and Planning activities (e.g. information preparation and planning, consultation, and similar)
- Routine forms and templates
- Facilitative administrative records such as correspondence, standard information for staff, travel itineraries, bookings and arrangements, greetings, letters of thanks and congratulations, informal advice, inductions, calendars, announcements, office management, and similar

- Information that facilitates visits and administration at overseas posts, including visit programmes and plans
- Informal liaison and correspondence between single services, overseas agencies, government (central and local) and the wider NZ public
- Routine records of commemorations hosted or led by NZDF, and all records of commemorations not hosted or led by NZDF
- Routine records associated with NZDF Heritage, Protocol and Culture (e.g. unit level protocols or culture, and similar)

Sub-class 1.2 Raw data collected to support enablement of NZDF Command, Governance, Strategy and Planning may include data collected or created.

Examples of data may include (but are not limited to):

- Questionnaires and interview transcripts (except for interview transcripts that relate to offending, which must be retained for longer than other types of data as it may be relevant to any appeals or charges etc. See sub-class 1.11 and 1.12)
- Administrative data

Sub-class 1.3 Significant organisation-wide NZDF Command, Governance, Strategy and Planning

covers the processes of governance, strategy, planning. Activities are those that document Command, Governance, Strategy and Planning at a strategic level as well as decision-making and approvals which involve significant change innovation, elevated risk, and/or large capital expenditure. Also includes liaison/agreements with partners and international forces, strategic level liaison/agreements with other government agencies.

Examples of information and records documenting significant activities may include (but are not limited to):

- Governance board/committee agendas, meeting minutes, action and decisions registers, papers presented and relevant supporting information/analysis, and final approvals/decisions which involve significant change/innovation, elevated risk, and/or large capital expenditure
- Significant organisational strategies and directives (e.g. Strategy 2025, Defence Statement of Intent, Environmental Strategy, and similar)
- Significant organisation-wide output plans (e.g. NZDF Annual Plan, NZDF Four-year plan)
- Liaison between multinational commanders and the New Zealand chain of command to confirm or change operational authority
- International instruments (agreements and arrangements) with our partners and international forces (e.g. agreements with foreign governments and military forces, North Atlantic Treaty Organisation (NATO), United Nations, and similar)
- Agreements between NZ Military Forces, including those in order to conduct Operations
- Agreements with other government agencies or bodies that have a major impact on the business of NZDF

- Significant organisation-wide Operation and mission strategies and governance. For example, Executive Orders and Directives to conduct Operations and associated liaison (such as briefings, and associated documents, to the Minister, Cabinet and Select Committees)
- Significant legal frameworks regarding the legality of Operational activities in accordance with agreements and international law (e.g. Rules of Engagement, Military Law and its interpretation, Government Mandates to conduct Operations, the establishment of Military detention centres and the handling of captured or detained persons, and similar)
- Strategic Risk Appetite Framework
- Enterprise-wide Risk Register
- Significant forecasting and planning for future NZDF performance
- Final reports of externally driven Inquiries, Investigations, and Reviews

Sub-class 1.4 Standard organisation-wide NZDF Command, Governance, Strategy and Planning activities are those of a more operational or tactical nature.

Examples of information and records documenting standard activities may include (but are not limited to):

- Governance board/committee Papers presented and relevant supporting information/analysis, and final approvals/decisions which involve standard change/innovation, routine risk and/or routine expenditure
- Standard organisational strategies and directives
- Standard organisation-wide annual reports and reviews
- Standard organisation-wide output plans
- Agreements with other government agencies or bodies that have no major impact on the business of NZDF
- Standard guidance and processes associated with NZDF risk management
- Standard forecasting and planning for future NZDF performance

Sub-class 1.5 Implementation of Command, Governance, Strategy and Planning outputs covers information and records documenting activities associated with implementation of Command, Governance, Strategy and Planning. This includes the production of all formal, significant instructions, directives, orders and policies produced for the overall direction and command of NZDF. Examples of activities include (but are not limited to):

- Direct instruction to the organisation on a particular course of action as set out by senior command and the strategic documentation
- Engagement with, and instruction to, the internal NZDF chain of command regarding the facilitation of business planning and process development
- Liaison with NZDF's key stakeholders and diplomatic partners for input on strategic actions

Examples of information and records may include (but are not limited to):

- Approvals for the publication and use of all significant, organisation-wide business process records
- Final versions of Significant Orders, Instructions, Directives and Authorities of Command (e.g. CDF Command Directives, Defence Force Orders (DFOs), Standing Orders, and similar)

- Final versions of policies at an organisation-wide or Executive level
- Final versions of NZDF doctrine, including providing input into international military doctrine and adopting, adapting and/or discarding international military doctrine
- Significant advice on interpretation or adoption of authorised publications
- Significant Briefs and Minutes from strategic talks and dialogues
- Significant Briefs and Minutes from formal military international service to service talks and dialogues

Sub-class 1.6 Organisational performance reporting covers information and records that track organisation level annual planning against government expectations, as well as the management and reporting of the outputs of strategic plans (both Military and Corporate). Examples of activities include (but are not limited to):

- Setting of performance criteria, measures and targets for significant organisational plans
- Monitoring and reporting on key measurements and key performance indicators such as Military Readiness
- Developing major management reports and reviews, such as the NZDF Quarterly Report, and the NZDF Annual Report
- Coordination, management and reporting of Operational Readiness for NZDF forces as a whole

Examples of information and records may include (but are not limited to):

- Significant organisational progress reports
- Significant Operations reporting to Parliament and the Minister (e.g. Operations updates including limitations, issues, outputs and outcomes to Parliament and the Minister)

Information and records documenting activities associated with providing **legal advice and counsel for Operations** have been divided into two sub-classes. One being the provision of legal advice and counsel relating to significant actions (such as legal opinions and frameworks about the Rules of Engagement, Law of Armed Conflict, and similar), and the other covering routine advice and activities.

Sub-class 1.7 Significant Legal Advice and Counsel associated with Operations

Examples of information and records documenting significant activities may include (but are not limited to):

- Advice regarding the movements of overseas forces in NZ waters/airspace/land
- Personnel issues during Operations that may result in complaints
- Advice on NZDF forces Operational actions in other countries such as providing assistance during elections
- Advice on the use of force during Operations
- Decisions, formal legal advice and opinions regarding detention centres during the conduct of specific Operations
- Decisions, formal advice and opinions regarding the handling of captured or detained persons during the conduct of specific Operations

Sub-class 1.8 Standard Legal Advice and Counsel associated with Operations

Examples of information and records documenting standard or routine activities may include (but are not limited to):

- Legal guidelines and procedures specific to Operations activities
- Provision of standard legal advice (e.g. advice on drafting Operational Orders, advice to a Single Service unit on low-level matters, general domestic law advice, and similar)

Information and records relating to legal advice and counsel associated with all NZDF activities (excluding Operations) have been divided into two sub-classes. One covers the provision of legal advice and counsel relating to significant actions, and the other to standard activities.

Sub-class 1.9 Significant legal advice and counsel associated with all NZDF activities (excluding specific Operations).

Examples of information and records documenting significant legal advice and counsel may include (but are not limited to):

- Significant matters relating to litigation
- Significant legal matters to do with Operations that do not relate to a specific deployment (e.g. Article 36/Geneva Convention reviews, advice relating to Status of Forces Agreements, and similar)
- Legal advice forming the basis of significant or controversial decisions (e.g. major organisational restructuring especially when involving redundancies, matters with high reputational risk such as historic criminal allegations, disestablishing or acquiring of a major capability)
- Registers related to Military Courts and trials (e.g. recommendations register)
- Decisions, formal legal advice and opinions regarding the establishment of Military detention centres
- Decisions, formal legal advice and opinions regarding the handling of captured or detained persons

Sub-class 1.10 Standard legal advice and counsel associated with all NZDF activities (excluding specific Operations).

Examples of information and records documenting standard or routine legal advice and counsel may include (but are not limited to):

- Legal compliance
- Legal procedures and guidelines
- Legal advice and opinions related to all standard NZDF activities, excluding Operations (for example minor personnel issues that may result in complaints or a dispute resolution process, detention of personnel for minor offences, drafting advice regarding policies or instructions)

Military good order and/or discipline activities are those that relate to the keeping of good order within military forces. They have been divided into two sub-classes. One covers serious or significant

activities which result in formal investigations and can include (but are not limited to) command investigations, process or system investigations, and similar, preliminary inquiries, summary trials, court martials, and Courts of Inquiry. The other sub-class covers standard discipline activities which are those that do not result in formal investigations, trials, inquiries or Courts.

Sub-class 1.11 Serious or Significant Military good order and/or discipline

Examples of information and records documenting serious or significant good order and/or discipline activities may include (but are not limited to):

- Any matter reported to or initiated by NZDF MP (including initial complaints, investigation file elements and files held awaiting further information, and completed investigation files (where a final report has been released to Commanders)
- Serious investigations branch files which result in Military prosecution (e.g. MP investigations regarding serious assaults, drug possession or supply, sexual offending investigations, fraud and similar)
- Formal Guidance related to the inquiry, trial, or court setup and proceedings
- Final reports and recommendations
- Reviews by the relevant Authorities (e.g. Assembling Authority)
- Court Martials (including Appeals, Panel of Review, and Summary Trial records)
- Investigation, inquiry, trial and Court exhibits, witness lists and statements, transcripts and recordings of court proceedings
- Court evidence and records of proceedings
- Interviews conducted for serious investigations but outside of Court/Criminal proceedings (e.g. interrogation for intelligence collection)
- Criminal investigation files which result in Military prosecution (e.g. Military police investigations regarding serious assaults, drug possession, Sexual Assault Prevention and Response Advisor (SAPRA) programme investigations, and similar)
- Legal Aid and assistance related to serious or significant inquiries or investigations
- Detention records or reporting for Military Personnel placed into Service Custody within New Zealand (i.e. Services Corrective Establishment [SCE] and local detention in Unit Detention Quarters or Holding Cells)
- Detention records regarding the handling of captured or detained persons by NZDF Forces undertaken during an operation (held by HQ Joint Forces until release)

Sub-class 1.12 Standard Military good order and/or discipline

- Criminal investigation files which do not result in Military prosecution (e.g. simple breaches of order, criminal incidents on camps/bases such as running a stop sign on base, minor damage to property, and similar)
- Informal or ad hoc enquiry findings, correspondence and instructions (e.g. Commander looks into a minor breach of protocol, and reports on findings)
- Minor investigation and detention guidelines and processes
- Legal Aid and assistance related to routine or ad hoc investigations
- Processing and day-to-day management of captured or detained persons

Sub-class 1.13 Administrative support to external inquiries and reviews covers information and records documenting activities associated with the collation and administration of information for externally-driven inquiries, investigations, and reviews not controlled by NZDF (e.g. required by Government such as the Operation Burnham Inquiry) but that are about NZDF activities, or that NZDF is a party to.

Examples of information and records may include (but are not limited to):

- Collating and packaging up information required for the Investigation, Inquiry or Review
- Correspondence with agencies involved in the Investigation, Inquiry or Review
- NZDF Feedback, advice or opinions on Inquiry, Investigation, or Review findings or recommendations

Sub-class 1.14 Audit and Assurance monitoring and reporting activities covers information and records documenting internal monitoring, auditing, and assuring of NZDF capabilities, processes and systems, ensuring they are compliant and functioning adequately based on set criteria and frameworks. This can include (but is not limited to) safety assurance, environmental assurance, worthiness, and similar.

Examples of information and records may include (but are not limited to):

- Guidelines and procedures
- Risk registers, risk assessments and risk management plans
- Internal audit and assurance investigation reports and associated audit findings, including those related to specific military platforms, assets, or safety incidents
- Implementation plans and reports based on internal audits, investigations, and reviews
- Implementation and monitoring of recommendations from formal military disciplinary bodies (e.g. Courts of Inquiry and similar)
- Environmental compliance, monitoring, testing, and reporting
- Overseas post assurance, audits, and assessments

Sub-class 1.15 Military Ceremonies, Commemorations, and Protocols planning and management covers information and records documenting activities associated with establishing, and managing military commemorations and ceremonies either hosted or led by NZDF OR of national importance with significant NZDF input or participation. This includes the protocols surrounding significant commemorations or ceremonies and visits by NZDF personnel to other national and international destinations, and events related to Operations.

Examples of such occasions include (but are not limited to):

- ANZAC Day/Gallipoli commemorations
- Commemorations of major battles
- Ceremonies for visiting overseas heads of states, monarchs, and similar

Examples of information and records may include (but are not limited to):

- Commemorations and ceremonial protocols

- Military protocol regarding high-profile visits (e.g. visiting heads of state, military personnel at Government House, and similar)
- Finalised instructions
- Finalised programmes, including logistical and security arrangements
- Visit briefings, reports, and summaries

Sub-class 1.16 Military Heritage and Culture planning and management covers information and records documenting activities associated with the management of military heritage, preservation, traditions, and history of the New Zealand Defence Force.

Examples of information and records may include (but are not limited to):

- Formal advice to inter-departmental governance boards on heritage issues with a Defence element
- Master registers of heritage holdings (e.g. art collection)
- Master registers of museum collection holdings, and supporting information including museum policies
- Purpose, design, and protocol related to overall military and specific Single Service culture and traditions such as colours, flags, badges, crests, insignia, etiquette and customs of military service, and similar
- Formal papers, reports, presentations on NZDF history
- Oral history records (including audio and visual recordings, transcripts and supporting material)
- Maori culture protocol, policy, and awareness activities
- Repatriation policies and procedures
- Historical monographs

Sub-class 1.17 Relationship management reporting and coordination covers information and records documenting activities associated with coordinating, administering and managing NZDF commitments and engagement within New Zealand and internationally to build and manage relationships.

Examples of information and records may include (but are not limited to):

- Ad hoc/informal 'quick' reports and Annual plans (e.g. from Attaché posts)
- Key Leader engagement programme (KLE) planning, decisions/approvals, and reporting
- Mutual assistance programme planning, decisions/approvals, and reporting

The information and records documenting plans, decisions and approvals relating to the outcome of NZDF's commitments and engagements are covered by class 1.3.

5.1.2 Value statement

Information and records of significant organisation-wide NZDF Command, Governance, Strategy and Planning and implementation of the outputs associated with the planning and organisational performance reporting (**sub-classes 1.3, 1.5 and 1.6**) document NZDF's accountability through how it is managed and decisions that are made at the highest level in the organisation. They provide evidence of how NZDF planned and fulfilled its core functions and the impacts it may have had on

peoples' lives in New Zealand and overseas. They are therefore recommended for retention as archives.

The information and records of significant legal advice (**sub-classes 1.7 and 1.9**) provide evidence of how NZDF operated within the New Zealand judicial system and how it managed its legal arrangements. It also provides evidence of the rights and entitlements of individuals and how those rights are protected and administered within NZDF whether to do with Operations or in the normal course of business. For example, the provision of legal advice relating to the use of force during an Operation has ongoing importance in demonstrating how NZDF personnel were expected to behave and how they executed their duties during an operation. They are therefore recommended for retention as public archives.

Information and records documenting serious or significant military good order and/or discipline activities (**sub-class 1.11**) provide evidence of how Military good order is maintained within NZDF, and how any issues with maintaining good order of a significant nature are dealt with. For example, case records of Court Martials provide evidence of how NZDF manages its discipline activities and conducts itself as an organisation when dealing with any infringements against policy/protocol that are significant. They also provide evidence of the rights and entitlements of individuals and how those rights are protected and administered within NZDF as part of any discipline process. They are therefore recommended for retention as public archives.

The information and records documenting planning and management of Military Ceremonies, Commemorations, and Protocols, plus Military Heritage and Culture (**sub-classes 1.15 and 1.16**) provide evidence of how NZDF and the New Zealand Military contribute to the growth of knowledge and understanding of the military, its place in our society and the New Zealand community. The Military has a strong tradition of ceremonies and commemorations which provide a rich history and insight into NZDF. Participation in ceremonies and providing and supporting culture and heritage activities preserve that history and tradition for the New Zealand public. They are therefore recommended for retention as public archives.

All other sub-classes in Command, Governance, Strategy and Planning are of a routine administrative or operational nature and of short to medium term business value only. Sub-class 1.1 is recommended for either destruction or discharge to the appropriate military museum as outlined in section 3.2 of this report. Sub-classes 1.2, 1.4, 1.8, 1.10, 1.12, 1.13, 1.14, 1.17 are recommended for destruction.

5.1.3 Disposal recommendations

Information and records recommended for retention as public archives:

| Sub-Class No. | Class title |
|---------------|---|
| 1.3 | Significant organisation wide NZDF Command, Governance, Strategy and Planning |
| 1.5 | Implementation of Command, Governance, Strategy and Planning outputs |
| 1.6 | Organisational performance reporting |

| Sub-Class No. | Class title |
|---------------|---|
| 1.7 | Significant Legal Advice and Counsel associated with Operations |
| 1.9 | Significant Legal Advice and Counsel associated with all NZDF activities (excluding Operations) |
| 1.11 | Serious or significant Military good order and/or discipline |
| 1.15 | Military Ceremonies, Commemorations, and Protocols planning and management |
| 1.16 | Military Heritage and Culture planning and management |

Information and records recommended for destruction:

(Note: Sub-class 1.1 includes records recommended for either destruction or discharge)

| Sub-Class No. | Class title |
|---------------|--|
| 1.1 | Support activities associated with the enablement of NZDF Command, Governance, Strategy and Planning |
| 1.2 | Raw data collected to support enablement of NZDF Command, Governance, Strategy and Planning |
| 1.4 | Standard, organisation wide NZDF Command, Governance, Strategy and Planning |
| 1.8 | Standard Legal Advice and Counsel associated with Operations |
| 1.10 | Standard Legal Advice and Counsel associated with all NZDF activities (excluding Operations) |
| 1.12 | Standard Military good order and/or discipline |
| 1.13 | Administrative support to external inquiries and reviews |
| 1.14 | Audit and Assurance monitoring and reporting |
| 1.17 | Relationship management reporting and coordination |

5.2 Class no. 2 – Intelligence and Security

5.2.1 Description

Intelligence and Security is the function of providing intelligence services and security activities across NZDF. Intelligence is the gathering and processing of information concerning potential threats, potential hostile forces, and potential areas of operations. It involves evaluation, analysis,

integration and interpretation of disparate pieces of information to attempt to clarify a situation and produce meaningful conclusions, assessments and predictions.

Intelligence enables understanding of the three domains (physical, information and human), in which NZDF and their adversaries operate; and ensures NZDF can monitor key issues and focus military power appropriately.

Security enables the protection of information, personnel, material, premises, facilities and assets against espionage, sabotage, subversion and terrorism, which can be via unauthorised access, wilful damage, interference, disruption, theft or unauthorised disclosure.

The Intelligence and Security class consists of the following sub-classes of information and records:

- Intelligence and Security support
- Raw data collected to support enablement of Intelligence and Security
- Intelligence Governance and Strategy
- Intelligence Planning and Guidance
- Intelligence Preparation and Presentation
- Security Governance, Strategy and Planning
- Security Reporting and Performance
- Information, Communications, Personnel and Physical security management and maintenance
- Information, Communications, Personnel and Physical security provision and practice
- Major security violations and incidents
- Minor security breaches and infringements

Sub-class 2.1 Intelligence and Security support covers information and records documenting activities associated with supporting and administering NZDF Intelligence and Security.

Examples of information and records may include (but are not limited to):

- Records for meeting groups/committees/boards which have no influence on the overall Governance or Strategy of Intelligence and Security activities (e.g. information preparation and planning, consultation, and similar)
- Routine forms and templates (e.g. classified document receipt forms, and similar)
- Facilitative administrative records such as correspondence, standard information for staff, travel itineraries, bookings and arrangements, informal advice, inductions, calendars, announcements, office management, and similar
- Liaison, coordination and administration of Intelligence and Security agreements and arrangement

Sub-class 2.2 Raw data collected to support enablement of Intelligence and Security may include data collected or created.

Examples of data may include (but are not limited to):

- Questionnaires and interview transcripts (except for interview transcripts that relate to offending, which must be retained for longer than other types of data as it may be relevant to any appeals or charges etc. See sub-class 1.11 and 1.12)
- Administrative data
- Security surveillance data (e.g. security camera footage)

This class excludes raw data that may be required for evidential and compliance purposes (e.g. appeals, complaints, inquiries). Such records are covered by classes 1.11 ,1.12 and 1.13.

See also sub-class 3.2 for data collection as part of Operations.

Sub-class 2.3 Intelligence Governance and Strategy covers information and records documenting activities associated with the overall governance and strategy of Intelligence including Intelligence Governance Boards, significant decisions and approvals and organisation-wide, significant intelligence requirements, objectives, strategies, and frameworks.

Examples of information and records may include (but are not limited to):

- Intelligence finalised strategies, policies and directives
- Governance board and committee minutes, approvals, and decisions
- Intelligence records required as part of Operations (e.g. Concept of Operations *which is both an analysis and a formal document that describes how a capability will be employed and supported*)
- Intelligence technical standards and compliance records

Sub-class 2.4 Intelligence Planning and Guidance covers information and records documenting activities associated with the planning, guidance and practicing of NZDF Intelligence. This can include developing formal intelligence plans, requirements, criteria, directives, instructions, and policies.

Examples of information and records may include (but are not limited to):

- Intelligence planning documents for Operations
- Threat Assessments (includes annual assessments, and assessments of specific threats)

See also sub-classes 3.6 and 3.11 for intelligence activity planning and execution in relation to Operations.

Sub-class 2.5 Intelligence Preparation and Presentation cover information and records documenting activities associated with collecting, collating, preparing, and reporting of intelligence in NZDF to support military situational awareness, decision making and operations activities.

Examples of information and records may include (but are not limited to):

- Intelligence reports
- Intelligence briefings
- Intelligence summaries
- Register of foreign intelligence reports
- Liaison, coordination and management of intelligence and security systems, practices and networks (including people networks)

Sub-class 2.6 Security Governance, Strategy and Planning covers information and records documenting activities associated with the overall governance and strategy of NZDF Security including security governance boards, significant decisions and approvals, organisation-wide significant security requirements, objectives, strategies, frameworks and policy development.

Examples of information and records may include (but are not limited to):

- Security finalised strategies, policies and directives
- Governance board and committee minutes, approvals, and decisions
- Finalised planning records which set criteria and frameworks associated with the safety and security of NZDF as a whole (e.g. significant business continuity plans, threat response plans, and similar)
- Security technical standards and compliance records

Sub-class 2.7 Security Reporting and Performance covers information and records documenting activities associated with the reporting, performance, and monitoring of NZDF security activities.

Examples of information and records may include (but are not limited to):

- Security processes, procedures, and guidelines (e.g. instruction, standard operating procedures and similar)
- Security specific reporting which contributes to major NZDF reports (e.g. reporting on Security assurance and audit)
- Unit Security Registers (records all unit-level security incidents, responsibilities, vetting, and similar)
- Classified asset and document registers
- Security Delegations (e.g. Defence Area Authorisation Warrants)
- Due Diligence reports
- Security accreditation and certification assessments, reviews, and reports
- Security Risk registers

Sub-class 2.8 Information, Communications, Personnel and Physical security management and maintenance covers information and records documenting activities associated with the management and maintenance of a safe and secure environment for the protection of people, information, communications and physical assets; and the measures designed to detect and prevent unauthorised access to official resources, and respond to intruders.

Examples of information and records may include (but are not limited to):

- Codes of conduct
- Data security, privacy and breach response protocols
- Information Security Contingency and Incident Plans
- Guidance on current laws, regulations and requirements
- Search and seizure records
- Security Briefs and Debriefs
- Staff security and criminal vetting procedures
- Staff security clearance procedures

- Physical security plans (e.g. security movement plans)
- Agreements and arrangements for the special release of information (e.g. classified information and information owned by foreign governments, forces or organisations)

Sub-class 2.9 Information, Communications, Personnel and Physical security provision and practice covers information and records documenting activities associated with the provision of routine security services and practices.

Examples of information and records may include (but are not limited to):

- Identity cards
- Visitor records
- Key registers
- Access control logs
- Alarm codes and safe combinations
- Classified information and asset access and management practice, including movement and declassification
- Security clearance practices (e.g. confirmation of security clearances to enable NZDF work, staff travel clearances, and similar)
- Security code-words

Sub-class 2.10 Major security violations and incidents covers information and records documenting activities associated with investigations into major security violations and incidents related to information, communications, people, and physical security. Major security violations and incidents involve a deliberate, negligent or reckless action that leads, or could lead, to the loss, damage, corruption or disclosure of official resources.

Examples of major security incidents, violations and breaches include:

- Removal of highly classified material or equipment or asset from official custody
- Actual or suspected compromise of information including tampering with security equipment or asset or material
- Actual or suspected hacking into or tampering of any information system or equipment or asset
- Theft and attempted theft of classified equipment or asset or material
- Unauthorised disclosure of official or protectively marked information

Examples of information and records may include (but are not limited to):

- Incident Investigation plans
- Incident Interview plans
- Major Security Incident Report
- Critical decision register
- Exhibit sheets, and job sheets
- Security Incident Minutes

Sub-class 2.11 Minor security breaches and infringements covers information and records documenting activities associated with investigations into minor security breaches and infringements related to information, communications, people, and physical security. Minor security breaches and infringements involve any incident that violates internal protective security procedures, other than those that can be categorised as a major violation or breach.

Examples of minor security infringements include:

- Unauthorised access
- Unintentional failure to observe protective security requirements
- Other occurrences which prove to be inconsequential or where a threat was reported but no violation or breach was identified

Examples of information and records may include (but are not limited to):

- Minor Security Incident Reports
- Findings
- Correspondence
- Instructions

5.2.2 Value statement

The information and records documenting governance, strategy and planning for intelligence and security activities (**sub-classes 2.3, 2.4, 2.6**) document how a core function of NZDF is managed at the highest levels of the organisation, how the activities are planned, and how and what intelligence guidance is given (such as intelligence planning documents for Operations, or threat assessments) regarding planned NZDF actions. This shows how NZDF is accountable for managing the intelligence aspects of its function of protecting New Zealand, its personnel, and the community at large from threats. They are therefore recommended for retention as public archives.

Information and records of intelligence preparation and presentation (**sub-class 2.5**) are the “output” of intelligence activities. They are the formal reports, advice and assessments made by NZDF intelligence in relation to threats to national security. As such they provide evidence of how NZDF contributes to protecting New Zealand and the community. They also show how NZDF is accountable for assessing and developing reports on particular threats, and activities that contribute to the picture that the Minister and the government receive on national security. The information and records in this sub-class also provide insight and knowledge about how New Zealand viewed threats and how our intelligence activities were carried out. They are therefore recommended for retention as public archives.

The information and records of major security violations and incidents (**sub-class 2.10**) document how NZDF deals with and manages significant security violations, how NZDF operates to support New Zealand government security protocol and policies regarding areas such as classified material, and how NZDF demonstrates accountability in appropriately dealing with security violations. The information and records provide evidence of how an individual’s rights and entitlements are protected through the security and incident processes which are in place. They are therefore recommended for retention as public archives.

All other sub-classes in Intelligence and Security are of a routine administrative or operational nature and of short to medium term business value only. They are therefore recommended for destruction.

5.2.3 Disposal recommendations

Information and records recommended for retention as public archives:

| Sub-Class No. | Class title |
|---------------|--|
| 2.3 | Intelligence Governance and Strategy |
| 2.4 | Intelligence Planning and Guidance |
| 2.5 | Intelligence Preparation and Presentation |
| 2.6 | Security Governance, Strategy and Planning |
| 2.10 | Major security violations and incidents |

Information and records recommended for destruction:

| Sub-Class No. | Class title |
|---------------|---|
| 2.1 | Intelligence and Security support |
| 2.2 | Raw data collected to support enablement of Intelligence and Security |
| 2.7 | Security Reporting and Performance |
| 2.8 | Information, Communications, Personnel and Physical security management and maintenance |
| 2.9 | Information, Communications, Personnel and Physical security provision and practice |
| 2.11 | Minor security breaches and infringements |

5.3 Class no. 3 – Operations

5.3.1 Description

Operations is the function of NZDF carrying out specific Operations using the military forces. The Operation may be to secure New Zealand against external threat, to protect sovereign interests, and to be able to act to meet likely contingencies in our strategic areas of interest. Or the Operation may be that NZDF has been tasked to conduct or support a range of national strategic objectives. Operations may also be referred to as Military Operations, or Military Assistance. There is a standard sequence and process for conducting an Operation which consists of:

- Command (the authorisation and oversight of specific Operations at the highest level, and Operations as a concept)
- Planning (once high-level approval has been directed, the planning cycle instructs the Forces on their next steps and how everything will work)
- Pre-deployment (preparation of the Forces for deployment, primarily training)
- Deployment (moving Forces to the deployment area, running the Operation on the ground/in theatre, and then moving out of the deployment area)
- Evaluation/Lessons Learned (reviewing all aspects of the Operation, in order to feed into the next strategic round of Operational Command and Planning)

The Operations class consists of the following sub-classes of information and records:

- Support activities associated with the enablement of Operations
- Raw data associated with Operations
- Command and Control activities for Significant Operations
- Planning activities for Significant Operations
- Preparation activities for Significant Operations
- Deployment, redeployment and conduct activities during Significant Operations
- Post-deployment analysis and reporting activities for Significant Operations
- Command and Control activities for Standard or Routine Operations
- Planning activities for Standard or Routine Operations
- Preparation activities for Standard or Routine Operations
- Deployment, redeployment and conduct activities during Standard or Routine Operations
- Post-deployment analysis and reporting activities for Standard or Routine Operations

Sub-class 3.1 Support activities associated with the enablement of Operations covers the information and records documenting activities associated with supporting and administering Operations.

Examples of information and records may include (but are not limited to):

- Records for meeting groups/committees/Boards which have no high-level influence on the overall Governance or Strategy of Defence Operations (e.g. information preparation and planning, consultation, and similar)
- Routine forms and templates
- Facilitative administrative records such as correspondence, standard information for staff, travel itineraries, bookings and arrangements, greetings, informal advice, inductions, calendars, announcements, catering and food services, mortuary services, laundry services, cleaning services, pest control services, refuse and waste management services, office management (such as provision of stationery, fuel cards, mobile devices, pay-as-you-dine cards)
- Customer service records such as completed requests and associated correspondence
- Duty rosters
- Routine reports, briefings, presentations, dealing with local vendors (e.g. for hire vehicles onsite)
- Coordination of farewell and welcome home events

- Accommodation allocation, duties/sentry, responsibilities, position requirements and any additional job requirements

Sub-class 3.2 Raw data associated with Operations may include data either collected or created.

Examples of data may include (but are not limited to):

- Questionnaires and interview transcripts (except for interview transcripts that relate to offending, which must be retained for longer than other types of data as it may be relevant to any appeals or charges etc. See sub-classes 1.11 and 1.12)
- Geospatial and imagery data
- Surveillance data
- Hydrographic survey data
- Time series data
- Routine operational flight, sailing, or vehicle movement data (e.g. flight radio log data)
- Intelligence mission data

This class excludes raw data that may be required for evidential and compliance purposes (e.g. appeals, complaints, inquiries). Such records are covered by classes 1.11, 1.12 and 1.13.

The remaining sub-classes in this class (**sub-classes 3.3 – 3.12**) Operations relate to the carrying out of Operations. As shown at the start of this section, there are five standard phases/groups of activities followed by NZDF for any Operation. To address archival value considerations, two sets of sub-classes have been created for each of the five Operations activities listed, one that relates to significant operations and the other that relates to standard or routine operations. For the purposes of information and records disposal decisions, significant Operations can be defined as:

- Combatant operations (e.g. deployments which involve active battles, attacks and response to threats using force)
- Emergency response operations and evacuations (e.g. humanitarian aid and disaster relief such as the Kaikoura earthquake, or evacuating refugees)
- Peacekeeping and peace-making operations (e.g. operations in the Middle East to observe and report violations to UN Security Council Resolution, or similar Treaties)
- Security and stability operations (e.g. ensuring and enhancing the ongoing security and stability in Afghanistan)
- Resource and border protection operations on behalf of other government agencies (e.g. maritime surveillance in support of Pacific Island countries in order to protect NZ interests in the South Pacific)

Significant Operations typically involve:

- the use of NZDF Military personnel, units, and assets internationally, or on a large-scale domestically and/or
- substantial implications for NZDF strategic inputs and outputs
- elevated risk and/or
- significant expenditure

For the purposes of information and records disposal decisions, standard or routine Operations can be defined as:

- Routine planned movements such as scheduled flights by Air Force or sailings by Navy
- Military assistance to civil authorities, foreign nations, coalition partners or organisations in non-emergency situation (e.g. the rebuild of the Waiho Bailey bridge)
- Defence support to the community, including increasing public awareness of the practice of Armed Forces (e.g. Military displays/open days, construction support to schools, support for Hikoi's or Tangi's, Poppy Day)

Standard or Routine Operations typically involve:

- smaller scale operational activities, generally carried out by a single service (or with minimal input from the other services) at unit or base level and/or
- routine activities which function to keep the single services maintained and/or
- routine risk and/or
- routine expenditure

Sub-class 3.3 Command and Control activities for Significant Operations and Sub-class 3.8

Command and Control activities for Standard or Routine Operations covers information and records documenting activities associated with the Command and Control of Operations. Activities include the initiation of operations, implementation of operational directives and the assignment of forces, missions and tasks for specific Operations, and other key information that may significantly impact on the outcomes of an operation.

Examples of information and records for operations may include (but are not limited to):

- Operations authorisations, and instructions, including humanitarian aid and disaster relief (e.g. Operational Orders, Fragmentary Orders, Order or instruction amendments, and similar)
- Final approved Operational governance bodies (boards, committees) decision-making records such as approvals to conduct operations
- Decision making, delegations and instructions to do with the initiation of an Operation
- Liaison and coordination with coalition partners, other government organisations, local authorities and non-government organisations relating to the conduct of Operations, collaboration and information sharing, integration and synchronisation of operational effects
- High level financial reporting

Sub-class 3.4 Planning Activities for Significant Operations and Sub-class 3.9 Planning Activities for

Routine or Standard Operations covers information and records documenting activities associated with the planning of Operations to enable the preparation, command, operation, sustainment and regeneration of assigned forces.

Examples of information and records may include (but are not limited to):

- Information that details the high-level strategic Operations planning process for all stages of an operation

- Issued orders, instructions, directives and reports (e.g. CONOPS (Concept of Operation), Situational Reports (SITREPS), Initiating Directives, Warning Orders, Task orders, and similar)
- Contingency plans
- Forecasting planning
- Risk management records
- Aide memoirs used to present mission analysis information.
- Preliminary scoping and framing of the commander's critical information requirements and associated lists.
- Establishment and Assignment of Operation-specific codewords

Sub-class 3.5 Preparation Activities for Significant Operations and **Sub-class 3.10 Preparation Activities for Routine or Standard Operations** activities are those associated with preparation for Operations, including individual or collective training.

Examples of information and records may include (but are not limited to):

- Pre-deployment training (PDT) Attendance records
- PDT requirements for Operations
- PDT material associated with force preparation training or reception, staging, onward movement and integration deployment training (e.g. presentations and briefings related to deployment activities, mission rehearsals instructions and reports, and similar)
- Reports related to major incidents during force preparation
- PDT observations, evaluations and force certifications
- Training and Certification standards

Sub-class 3.6 Deployment, redeployment and conduct activities during Significant Operations and **Sub-class 3.11 Deployment, redeployment and conduct activities during Standard or Routine Operations** cover information and records documenting activities conducted by deployed units and personnel in theatre during Operations. These include the management of incidents and events during operations, contact with opposing forces (for example ship boarding), events surrounding forces including capture of foreign forces, loss or damage of equipment or asset, liaison with other forces, partners or organisations, and similar.

Examples of information and records may include (but are not limited to):

- Movements records (e.g. Army unit diaries, Air Force squadron flight diaries, Naval Reports of Proceedings, and similar)
- Master lists of NZDF members involved in a specific Operation (e.g. Services Operational Mission Matrix (SOMM)/Nominal Rolls, and similar)
- Any other summarised record of activities that occurred during a specific Operation
- Tracking of operational effectiveness throughout the period of deployment, including that of foreign, coalition, partner, other government agency, contractor and non-combatant persons involved in NZDF Operations, activities or tasks.
- Instructions and briefs issued throughout the period of deployment, including those to foreign, coalition, partner, other government agency, contractor and non-combatant

persons involved in NZDF Operations, activities or tasks (e.g. in-country brief, Intelligence and Security briefings, Area of Operation induction/briefings)

- Reports produced during deployment (e.g. Situation Reports (SITREPs), Incident Reports (INCREPs), Notification Reports, Supplementary Update Reports, Contact and Near Miss Reports, and similar)
- Reachback and Return to New Zealand (RTNZ) procedures, repatriation, manifests, and similar
- Operations security-related documents (patrol reports, in country SITREPS, flight manifests and similar)
- Policies for all phases of the Operational Deployment Cycle
- Rules of Engagement confirmations, and notifications, and related Standard Operating Procedures (SOPs)
- Mission-specific SOPs and Techniques, Tactics and Procedures (TTPs) adopted and applied within that operation or theatre
- Tactical governance decision-making and liaison which affect the delivery of in-theatre activities
- Tracking of NZDF Operations personnel, animals and assets, including operational status, allocation to tasking, clearances and authorisations

Sub-class 3.7 Post-deployment analysis and reporting activities for Significant Operations and **Sub-class 3.12 Post-deployment analysis and reporting activities for Standard or Routine Operations** covers information and records documenting activities associated with operational analysis and resulting performance improvement documentation associated with operational evaluation for Operations.

Examples of information and records may include (but are not limited to):

- Operational performance improvement plans
- Operational evaluation: lessons learned and operational analysis activities
- Implementing and monitoring of remedial actions
- Technical advice relating to operational improvement
- Liaison and communication within NZDF and with other stakeholders relating to performance improvement
- Post Activity Reports, Lessons Learnt Reports and associated briefings

5.3.2 Value statement

All sub-classes to do with significant operations are considered to have archival value. That is, **sub-classes 3.3, 3.4, 3.5, 3.6 and 3.7.**

The information and records of significant Operations help provide evidence and accountability of Operations undertaken on behalf of New Zealand, whether nationally or overseas. This accountability covers decisions to conduct Operations, NZDF's understanding of the operational situation or context (including the role that New Zealand forces may play in the Operation), and approvals from financial, strategic, and government perspectives.

They also provide accountability for how the Operation is executed and the activities of the NZDF personnel undertaking the operations. Information and records of significant Operations also increase our knowledge of New Zealand's participation in global events, and our identity through the NZDF roles and actions in Operations.

In some instances, significant Operations records demonstrate use of new technologies, protocols or how NZDF have worked with military forces from other countries. There is a high level of research value in the information and records as they tell a story of New Zealand's military actions and activities over time and are of great interest to the military history community. As such they are recommended for retention as public archives.

In addition the information and records that document the command and control activities relating to standard Operations have been recommend for retention as public archives, that is **sub-class 3.8**. These records document the decision-making and authorisation for operations, including military assistance activities and as such provide evidence of military activities and approvals. They (along with the information and records in sub-class 3.3) provide a full set of the authorisations and decision-making about the use of military personnel across all Operations.

All other sub-classes in Operations are of a routine administrative or operational nature and of short to medium term business value only. Sub-classes 3.1 and 3.11 are recommended for either destruction or discharge to the appropriate military museum as outlined in section 3.2 of this report. Sub-classes 3.2, 3.9, 3.10, 3.12 are recommended for destruction.

5.3.3 Disposal recommendations

Information and records recommended for retention as public archives:

| Sub-Class No. | Class title |
|---------------|---|
| 3.3 | Command and Control activities for Significant Operations |
| 3.4 | Planning activities for Significant Operations |
| 3.5 | Preparation activities for Significant Operations |
| 3.6 | Deployment, redeployment and conduct activities during Significant Operations |
| 3.7 | Post-deployment analysis and reporting activities for Significant Operations |
| 3.8 | Command and Control activities for Standard or Routine Operations |

Information and records recommended for destruction:

(Note: Sub-classes 3.1 and 3.11 includes records recommended for destruction or discharge)

| Sub-Class No. | Class title |
|----------------------|---|
| 3.1 | Support activities associated with the enablement of Operations |
| 3.2 | Raw data associated with Operations |
| 3.9 | Planning activities for Standard or Routine Operations |
| 3.10 | Preparation activities for Standard or Routine Operations |
| 3.11 | Deployment, redeployment and conduct activities during Standard or Routine Operations |
| 3.12 | Post-deployment analysis and reporting activities for Standard or Routine Operations |

5.4 Class no. 4 – Logistics and Estate

5.4.1 Description

The Logistics and Estate class is the function of planning and performing the movement and maintenance of military forces and equipment or asset; and the acquiring, leasing, constructing, managing, maintaining and disposing of NZDF infrastructure, buildings, and facilities.

The Logistics and Estate class consists of the following sub-classes of information and records:

- Support activities associated with the enablement of Logistics and Estate
- Raw data collected to support enablement of Logistics and Estate
- Logistics and Estate Governance and Strategy
- Logistics and Estate Reporting and Performance
- Design and specification activities associated with NZDF-owned military-specific vehicles, vessels, aircraft and equipment or asset
- Design, specification, and construction activities associated with NZDF-owned Estate and Infrastructure
- Security system design, specification, and construction associated with NZDF-occupied Estate and Infrastructure
- Maintenance and engineering activities associated with NZDF-owned military-specific vehicles, vessels, aircraft and equipment or asset
- Logistics Movements, Transport and Supply
- Facilities, Estate, and Infrastructure maintenance and management

Sub-class 4.1 Support activities associated with the enablement of Logistics and Estate covers information and records associated with supporting and administering Logistics and Estate.

Examples of information and records may include (but are not limited to):

- Records for meeting groups/committees/boards which have no significant influence on the overall governance or strategy of Defence Logistics and Estate activities (e.g. information preparation and planning, consultation, and similar)
- Routine forms and templates
- Facilitative administrative records such as general base and facility (including detention centres) support services, provision of catering and food services, travel services, mortuary services, laundry services, cleaning services, pest control services, refuse and waste management services, office management, and similar
- Customer service management records such as provision of service, completed customer service requests (and associated correspondence), and similar

Sub-class 4.2 Raw data collected to support enablement of Logistics and Estate may be collected or created.

Examples of information and records may include (but are not limited to):

- Questionnaires and interview transcripts (except for interview transcripts that relate to offending, which must be retained for longer than other types of data as it may be relevant to any appeals or charges etc. See sub-classes 1.11 and 1.12)
- Movements data
- Administrative data
- Occupation and use data of military camps and bases
- Asset or platform data point scans, automated tests and prototypes

Sub-class 4.3 Logistics and Estate Governance and Strategy covers information and records documenting activities associated with the governance, planning and performance monitoring of Defence Logistics and Estate, including:

- Logistics and Estate governance (including Logistics and Estate governance boards), decisions and approvals
- Organisation-wide Logistics and Estate requirements, objectives, strategies, and capability planning

Examples of information and records may include (but are not limited to):

- Logistics and Estate finalised strategies, policies and directives (e.g. Asset Management Policy and similar)
- Analysis, approvals and agreements related to military asset acquisitions, integration into service, through-life support and disposal
- Land settlement requirements, opinions, expertise and agreements
- Governance board and committee minutes, approvals, and decisions

Sub-class 4.4 Logistics and Estate Reporting and Performance covers information and records documenting activities associated with the reporting, performance and monitoring of Defence Logistical and Estate activities.

Examples of information and records may include (but are not limited to):

- Logistics and Estate Policy development
- Logistics and Estate processes, procedures, and guidelines
- Compliance and monitoring reports
- Logistics and Estate specific reporting which contributes to major NZDF reports
- Risk registers

Sub-class 4.5 Design and Specification activities associated with NZDF-owned, military-specific vehicles, vessels, aircraft and equipment or asset covers information and records documenting activities associated with plans, specifications, drawings and amendments to NZDF-owned vehicular items and equipment or asset which are Military specific.

Examples of information and records may include (but are not limited to):

- Original final plans, specifications, drawings and requirements for military sea vessels primarily used by NZ Navy, e.g. ships, Rigid Hull Inflatable Boats (RHIB), and similar
- Original final plans, specifications, drawings and requirements for military aircraft primarily used by NZ Air Force, e.g. fixed and rotary wing aircraft, drones (or unmanned/remotely piloted), aerial systems and vehicles, specific trucks for aircraft loading and aircraft unloading, and similar
- Original final plans, specifications, drawings and requirements for military land vehicles primarily used by NZ Army (e.g. Light Armoured Vehicles (LAV), Light Operational Vehicles (LOV), Unimog, Medium Heavy Operational Vehicles (MHOV), and similar)
- Original final plans, specifications, drawings and requirements for military equipment or asset (e.g. military uniforms, tents used for military activities, deployable bulk fuel installation equipment or asset, bomb and munitions units (trailers, hoists etc.), weapons and ammunition, specific individual systems on board military vehicles such as bespoke satellite systems, and similar)

Sub-class 4.6 Design, specification, and construction activities associated with NZDF-owned Estate and Infrastructure covers information and records documenting activities associated with design and construction amendments of NZDF-owned estate and infrastructure items such as ports, roads, airfields and operational base and camp and base buildings, leave centres, attaché posts; and associated significant monitoring and reporting.

Examples of information and records may include (but are not limited to):

- Original final plans, specifications, drawings and requirements for NZDF-owned or NZDF-occupied camps and bases
- Original final plans, specifications, drawings and requirements associated with the building of the NZDF-owned Estate and Infrastructure such as ports, roads, airfields and buildings

- Final approvals, progress reports and completion reports for construction activities that require building consent or significantly change the structure of the building
- Approvals, accreditations, and certifications related to the installation of required elements of NZDF Estate and Infrastructure (e.g. accreditation for security systems)

Sub-class 4.7 Security system design, specification, and construction associated with NZDF-occupied Estate and Infrastructure covers information and records documenting activities associated with security installation and amendments of NZDF-occupied buildings.

Examples of information and records may include (but are not limited to):

- Installation of NZDF-specific security equipment or asset into leased buildings
- Detailed, unique building security specifications and requirements needed to enable NZDF-occupation of a leased building

Sub-class 4.8 Maintenance and Engineering activities associated with NZDF-owned, military-specific vehicles, vessels, aircraft and equipment or asset covers information and records documenting activities associated with retaining military equipment or asset in, or restoring it to, a specified condition including inspection, testing, servicing, and classification as to serviceability, repair, rebuilding and reclamation. Examples of information and records may include (but are not limited to):

- Engineering and maintenance plans (e.g. through-life management plan)
- Routine and ad-hoc engineering and maintenance requests, analysis, activities and reports (e.g. Asset Maintenance Planning systems records, ship vibration analysis, fitting of specialised equipment or asset and similar)
- Technical regulation reports and decisions of Defence maintenance and engineering (e.g. Operational Deficiencies (OPDEF) reports)
- Management of technical risks
- Certification processes and final decision regarding equipment or asset maintenance including upgrades, replacements, recovery or disposals (e.g. comprehensive work package, Certificate of Condemnation, and similar)
- Vessel, aircraft or vehicle logs which monitor technical activity and assist in determining serviceability and asset performance (e.g. Aircraft sign out forms such as the F700 forms)
- Clearances for movement of equipment or asset including quarantine and biosecurity

Sub-class 4.9 Logistics Movements, Transport and Supply covers information and records documenting activities associated with NZDF logistical movements, transportation and supplying of goods. Activities may include (but are not limited to):

- The movement of NZDF forces including the allocation, tracking, distribution and storage of supplies and equipment or asset
- Implementing and controlling the efficient and effective flow of goods, services and information from point of origin to point of consumption. This is often referred to as the Supply Chain or Materiel
- Management of stores including weapons and ammunition, fuel, construction, subsistence (i.e. foodstuffs and water), medical/dental (i.e. pharmaceuticals, drugs and medical

supplies), general supplies such as clothing, tents, administrative stores such as stationary, parts and non-military miscellaneous

- Freight management
- Management of non-routine movements such as evacuations

Examples of information and records may include (but are not limited to):

- Warehouse stock inventory lists and processes
- Inventory status reports
- Arms, Ammunition, Explosives, and Foreign Weapon Registers or Ledgers
- Uniform allocations
- Vehicle fleet records and damage reports
- Fuel and petroleum support processes and reports
- Post and mail processes and movements
- Logs associated with routine tasked vessel, aircraft or vehicle movements which record routine details such as engineer's fuel report, pilot's flight plan, catering requirements on board, passenger manifest etc.)

Sub-class 4.10 Facilities, Estate, and Infrastructure maintenance and management covers information and records documenting activities associated with maintenance and management of NZDF-owned or occupied infrastructure and estate. These include the management of ports, roads, airfields and camp and base buildings, Leave centres and Attaché Posts, routine construction and maintenance work.

Examples of information and records may include (but are not limited to):

- All records associated with routine construction activities including financial transactions and correspondence
- Coordinating the physical workplace and maintenance activities with land and facilities users (e.g. office relocations, minor office fit outs)
- Energy and environmental management and monitoring, including consumption reports
- Utilities installation and management, including water, electricity sewers and drains and gas information
- Management of NZDF Leave Centres (welfare houses) including maintenance required, custodian details, chattels registers, processes and procedures, correspondence and communications, budget management, and similar
- Management and maintenance of camp and base training facilities such as marae, firing ranges, moving target ranges, urban training facilities, munitions facilities, and similar
- Management of Defence Attaché Posts including post openings, rebuilds, closings, reviews, enhancements and furniture
- Installation of security infrastructure (e.g. security cabling, installation of cameras and access control)

5.4.2 Value statement

The information and records of governance and strategic activities for logistics and estate (**sub-class 4.3**) provides a high-level overview of how those functions are carried out by NZDF. Ensuring that vessels, aircraft, vehicles and equipment or asset meet the needs of military requirements is vital to the management of military forces. The governance and strategy sub-class provides evidence of decisions and the approach to managing logistics and estate in an accountable manner. They are therefore recommended for retention as public archives.

Information and records covering design and specification activities of NZDF owned military specific vehicles, vessels, aircraft and equipment or asset, as well as NZDF owned infrastructure and estate (**sub-classes 4.5 and 4.6**) provide evidence of assets owned and managed by NZDF in carrying out its core functions. They are required to provide ongoing accountability for the management and use of equipment or asset, vehicles and other assets by NZDF staff when undertaking military training exercises, Operations etc. The design and specification records provide a vast resource for increased knowledge and understanding of equipment or asset in use at any particular time and the advancements made by the military as part of its normal activities. For example, introduction of new equipment or asset, use of a new type of tank, or advancements in technology brought about by needs of the military forces. As such they are recommended for retention as public archives.

All other sub-classes in Logistics and Estate are of a routine administrative or operational nature and of short to medium term business value only. Sub-classes 4.8, 4.9 and 4.10 are recommended for either destruction or discharge to the appropriate military museum as outlined in section 3.2 of this report. Sub-classes 4.1, 4.2, 4.4, 4.7 are recommended for destruction.

5.4.3 Disposal recommendations

Information and records recommended for retention as public archives:

| Sub-Class No. | Class title |
|---------------|--|
| 4.3 | Logistics and Estate Governance and Strategy |
| 4.5 | Design and Specification activities associated with NZDF-owned, Military-specific vehicles, vessels, aircraft and equipment or asset |
| 4.6 | Design, specification, and construction activities associated with NZDF-owned Estate and Infrastructure |

Information and records recommended for destruction:

(Note: Sub-classes 4.8, 4.9 and 4.10 includes records recommended for discharge)

| Sub-Class No. | Class title |
|---------------|---|
| 4.1 | Support activities associated with the enablement of Logistics and Estate |
| 4.2 | Raw data collected to support enablement of Logistics and Estate |

| Sub-Class No. | Class title |
|---------------|---|
| 4.4 | Logistics and Estate Reporting and Performance |
| 4.7 | Security system design, specification, and construction associated with NZDF-occupied Estate and Infrastructure |
| 4.8 | Maintenance and Engineering activities associated with NZDF-owned, Military-specific vehicles, vessels, aircraft and equipment or asset |
| 4.9 | Logistics Movements, Transport and Supply activities |
| 4.10 | Facilities, Estate, and Infrastructure maintenance and management activities |

5.5 Class no. 5 – Information Technology and Information Management

5.5.1 Description

Information Technology and Information Management are the functions that provide services relating to the creation, use and management of information and records across NZDF in its entirety.

Information Technology is the delivery of technology solutions, and the management and support which ensures that technology is used to support business needs and processes. Information Management is the management of the information content, regardless of format, throughout its life cycle. Many of the standard information technology and information management activities carried out by NZDF are covered by the GDAs. However, a number of sub-classes have been identified and included in the NZDF specific disposal schedule to cover gaps in the existing GDAs, or to express the activities in a manner that is more appropriate to the NZDF environment.

The Information Technology and Information Management class consists of the following sub-classes of information and records:

- Support activities associated with the enablement of Information Technology and Information Management
- Raw data collected to support enablement of Information Technology and Information Management
- Information Technology and Information Management Governance and Strategy
- Information Technology and Information Management Reporting and Performance
- Management and oversight of NZDF-specific Information Technology systems and networks
- Routine Information Technology and Information Management service provision

Sub-class 5.1 Support activities associated with the enablement of Information Technology and Information Management cover information and records associated with supporting and administering NZDF Information Technology (IT) and Information Management (IM).

Examples of information and records may include (but are not limited to):

- Records for meeting groups/committees/Boards which have no significant influence on the overall governance or strategy of Intelligence activities (e.g. information preparation and planning, consultation, and similar)
- Routine forms and templates
- Facilitative administrative records such as correspondence, standard information for staff, travel itineraries, bookings and arrangements, informal advice, inductions, calendars, announcements, office management and similar

Sub-class 5.2 Raw data collected to support enablement of Information Technology and Information Management may include data collected or created.

Examples of data may include (but are not limited to):

- Questionnaires and interview transcripts (except for interview transcripts that relate to offending, which must be retained for longer than other types of data as it may be relevant to any appeals or charges etc. See sub-class 1.11 and 1.12)
- Administrative data
- System generated data (e.g. routine back-ups, restores and similar)
- Event logs
- Cryptographic data (e.g. data using encryption such as KEYMAT (keying material) data)

This class excludes raw data that may be required for evidential and compliance purposes (e.g. appeals, complaints, inquiries). Such records are covered by classes 1.11 ,1.12 and 1.13.

Sub-class 5.3 Information Technology and Information Management Governance and Strategy covers information and records documenting activities associated with the overall governance and strategy of NZDF IT and IM, including:

- IT and IM governance (including governance boards), significant decisions and approvals
- Organisation-wide, significant IT and IM requirements, objectives, strategies and frameworks

Examples of information and records may include (but are not limited to):

- IT and IM finalised strategies, policies and directives
- Governance board and committee minutes, approvals, and decisions

Sub-class 5.4 Information Technology and Information Management Reporting and Performance covers information and records documenting activities associated with the reporting, performance, and monitoring of NZDF IT and IM activities.

Examples of information and records may include (but are not limited to):

- IT and IM Policy and Frameworks development (e.g. enterprise architecture frameworks, metadata standards, and similar)
- IT and IM processes, procedures, and guidelines (e.g. instructions, standard operating procedures, and similar)

- IT and IM specific reporting which contributes to major NZDF reports (e.g. reporting on IT and IM audits or reviews)

Sub-class 5.5 Management and oversight of NZDF-specific Information Technology systems and networks covers information and records documenting activities associated with the management, oversight and control of NZDF-specific Information Technology systems, networks and assets.

Examples of information and records may include (but are not limited to):

- Outsourcing arrangements
- Upgrade documentation
- Configuration and programming specific to NZDF requirements
- Testing
- Technical specifications
- System audits
- Certification and accreditation (compliance) of specific information systems and products

Sub-class 5.6 Routine Information Technology and Information Management service provision covers information and records documenting activities associated with the provision of routine Information Technology services.

Examples of information and records may include (but are not limited to):

- Resolved helpdesk support requests
- Day to day performance reporting
- IT and IM research requests and advice

5.5.2 Value statement

Information and records of the governance and strategy activities associated with information technology and information management (**sub-class 5.3**) provide evidence of accountability for NZDF management of IT and IM assets and services. NZDF relies heavily on technology to deliver its core functions. It also views its information as a core asset. The information and records documenting the governance decisions and strategic direction of IT and IM activities provide accountability of NZDF actions. They are therefore recommended for retention as public archives.

All other sub-classes in Information Technology and Information Management are of a routine administrative or operational nature and of short to medium term business value only. They are therefore recommended for destruction.

5.5.3 Disposal recommendations

Information and records recommended for retention as public archives:

| Sub-Class No. | Class title |
|---------------|---|
| 5.3 | Information Technology and Information Management Governance and Strategy |

Information and records recommended for destruction:

| Sub-Class No. | Class title |
|----------------------|--|
| 5.1 | Support activities associated with the enablement of Information Technology and Information Management |
| 5.2 | Raw data collected to support enablement of Information Technology and Information Management |
| 5.4 | Information Technology and Information Management Reporting and Performance |
| 5.5 | Management and oversight of NZDF-specific Information Technology systems and networks |
| 5.6 | Routine Information Technology and Information Management service provision |

5.6 Class no. 6 – Learning, Training and Education

5.6.1 Description

Learning, Training and Education is the function of designing and delivering development courses to military personnel to enhance their skills and experience. Learning is the process and/or experience of an individual acquiring new knowledge, skills and understanding as a result of training, and education. The people, policy, processes, resources and frameworks required to create, deliver and manage learning are components of the learning system.

Learning, Training and Education is carried out in two ways in NZDF:

- Individual learning (specific courses intended to train an individual for a particular skill)
- Collective training (training exercises or scenarios carried out in groups in order to be prepared for military activities and movements). Collective training involves creating, replicating or simulating the operational conditions under which collective tasks are expected to be performed. Collective training encompasses small Single Service team training through to combined joint task force exercises.

The GDAs cover a number of learning and training activities however, given the scale and complexity of this function within NZDF, specific classes have been created for Military Learning, Training and Education activities. Non-military training is covered by the GDAs.

The Learning, Training and Education class consists of the following sub-classes of information and records:

- Support activities associated with the enablement of Military Learning, Training and Education
- Raw data collected to support enablement of Military Learning, Training, and Education

- Military Learning, Training and Education Governance and Strategy
- Military Learning, Training and Education Reporting and Performance
- Analysing, designing, and evaluating Individual Military Learning, Training and Education
- Developing and implementing Individual Military Learning, Training and Education
- Analysing, designing, and evaluating Collective Military Training and Education
- Development and implementation of Collective Military Training and Education

Sub-class 6.1 Support activities associated with the enablement of Military Learning, Training and Education cover activities associated with supporting and administering Military Learning, Training and Education.

Examples of information and records may include (but are not limited to):

- Records for meeting groups/committees/boards which have no significant influence on the overall governance or strategy of Military Learning, Training and Education activities (e.g. information preparation and planning, consultation, and similar)
- Routine forms and templates
- Facilitative administrative records such as correspondence, standard information for staff, travel itineraries, bookings and arrangements, greetings, informal advice, inductions, calendars, announcements, office management, and similar
- Customer service support records such as completed help requests and associated correspondence
- Coordinating routine training support such as scheduling times for instruction, booking rooms; and logistical preparation of training material, resources, equipment or asset, and supplies (e.g. collating office supplies, printing etc.)

Sub-class 6.2 Raw data collected to support enablement of Military Learning, Training, and Education may be created or collected.

Examples of data may include (but are not limited to):

- Questionnaires and interview transcripts (except for interview transcripts that relate to offending, which must be retained for longer than other types of data as it may be relevant to any appeals or charges etc. See sub-class 1.11 and 1.12)
- Research data
- Administrative data
- Training attendance rates and trends

Sub-class 6.3 Military Learning, Training and Education Governance and Strategy covers information and records documenting activities associated with the governance and strategy of Military Learning, Training and Education, including:

- Learning, Training and Education governance (including governance boards), Significant decisions and approvals
- Organisation-wide, Significant Learning, Training and Education requirements, objectives, strategies and capability planning
- Learning, Training and Education frameworks and criteria development

Examples of information and records may include (but are not limited to):

- Learning, Training and Education finalised strategies, policies, directives, implementation plans and approvals
- Significant Learning, Training and Education designs, frameworks, and scenarios (which are not course specific)
- Significant Learning, Training and Education criteria and requirements (including funding requirements, individual capability requirements, Military capability requirements, and similar)
- Governance board and committee minutes, approvals, and decisions

Sub-class 6.4 Military Learning, Training and Education Reporting and Performance covers information and records documenting activities associated with the reporting, performance, and monitoring of Military Learning, Training and Education activities. Examples of information and records may include (but are not limited to):

- Learning, Training and Education policy development
- Learning, Training and Education processes, procedures, and guidelines
- Risk registers
- Recording and reporting of course outcomes, results and retraining requirements (e.g. General Course Reports)
- Assessment and compliance monitoring of trainers
- Training specific reporting which contributes to major NZDF reports (e.g. the training component of the Annual Training Commitments directive)

This sub-class excludes Individual Trainee evaluations and course reports as it is expected to be in the individual personnel record which will be covered by **Class 9** once it is developed and submitted as an amendment to this Schedule.

Sub-class 6.5 Analysing, designing, and evaluating Individual Military Learning, Training and Education covers information and records documenting activities associated with analysis, design, development and evaluation of Individual Military training. Activities may include:

- Assessing the individual training implications of new NZDF capabilities such as equipment or asset or technologies
- Significant updates to existing courses and designing new courses
- Providing advice to capability development projects on the individual training component
- Establishing scenarios to be used during Individual Military training
- Ensuring training is in-line with qualification standards and authorities (e.g. New Zealand Qualifications Authority)
- Monitoring and implementing of continuous improvement business processes for individual training

Examples of information and records may include (but are not limited to):

- Formal, finalised Individual Learning and training proposals, designs and models

- Impact analyses and reports regarding new individual training initiatives, ideas, or technologies on training requirements
- Syllabi and training plans for specific courses

Sub-class 6.6 Developing and implementing Individual Military Learning, Training and Education

covers information and records documenting activities associated with developing and implementing Military training to individuals. Types of training may include (but are not limited to):

- Trades training (electric, mechanical and similar)
- Rank-specific training (i.e. training that is required to be promoted to a higher military rank)
- Military-specific training required for enlisted individuals (i.e. weapon specialisation, gunnery and ammunition, military vehicle driving/flying/navigation courses, military tactics and warfare strategies, military law awareness)
- Military-specific individual international and domestic exchanges and other external training programmes
- Individual unit training (i.e. training that is carried out by one military unit only)

Examples of information and records may include (but are not limited to):

- Course materials including plans, outlines and resources
- Summarised course information including lists of nominations, enrolments and attendance
- NZDF-produced resources for trainees related to specific individual courses
- NZDF-produced visual or audio footage related to individual military training which are used as training resources
- Specific instructions to the individuals involved in the training regarding attending and carrying out training (e.g. instructions, orders, requirements for attending training such as health and safety information or resources trainees need to provide etc.)

This sub-class excludes Individual Trainee evaluations and course reports, as it is expected to be in the individual personnel record which will be covered by **Class 9** once it is developed and submitted as an amendment to this appraisal report and disposal schedule (i.e. Disposal Authority).

Sub-class 6.7 Analysing, designing, and evaluating Collective Military Training and Education

covers information and records documenting activities associated with analysis, design, development and improvement of Collective Military training that combines individual skills in a group environment to provide a collective output. Activities may include:

- Analysing collective military training directives
- Determining military collective training and continuation training requirements
- Designing collective military training plans and integrating with other arms and Services
- Development of annual collective military training directives
- Evaluating collective military training activities
- Assessing the collective training implications of new NZDF capabilities such as equipment or asset or technologies.
- Designing new or significantly updating collective training activities
- Providing advice to capability development projects on the collective training component

- Establishing scenarios to be used during Collective Military training
- Monitoring and implementing continuous improvement business processes for collective training (can be referred to as Lessons Learned)

Examples of information and records may include (but are not limited to):

- Formal, finalised Collective training proposals, designs and models
- Formal impact analyses and reports regarding new training initiatives, ideas, or technologies on training requirements
- Training back brief e.g. recommended training activity and estimated resources
- Training directives that includes objectives, commitments, time and resources

Sub-class 6.8 Development and implementation of Collective Military Training and Education

covers information and records documenting activities associated with developing and implementing Collective Military training that combines individual skills in a group environment to provide a collective output.

Types of training may include (but are not limited to):

- Special to Arm training
- Combined Arms training such as infantry, armour, artillery
- Joint and Multinational training involves two or more services
- Pre-deployment training i.e. additional training that reflects the particular circumstances

Examples of information and records may include (but are not limited to):

- Collective training materials including plans, outlines and resources
- Summarised collective training information including lists of participating units, and exercise attendees
- NZDF-produced resources and documents related to specific collective training activities
- NZDF-produced visual or audio footage related to Collective Military training
- Specific instructions to the units involved in the training regarding attending and carrying out training (e.g. instructions, orders, requirements for attending collective training exercises/activities such as health and safety information or resources trainees need to provide etc.)

This sub-class excludes Individual Trainee evaluations and course reports, as it is expected to be in the individual personnel record which will be covered by **Class 9** once it is developed and submitted as an amendment to this Schedule.

5.6.2 Value statement

Information and records documenting the governance and strategy associated with learning, training and education activities (**sub-class 6.3**) provide evidence of accountability for NZDF management of the learning and education function. Providing training for military personnel (whether collective or individual) is one of the core aspects of running a military force. It is vital that NZDF military personnel and non-military staff are trained appropriately for the roles they fulfil. The information and records documenting the governance decisions and strategic direction of learning, training and education activities provide accountability of NZDF actions. In addition, such records

increase our understanding and knowledge of different practices, approaches and ways in which personnel may have been trained over the years which directly impacts the effectiveness of our military, their role in society and how they perform. They are therefore recommended for retention as public archives.

All other sub-classes in Learning, Training and Education are of a routine administrative or operational nature and of short to medium term business value only. Sub-class 6.1 is recommended for either destruction or discharge to the appropriate military museum as outlined in section 3.2 of this report. Sub-classes 6.2, 6.4, 6.5, 6.6, 6.7, 6.8 are recommended for destruction.

5.6.3 Disposal recommendations

Information and records recommended for retention as public archives:

| Sub-Class No. | Class title |
|---------------|---|
| 6.3 | Military Learning, Training and Education Governance and Strategy |

Information and records recommended for destruction:

(Note: Sub-class 6.1 includes records recommended for discharge)

| Sub-Class No. | Class title |
|---------------|--|
| 6.1 | Support activities associated with the enablement of Military Learning, Training and Education |
| 6.2 | Raw data collected to support enablement of Military Learning, Training, and Education |
| 6.4 | Military Learning, Training and Education Reporting and Performance |
| 6.5 | Analysing, designing, and evaluating Individual Military Learning, Training and Education |
| 6.6 | Developing and implementing Individual Military Learning, Training and Education |
| 6.7 | Analysing, designing, and evaluating Collective Military Training and Education |
| 6.8 | Development and implementation of Collective Military Training and Education |

5.7 Class no. 7 – Capability and Development

5.7.1 Description

Capability and Development is the function of researching, defining, and acquiring NZDF capabilities, introducing them into service, overseeing their review and assessment, and planning for further long-term capability development. ‘Capabilities’ are assets, programmes and projects which enable and enhance NZDF to execute the activities they are directed by government to undertake. They can include having capable military vehicles, vessels and aircraft, having capable technology infrastructure and hardware, having a capable Force of personnel who are adequately trained and ready for deployment, or having adequate core facilities and building infrastructure to carry out military activities.

NZDF are involved in or carry out two different types of capability projects – Defence-led and NZDF-led projects.

For Defence-led projects the Secretary of Defence leads and is accountable for the policy and strategy, capability definition and capability delivery phases of the capability life cycle. The information and records generated through those phases of the Defence-led projects are managed by the Ministry of Defence and are covered by their disposal schedule. The Chief of Defence Force leads and is accountable for the development of the capability concept documents, the introduction into-service, operating that capability in service, and disposal phases of the capability life-cycle for Defence-led projects and therefore the NZDF schedule covers the information and records generated in those phases of the life-cycle which are typically operated as separate projects in their own right. Some information and records are transferred from the Ministry to NZDF as the capability life-cycle progresses. Note that NZDF personnel will be assigned to Defence-led project teams in parts of the life cycle for which the Secretary of Defence is accountable. Therefore any financial or personnel information pertaining to NZDF should be covered by the NZDF schedule.

For NZDF-led projects, NZDF is responsible for all aspects of the projects. This may include projects relating to some aspect of building or maintaining New Zealand’s Defence capability, or it may relate to more corporate projects such as office-moves.

The Capability and Development class consists of the following sub-classes of information and records:

- Support activities associated with the enablement of Capability and Development
- Raw data collected to support enablement of Capability and Development
- Capability and Development Governance, Strategy and Planning
- Capability and Development Reporting and Performance
- Consequential research, development and innovation
- Standard research, development and innovation
- Project Management activities associated with consequential capability investment
- Project Management activities associated with standard capability investment

To avoid the potential for confusion in Class 7, the word significant has not been used as it has been in other classes. The word consequential is used instead to describe the projects that have archival value, rather than significant. This is because within NZDF use of the word significant in relation to

capability projects was previously used to denote Defence-led projects which are actually covered by the Ministry of Defence disposal schedule for the relevant life cycle phases.

Sub-class 7.1 Support activities associated with the enablement of Capability and Development are those activities associated with supporting and administering Capability and Development.

Examples of information and records may include (but are not limited to):

- Records for meeting groups/committees/boards which have no significant influence on the overall governance or strategy of Capability and Development activities (e.g. information preparation and planning, consultation and similar)
- Routine forms and template
- Facilitative administrative records such as correspondence, standard information for staff, travel itineraries, bookings and arrangements, informal advice, inductions, calendars, announcements, office management, project finance support and status reporting, risk and issue management, stakeholder liaison, contact lists and similar

Sub-class 7.2 Raw data collected to support enablement of Capability and Development may be created or collected.

Examples of data may include (but are not limited to):

- Questionnaires and interview transcripts (except for interview transcripts that relate to offending, which must be retained for longer than other types of data as it may be relevant to any appeals or charges etc. See sub-class 1.11 and 1.12)
- Research data
- Scientific data
- Administrative data
- Geospatial and imagery data
- Hydrographic survey data

Sub-class 7.3 Capability and Development Governance, Strategy and Planning covers information and records documenting activities associated with the governance, strategy, and planning of Capability and Development including:

- Capability Project Board records
- Organisation-wide capability requirements, objectives, strategies, capability planning

Examples of information and records may include (but are not limited to):

- Decisions and approvals
- Capability finalised strategies and directives
- Analysis, agreements, and reports related to Capability development
- Plans and approvals related to significant NZDF-led projects

Sub-class 7.4 Capability and Development Reporting and Performance covers information and records documenting activities associated with the reporting, performance and monitoring of Capability and Development, including oversight of the implementation of NZDF strategy into programmes and projects.

Examples of information and records may include (but are not limited to):

- Capability and Development Policy development
- Capability and Development processes, procedures, and guidelines
- Capability and Development specific reporting which contributes to major NZDF reports
- Risk registers
- Portfolio reporting
- Service and Operational service level agreements

Capability and Development research, development and innovation information and records have been split into two sub-classes covering Strategic and Standard.

Sub-class 7.5 Strategic research, development and innovation covers information and records documenting activities associated with organisation-wide research, development and business improvement initiatives including:

- Development and oversight of strategic scientific and technology research;
- Significant 'blue sky' thinking and development for Defence future force capabilities, innovations and operational concepts

Examples of information and records may include (but are not limited to):

- Internal organisational development surveys e.g. PULSE survey
- Future Concepts papers
- Stakeholder consultation documents
- Agreements with other organisations regarding innovation, research and experimentation such as universities

Sub-class 7.6 Standard research, development and innovation covers information and records documenting standard research, development and business improvement initiatives including:

- Development and oversight of routine scientific and technology research
- Analysis of routine research initiatives

Examples of information and records may include (but are not limited to):

- Research reports and analysis
- Stakeholder consultation documents

Information and records associated with **Project management activities associated with Capability Investment** have been split into two sub-classes, one covering the project management of consequential projects and programmes and the other covering the project management of standard projects and programmes.

Sub-class 7.7 Project Management activities associated with consequential capability investment covers information and records documenting projects and programmes that deliver consequential capability to NZDF (includes both NZDF-led capability projects and corporate projects). Projects and programmes considered to be consequential typically involve significant change/innovation, elevated risk, large capital expenditure and/or have high public interest.

Examples of consequential projects may include (but not limited to):

- Purchase of new weapons
- Redesign of camps and bases
- Full service uniform redesign
- Purchase of underwater diving equipment

Sub-class 7.8 Project Management activities associated with standard capability investment covers information and records of projects and programmes delivering standard capability. Such projects typically involve standard change/innovation, routine risk and capital expenditure. Examples may include (but not limited to):

- Document management system implementation
- Office moves
- Standard equipment or asset replacement Project Management activities associated with standard capability investment

Examples of information and records for either type of programme or project (consequential or standard) may include (but are not limited to):

- Assessment and analysis reports
- Business cases
- Funding bids and appropriations
- Finance budgets
- Memorandums of Understanding
- Requests for proposals and associated evaluation
- Project planning
- Project reporting
- Project assurance and audit reports
- Quality and risk assurance
- Minutes of decisions made
- Approvals and authorisations
- Project closure report

5.7.2 Value statement

Information and records of the governance and strategy and planning associated with capability and development activities (**sub-class 7.3**) provide evidence of accountability for NZDF management of the capability and development function. Improving NZDF capabilities through continued development requires strategic oversight and a significant investment from the government. The governance, strategy and planning records provide evidence of the decisions made regarding

investment, capability and development priorities, risks and outcomes at a strategic level. They are therefore recommended for retention as public archives.

The information and records of strategic research, development and innovation, and the project management records of consequential investment projects (**sub-classes 7.5 and 7.7**) provide evidence of how NZDF managed consequential initiatives and projects. They provide accountability for the funds used, the projects undertaken and their success and outcomes. Consequential projects are those that are also likely to generate a high degree of public interest. They will have potential research value for historians and those seeking to understand and gain knowledge about the work of NZDF and how it may impact on society and the enhancement of New Zealand's military forces. These records are therefore recommended for retention as public archives.

All other sub-classes in Capability and Development are of a routine administrative or operational nature and of short to medium term business value only. They are therefore recommended for destruction.

5.7.3 Disposal recommendations

Information and records recommended for retention as public archives:

| Sub-Class No. | Class title |
|---------------|---|
| 7.3 | Capability and Development Governance, Strategy and Planning |
| 7.5 | Strategic research, development and innovation |
| 7.7 | Project Management activities associated with consequential capability investment |

Information and records recommended for destruction:

| Sub-Class No. | Class title |
|---------------|---|
| 7.1 | Support activities associated with the enablement of Capability and Development |
| 7.2 | Raw data collected to support enablement of Capability and Development |
| 7.4 | Capability and Development Reporting and Performance |
| 7.6 | Standard research, development and innovation |
| 7.8 | Project Management activities associated with standard capability investment |

5.8 Class no. 8 – Finance

5.8.1 Description

Finance is the function of planning and managing NZDF financial resources to ensure NZDF has the financial resources it requires, utilises them wisely and can be accountable for financial decisions.

GDA6 Class 4 applies and will be utilised to provide disposal decisions for common corporate records pertaining to finance activities. The sub-classes for Finance therefore cover activities that are not fully or appropriately covered by the GDAs, for NZDF purposes.

The Finance class consists of the following sub-classes of information and records:

- Financial Support activities associated with the enablement of NZDF Finance
- Raw data collected to support enablement of NZDF-specific Finance
- Standard management activities associated with Operations-specific Finance
- Support activities associated with the enablement of Operations-specific Finance
- Management of NZDF Non-Public Funds
- Significant, NZDF-specific tendering and procurement
- Significant, NZDF-specific contract management

Sub-class 8.1 Financial Support activities associated with the enablement of NZDF Finance are those activities associated with supporting and administering NZDF Finance organisation-wide. Activities associated with the governance, strategy, and planning of NZDF Finance are covered by **sub-classes 1.3** and **1.4**. Financial reporting and performance activities are covered by **GDA6**.

Examples of information and records may include (but are not limited to):

- Records for Finance meeting groups and committees which have no significant influence on the overall management of the Operation (e.g. information preparation and planning, consultation, and similar)
- Routine forms, templates and guidelines
- Routine facilitative administrative records such as standard information for staff, travel itineraries, bookings and arrangements, greetings, informal advice, inductions, calendars, announcements, office management and similar
- Financial advice and correspondence to individuals and units such as cost-centre allocations, how to do budgets, financial templates and processes etc
- Liaison and coordination with contractors and vendors regarding financial matters

Sub-class 8.2 Raw data collected to support enablement of NZDF-specific Finance may be created or collected.

Examples of data may include (but are not limited to):

- Questionnaires and interview transcripts (except for interview transcripts that relate to offending, which must be retained for longer than other types of data as it may be relevant to any appeals or charges etc. See sub-class 1.11 and 1.12)
- Research data
- Administrative data

- Time series data
- Financial forecasting data

There are two classes that relate to the financial activities that relate to **Operations**. Although these types of activity may technically be covered by GDA6, these sub-classes have been included in this schedule (with a different trigger than GDA6), as it helps provide the complete picture of records associated with an Operation, which NZDF may need to identify easily in the future. One sub-class covers **financial management** level activities and the other covers **support and routine financial** activities.

Sub-class 8.3 Standard management activities associated with Operations-specific Finance

Examples of management level information and records may include (but are not limited to):

- Operations finance policy documents
- Finalised budget bids
- Finalised request for funds

For any records for Finance meeting groups or committees which have influence on the decision making of an Operation, refer to **sub-class 3.3**.

Sub-class 8.4 Support activities associated with the enablement of Operations-specific Finance

Examples of information and records considered to be of a support or routine level may include (but are not limited to):

- Records for Operations Finance meeting groups and committees which have no Significant influence on the overall management of the Operation (e.g. information preparation and planning, consultation, and similar)
- Cashbooks
- Invoices, receipts, cash and banking activities in relation to equipment or asset, goods and services purchased in support of an Operation
- Funding and task trackers
- Operations budget estimates and budget build documentation.
- Financial costing and assumption documents including briefings to NZDF Chief Financial Office
- Financial delegations register
- Waivers/write-off of debt and debt recoveries for NZDF supplied goods and services during Operations
- Contingent/deployment financial liability documents related to an operation
- Authorisations for procurement or acquisition where there is an urgent operational requirement
- Management of special accounts used for operations (e.g. foreign accounts)
- Payments to foreign forces
- Management of donations and gifts, including presenting, receiving and disposal during a Military Operation

- Acquisition/procurement of equipment or asset, goods and services where there has been no tendering, includes agreements, arrangements or contracts with foreign forces, organisations and commercial providers

Sub-class 8.5 Management of NZDF Non-Public Funds covers activities where there is a need to manage finances that have not been allocated to NZDF as part of public funds. Non-Public funds are authorised under Section 58 of the Defence Act 1990 and established under Chapter 14 of DFO 1 and in respective Service Orders and Regulations. They do not include funds held within trusts, such as museums or those established under different acts of parliament, such as the Armed Forces Canteen Council.

Examples include:

- Service sports and culture clubs
- RNZAF Central fund and base welfare funds
- Corps and regimental funds
- Non-public elements of messes and garrison clubs
- Motel and leave centre funds, and benevolent funds and grants

Examples of information and records may include (but are not limited to):

- Unit fund constitutions
- Memberships
- Meeting minutes
- Financial and Audit reports
- Internal management checks and reports
- Stocktaking and inventory management
- Disestablishment approvals
- Purchase orders and other financial documents
- Banking records and investment records
- Property and asset ownership or transfer of ownership records
- Grant applications and approvals

Sub-class 8.6 Significant, NZDF-specific tendering and procurement covers activities associated with Significant NZDF-specific tendering and procurements related to significant Military acquisitions. Tendering and procurement at this level typically involve Military acquisitions which are associated with significant change/innovation, elevated risk and/or large capital expenditure and require approval/sign off at an Executive Senior Leadership Board or Committee Level.

Examples of information and records may include (but are not limited to):

- Final approved successful tenders
- Signed off approvals for procurement activities, such as specification requirements, terms and conditions
- Significant drafts which impact the outcome of Significant tenders, procurements or contracts

- Meeting minutes, decision documents and approvals from relevant Executive Leadership board which impact on the procurement, tendering or contract being decided upon

Sub-class 8.7 Significant, NZDF-specific contract management covers activities associated with Significant NZDF-specific contracts related to significant Military acquisitions. Contracts at this level typically involve Military acquisitions which are associated with significant change/innovation, elevated risk and/or large capital expenditure and require approval/sign off at an Executive Senior Leadership Board or Committee Level.

Examples of information and records may include (but are not limited to):

- Final approved contracts
- Signed off approvals for procurement activities, such as specification requirements, contract terms and conditions
- Significant drafts which impact the outcome of significant contracts
- Meeting minutes, decision documents and approvals from relevant Executive Leadership board which impact on the procurement, tendering or contract being decided upon

5.8.2 Value statement

Information and records of significant NZDF specific tendering, procurement and contract management (**sub-classes 8.6 and 8.7**) provide evidence of how NZDF is accountable for significant purchasing and contracting activities. With the annual budget and investment required for large scale purchasing (e.g. new aircraft for the Air Force) these records provide accountability for how the decision to purchase or award contracts were made and then once made, how the contracts were managed with suppliers. As such they are recommended for retention as public archives.

All other sub-classes in Finance are of a routine administrative or operational nature and of short to medium term business value only. They are therefore recommended for destruction.

5.8.3 Disposal recommendations

Information and records recommended for retention as public archives:

| Sub-Class No. | Class title |
|---------------|--|
| 8.6 | Significant, NZDF-specific tendering and procurement |
| 8.7 | Significant, NZDF-specific contract management |

Information and records recommended for destruction:

| Sub-Class No. | Class title |
|---------------|---|
| 8.1 | Financial Support activities associated with the enablement of NZDF Finance |
| 8.2 | Raw data collected to support enablement of NZDF-specific Finance |

| Sub-Class No. | Class title |
|---------------|--|
| 8.3 | Standard management activities associated with Operations-specific Finance |
| 8.4 | Support activities associated with the enablement of Operations-specific Finance |
| 8.5 | Management of NZDF Non-Public Funds |

6 Access restrictions

Section 43 (1) of the Public Records Act requires that public records that have been in existence for 25 years (or about to be transferred to the control of the Chief Archivist), are declared to be either open access records or restricted access records.

It is expected that some information and records covered by this disposal schedule that are transferred to Archives New Zealand will be transferred with restricted access. However, specific access restrictions will be formally agreed at time of transfer of any records under this disposal schedule. Classes where restricted access is expected are noted in the table below.

| Class | Title | Restriction Period | Reason for restriction |
|-------|---|--|--|
| 1.7 | Significant Legal Advice and Counsel associated with Operations | 70 years after Operation is completed | Legal privilege and national security |
| 1.9 | Significant Legal Advice and Counsel associated with all NZDF activities (excluding Operations) | 70 years after Operation is completed | Legal privilege and national security |
| 1.11 | Serious or significant Military good order and/or discipline | 70 years after inquiry/investigation is complete | Personal privacy and maintaining the rule of law |
| 2.3 | Intelligence Governance and Strategy | 70 years after last information entry date | National security |
| 2.4 | Intelligence Planning and Guidance | 70 years after last information entry date | National security |
| 2.5 | Intelligence Preparation and Presentation | 70 years after last information entry date | National security |
| 2.6 | Security Governance, Strategy and Planning | 70 years after last information entry date | National security |

| Class | Title | Restriction Period | Reason for restriction |
|--------------|---|---|---|
| 2.10 | Major security violations and incidents | 70 years after investigation complete | Personal privacy and national security |
| 3.3 | Command and Control activities for significant Operations | 70 years after Operation is completed | Personal privacy and national security |
| 3.4 | Planning activities for significant Operations | 70 years after Operation is completed | Personal privacy and national security |
| 3.5 | Preparation activities for significant Operations | 70 years after Operation is completed | Personal privacy and national security |
| 3.6 | Deployment, redeployment and conduct activities during significant Operations | 70 years after Operation is completed | Personal privacy and national security |
| 3.7 | Post-deployment analysis and reporting activities for significant Operations | 70 years after Operation is completed | Personal privacy and national security |
| 3.8 | Command and Control activities for standard or routine Operations | 70 years after Operation is completed | Personal privacy and national security |
| 4.5 | Design and specification activities associated with NZDF-owned military-specific vehicles, vessels, aircraft and equipment or asset, if the record relates to equipment or assets to do with significant Operations | 70 years after Operation is completed | Personal privacy and national security |
| 4.6 | Design, specification, and construction activities associated with NZDF-owned Estate and Infrastructure, if the record relates to estate and infrastructure to do with significant Operations | 70 years after Operation is completed | Personal privacy and national security |
| 8.6 | Significant, NZDF-specific tendering and procurement | 10 years after tender or procurement activity has ceased 70 years after completion of Operation if the record relates to significant | Commercial confidence Personal privacy and national security |

| Class | Title | Restriction Period | Reason for restriction |
|-------|--|--|--|
| | | procurement to do with significant Operations | |
| 8.7 | Significant, NZDF-specific contract management | <p>10 years after contract has expired/ceased</p> <p>70 years after completion of Operation if the record relates to significant contract management to do with significant Operations</p> | <p>Commercial confidence</p> <p>Personal privacy and national security</p> |

Appendix One - Internal consultation

Listed below is all staff that were consulted with or were part of internal approval processes during the development of the disposal schedule.

| Name | Class | Role |
|------------|--------------------------|---|
| s. 9(2)(a) | Disposal schedule author | NZDF Records Consultant (former), KIMD |
| | Disposal schedule author | NZDF Records Consultant (former), KIMD |
| | General – all sections | NZDF Director Records Management (former), KIMD |
| | General – all sections | NZDF Information Consultant, KIMD |
| | General – all sections | KIMD Delivery Enabler |
| | General – all sections | Acting Director Information Lifecycle Management (former), KIMD |
| | General – all sections | Director Information Lifecycle Management, KIMD |
| | Information Management | NZDF Records Architect |
| | Information Management | NZDF Records Consultant (former) |
| | Information Management | NZDF Director ECM (former) |
| | Information Management | NZDF Chief Data Officer |
| | Information Management | Director Information Strategy and Governance |
| | General – all sections | Director Strategy Execution - Air Staff |
| | General – all sections | Information Manager Navy |
| | General – all sections | Chief of Staff - Army General Staff |
| | General – all sections | Project Manager (Digital Information), Future HQ |
| | General – all sections | Records Manager – Defence Shared Services Group (DSSG) |
| | General – all sections | Information Manager Ministry of Defence (MoD) (former) |
| | General – all sections | Information Manager MoD (former) |
| | General – all sections | Information Advisor MoD |
| | General – all sections | Royal New Zealand Air Force (RNZAF) Museum Director (former) |
| | General – all sections | Research Curator - RNZAF Museum |
| | General – all sections | Director Strategy Execution - Air Staff (former) |
| | General – all sections | Assistant Director Corporate Support Air Force |
| | General – all sections | Director of Programme Management Office |
| | General – all sections | Project Support Manager |
| | General – all sections | Information Advisor Central Registry |
| | General – all sections | Director Coordination (Navy) |
| | General – all sections | Financial Controller |

| Name | Class | Role |
|------------|-------------------------|---|
| s. 9(2)(a) | General – all sections | Executive Officer OCDF |
| | General – all sections | Portfolio Business Manager - PCP |
| | General – all sections | Performance Manager - Air Staff |
| | General – all sections | Senior Officer External Information Requirements - Air Staff |
| | General – all sections | Chief Of Staff Defence Logistics Command |
| | General – all sections | Director Supply Chain Management |
| | General – all sections | Chief Of Staff Defence Health |
| | General – all sections | Future Technology Programme Manager – Joint Defence Service (JDS) |
| | General – all sections | Staff Officer to Chief Information Officer |
| | General – all sections | Chief of Staff JDS |
| | General – all sections | Chief of Staff Joint Support Component Command |
| | General – all sections | Director - Industry Engagement - JDS |
| | General – all sections | Defence Relationship Manager Auckland |
| | General – all sections | Principal Advisor – Defence Security (DSY) |
| | General – all sections | Deputy Director NZDF Cyber – Defence Information Systems (DIS) |
| | General – all sections | Director Business Futures Group JDS |
| | General – all sections | Chief of Staff DCS |
| | General – all sections | Provost Marshall |
| | General – all sections | Defence Business Assessment Manager |
| | General – all sections | Joint Defence Services – Policy Group |
| | Data | Solution Manager - Defence Strategy Management (DSM) |
| | Data | NZDF Principal Data and Analytics |
| | Data | Principal Advisor Organisational Research |
| | Data | Science Researcher – Defence Technology Agency (DTA) |
| | Data | Director – DTA |
| | Data | Strategic Advisor – Office of Chief of Defence Force (OCDF) |
| | Command & Planning/Data | Legal |
| | Command & Planning | Court of Inquiry Administrator |
| | Command & Planning | Workplace Health & Safety Advocate - Directorate of Safety |

| Name | Class | Role |
|------------|-------------------------------|---|
| s. 9(2)(a) | Command & Planning/Operations | Inspector General – HQ Joint Forces (HQJF) |
| | Command & Planning | Principal Governance Advisor - DSM |
| | Command & Planning | Senior Risk Advisor – DSM |
| | Command & Planning | Assistant Inspector General (Defence) |
| | Command & Planning | Senior Advisor Heritage – Defence Public Affairs (DPA) |
| | Command & Planning | Business Performance & Data Analyst – DPA |
| | Command & Planning | Principle Advisor Planning & Monitoring – DPA |
| | Command & Planning | Director Defence Attaches – Strategic Commitments and Engagement Branch (SCEBR) |
| | Command & Planning | Executive Officer Directorate of Safety |
| | Command & Planning/Training | Joint Exercise & Activity Planner – HQJF |
| | Command & Planning | Deputy Director Personnel Law |
| | Command & Planning | Legal Advisor, Joint (Operations) – HQJF |
| | Command & Planning | Military Police Operations Warrant Officer |
| | Intelligence & Security | Information Coordinator - NZDF Intelligence |
| | Intelligence & Security | Information Coordinator - NZDF Intelligence/Information Advisor MoD |
| | Intelligence & Security | Director Strategic Intelligence |
| | Intelligence & Security | Team Leader Security Policy |
| | Intelligence & Security | Team Leader Security Risk and Assurance |
| | Intelligence & Security | Information Coordinator - NZDF Intelligence |
| | Intelligence & Security | Chief Information Security Officer |
| | Intelligence & Security | Principal Advisor Cyber |
| | Intelligence & Security | Deputy Director Cyber Security |
| | Intelligence & Security | Cyber Security contractor |

| Name | Class | Role |
|------------|-----------------------------|--|
| s. 9(2)(a) | Intelligence & Security | Team Leader Counter Intelligence |
| | Intelligence & Security | Team Lead Security Incident Response Centre |
| | Operations | Office Coordinator – SCEBr |
| | Operations | DA and Support Services Office Coordinator – SCEBr |
| | Operations | Senior Financial Advisor – HQJF |
| | Operations | Information Architect – HQJF |
| | Operations | Warrant Officer 1 Brigade |
| | Operations | Personnel Officer - Deployable Joint Inter-Agency Task Force |
| | Operations | OpSIS Trade Lead |
| | Operations | S1 (Personnel) – NZ Special Air Service (NZSAS) |
| | Logistics | Operations Manager - Directorate of Engineering and Technical Airworthiness (DETA) |
| | Logistics | Engineering Planning Manager – Logistics Command Maritime (LCM) |
| | Logistics | Manager Engineering Services - Logistics Command Land (LCL) |
| | Logistics | Business and Resource Manager - Defence Logistics Command (DLC) |
| | Logistics | 40Sqn Operations Officer - Air Force |
| | Logistics | Principal Advisor Logistics Engagement |
| | Logistics | Facilities Support Team Leader – Defence Estate and Infrastructure (DEI) Ohakea |
| | Logistics | Asset Management Officer Central - DEI Ohakea |
| | Logistics | Technical Combat Systems NZDF Regulatory – Navy |
| | Logistics | Aviation Fuels Technical Authority |
| | Logistics | RNZAF Armament Technician at Defence Explosives Ordnance School |
| | Logistics | Production Planner Material Support Wing Ohakea |
| | Information Technology | Information Manager – Communications and Information Systems (CIS) |
| | Information Technology | Applications & Database Services Manager |
| | Information Technology/Data | Air Communications and Information Systems |
| | Training | Artificer Weapons Training Wing Manager – Army |
| | Training | Learning Information Systems Administrator – NZ Defence College (NZDC) |
| | Training | Project Officer – NZDC |
| | Training | Senior Policy & Planning Analyst – NZDC |

| Name | Class | Role |
|---------------------|---|---|
| s. 9(2)(a) | Training | Staff Training Officer - Air Force |
| | Capability | Branch Information Manager – Capability Branch (CAPBR) |
| | Capability | MoD Capability |
| | Capability | Deputy Director Doctrine |
| | Capability | Programme Delivery Manager - NZDF Internal Projects - CAPBR |
| | Capability | Executive Support Coordinator – CAPBR |
| | Capability | P3M System Support Manager – CAPBR |
| | Capability | Portfolio and Project support – Knowledge and Information Management Directorate (KIMD) |
| | Capability | Former Portfolio Manager – KIMD |
| | Capability | Deputy Director Defence Excellence Continuous Improvement – DSM |
| | Capability | Senior Information Advisor, Capability Branch |
| | Capability | Practice and Support Manager, Capability Branch |
| | Finance | Senior Financial Analyst Budget and Forecasting |
| | Finance | Operating Model Design – People Capability Portfolio (PCP) |
| | Finance | Assistant Director Welfare – Army General Staff |
| | Finance | Corporate Support Airbank – Air Staff |
| | Finance | Senior Financial Advisor – HQJF |
| | Finance | Commercial Information Manager – Defence Commercial Services (DCS) |
| | Finance | Business Support Officer – DCS |
| | Finance | Contracts Specialist – DCS |
| Ministry of Defence | Senior Information Advisor | |
| Ministry of Defence | Director (Ministerial and Executive Services) | |

Appendix Two – External consultation

Listed below are all organisations that were invited to provide input on the development of the disposal schedule.

| Name | Role | Organisation |
|-------------|--|--|
| s. 9(2)(a) | Director of Centre for Strategic Studies | Centre for Strategic Studies, Victoria University of Wellington |
| | Senior Lecturer | Centre for Defence and Security Studies, Massey University |
| | General Manager | Records and Information Management Specialists Australasia (RIMPA) |
| | Information Management Analyst | National Institute of Water and Atmospheric Research (NIWA) |
| | Deputy Head of Veterans Affairs | Veterans Affairs New Zealand |
| | Information Manager | Government Communications Service Bureau (GCSB) |
| | Information Manager | NZ Security and Intelligence Service (NZSIS) |
| | Manager, Information and Knowledge | NZ Police |
| | Manager, Information and Analytics | Ministry of Foreign Affairs and Trade (MFAT) |
| | Records Management Advisor | Treasury / Central Agencies Shared Services |
| | Information Management Practice Lead | Ministry of Primary Industries (MPI) |
| | Business and Information Systems Lead | Maritime NZ |
| | Information Services Manager | Civil Aviation Authority |
| | Information and Knowledge Management Manager | Office of the Ombudsman |
| | Manager Information Management | Office of the Auditor General |
| | Historian | New Zealand Professional Historians Association |
| | Information & Privacy Officer | NZ Customs & National Maritime Coordination Centre |
| | [Not assigned] | Office of the Privacy Commissioner |
| Chairperson | Archives and Records Association New Zealand (ARANZ) | |

Caveat

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

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

A Discharge Authority Form (for the disposal of public records under section 20 (1) (e) of the Public Records Act 2005) must be completed by the New Zealand Defence Force and authorised by the Chief Archivist before any discharge of records can take place.

Conditions of discharge (as in s25(1) of the Public Records Act):

- **The New Zealand Defence Force agrees to the discharge recommendations set out in the appraisal report and disposal schedule of the records specified.**
- **The discharge of the records is consistent with the principles of the Privacy Act 2020.**
- **The records are open access records, not in current use and not subject to a request under the Official Information Act 1982.**
- **The person to whom a public record is to be discharged is not a Minister of the Crown, the Chief Archivist, an employee of Archives New Zealand, a member of the Archives Council, or an employee of the controlling public office i.e. the New Zealand Defence Force.**

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