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| <b>Intended for</b> | All Ministers<br>All Chief Executives<br>Chiefs of Staff<br>All Senior Private Secretaries<br>Speaker of the House of Representatives<br>Chief Parliamentary Counsel<br>Controller and Auditor-General<br>Chief Ombudsman<br>Official Secretary, Government House |
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## Constitutional Procedures after the Election

### Introduction

- 1 In March this year the Cabinet Office issued guidance on decision making in the pre-election period.<sup>1</sup> That guidance clarifies that the government can continue to operate as usual until the election, but with restraint in respect of significant appointments and government advertising.
- 2 This circular provides guidance on the constitutional procedures that will apply *after* the general election. It includes key dates, a summary of the transition process between administrations, and references to other guidance material.
- 3 All Ministers, Ministers' offices, and government agencies are expected to follow these guidelines.
- 4 For the purposes of this circular, "government agencies" means agencies in the state sector, including public service departments, other state services, agencies in the wider state sector (see [paragraphs 3.2-3.4](#) of the Cabinet Manual for a complete definition of the state sector), and other agencies within Ministers' portfolios that do not form part of the state sector.

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<sup>1</sup> [Government Decisions and Actions in the Pre-election Period](#), Cabinet Office Circular CO (14) 2.

## Key dates

5 The key dates in the immediate post-election period are as follows:

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| <b>20 September 2014</b> | Polling day.  |
| <b>9 October 2014</b>    | The day fixed for the return of the writ: formal announcement of successful constituency candidates. The return of the writ is followed by a declaration of the successful list MPs. The return of the writ must be postponed until the completion of any recount, and may be postponed in anticipation of any application for a recount. |
| <b>18 October 2014</b>   | Ministers who are not returned as MPs must leave office by this date.   |
| <b>20 November 2014</b>  | Parliament must meet by this day. The opening of Parliament involves the Commission Opening (day 1) and the State Opening (day 2), including the Speech from the Throne. This date is a nominal date only. The actual first meeting day will be decided following the formation of the government.  |

6 Other dates, such as the appointment ceremony for Ministers, the first meeting of the new Parliament, and the full resumption of government business, will not be known until after the election. This information will be provided as soon as it is available.

## The caretaker convention

- 7 After polling day, the Prime Minister is likely to indicate that the incumbent government will operate in accordance with the caretaker convention until the political situation is resolved and Ministers have been sworn in (see [paragraphs 6.16 to 6.35](#) of the Cabinet Manual about decision making during periods of caretaker government and the role of departments in that process).
- 8 During the caretaker period, Ministers continue to hold full executive authority, and are entitled to receive the same level of support that they normally receive from the departments and agencies for which they are responsible, including being advised and getting information for the purposes of administering government business within their portfolios.
- 9 Ministers should, however, ensure that any requests that they make for advice or information from their officials are for the purposes of their portfolio responsibilities and not for party political purposes (including negotiations to form a government).

10 In summary, there are two arms to the caretaker convention:

### 10.1 Where it is not clear who will form the next government:

- 10.1.1 the normal business of government, and the day to day administration of departments and other agencies in the State sector may continue as usual;
- 10.1.2 decisions taken and specific policy determined before the start of the caretaker period may usually be implemented;

- 10.1.3 decisions on significant issues, new policy or changes to existing policy, and issues with long-term implications should be deferred if possible. If deferral is not possible, short-term solutions should be sought. If this is not feasible, decisions should be made after consultation with other parties.

No hard and fast rules are possible. The practical consequences of this restraint may vary according to the political context. Ministers may need to take into account various considerations, both on whether it is appropriate or necessary to proceed on a matter, and how it should be handled.

- 10.2 Where it is clear who will form the new government, but they have not yet taken office, the outgoing government should undertake no new policy initiatives, and should act on the advice of the incoming government on any significant constitutional, economic or other issue that cannot be delayed until the new government formally takes office – even if the outgoing government disagrees with the course of action proposed. Situations of this kind are likely to be relatively short-lived, as the [Constitution Act 1986](#) enables a swift transition between administrations.

### **Decision making in the period immediately after the election**

- 11 It is expected that Cabinet will meet soon after the election. Cabinet and individual Ministers may be constrained in their decision making during this period in accordance with the caretaker convention. Further information will be provided at that time on practical arrangements for Cabinet decision making after the election.

### **Ministers who are not returned as members of Parliament**

- 12 Current Ministers continue with their existing responsibilities after the election, until new Ministerial appointments are made or their responsibilities are reassigned. Ministers who are not returned as MPs may continue in office as caretaker Ministers for a period, but must leave office no later than 28 days after polling day (that is, by 18 October 2014), under [section 6\(2\)\(b\) of the Constitution Act 1986](#). The Cabinet Office will arrange for Ministers in this situation to submit their resignations to the Prime Minister and the Governor-General, if required.

### **The government formation period**

- 13 It is possible that following the general election, two or more parties will negotiate to form a new government.

### **Guidance on support from the State sector**

- 14 While inter-party negotiations to form a government are the business of politicians, negotiating parties may seek access to the State sector for information and analysis on issues that might form part of any coalition agreement.
- 15 The State Services Commissioner manages any involvement by officials in the government formation process. The Commissioner will issue guidance in relation to this process, entitled [Negotiations Between Political Parties to Form a Government: Guidelines on Support from the State Sector](#). It is expected that all agencies in the State sector will follow the process set out in the guidelines.

- 16 Only the Prime Minister may authorise access by a political party to State sector agencies. The State Services Commissioner is the contact point and facilitator between political parties and State sector agencies. If government agencies receive direct requests for information or assistance from political parties (including parties represented in the government), they should refer them to the Commissioner and notify the relevant department. Ministers must refer such requests to the Prime Minister.

### **The role of the Governor-General**

- 17 By convention, the Governor-General's role in the government formation process is to ascertain where the confidence of the House of Representatives lies, based on the political parties' public statements, so that a government can be appointed. It is not the Governor-General's role to form the government or to participate in any negotiations (although the Governor-General may wish to talk to party leaders if the talks have no clear outcome).
- 18 The Governor-General will, by convention, abide by the outcome of the government formation process in appointing a government. The Governor-General will also accept the political decision as to which individual will lead the government as Prime Minister.
- 19 During the government formation process, the Clerk of the Executive Council provides official, impartial support to the Governor-General, including liaising with party leaders as required on the Governor-General's behalf.

### **Appointment of new government and allocation of portfolios**

- 20 Once the outcome of any government formation process is known, the timing and arrangements for the transition from one administration to the next depend on a number of practical matters, including the allocation of portfolios. Portfolio responsibilities will not formally change until the current Ministers have resigned and the new Ministers have been appointed by the Governor-General.
- 21 In practice there is usually a period of some days between the formation of a new government and the new ministry taking office. Current Ministers continue in office, in a caretaker capacity, until new appointments are made (subject to [section 6\(2\)\(b\) of the Constitution Act](#) – see paragraph 12 above).
- 22 It is the practice for a full appointment ceremony to be held when a government is formed after an election, even when the composition of the government has not changed greatly. The ceremony formally marks the formation and commencement of a new administration, and marks the end of the caretaker period.
- 23 Once the new ministry is ready to be sworn in, the Cabinet Office will arrange for all Ministers to submit their resignations to the Prime Minister and the Governor-General. The new ministry will be sworn into office and the Governor-General will sign the warrants appointing Ministers to particular portfolios.
- 24 Portfolio responsibilities may change after the election, either as a result of a reshuffle or a change of government. Agencies should not assume, therefore, that an existing Minister will retain a certain portfolio or that a party spokesperson for a certain portfolio will be appointed as the Minister for that portfolio.

## Briefing the incoming government

- 25 Each new Minister will receive a Briefing for the Incoming Minister (BIM) in respect of each of his or her portfolios.
- 26 Agencies in the wider State sector and agencies within Ministers' portfolios that do not form part of the State sector would normally brief the incoming government through the relevant department. If an agency considers it appropriate to brief a Minister separately, it is expected that the agency will comply with the rules that apply to departments concerning the timing, content, and release of BIMs. If a separate briefing is provided, the agency should provide a copy of it to the relevant department.

### Content

- 27 Guidance on the content of BIMs is set out in [paragraphs 3.10 to 3.15](#) of the Cabinet Manual, and in the State Services Commission's [Guidance on the preparation of briefings for incoming Ministers](#).<sup>2</sup>

### Timing

- 28 BIMs are usually provided to new Ministers following their appointment (that is, after the appointment ceremony). The incumbent Prime Minister may, however, wish to authorise the provision of BIMs to incoming Ministers once portfolio allocations have been announced through the Ministerial List. The Secretary of the Cabinet will inform chief executives of any such authorisation from the Prime Minister.
- 29 Departments and agencies must inform the incumbent Minister and the State Services Commissioner before providing BIMs in such cases. The incumbent Minister continues to hold full executive authority until the incoming Minister has been appointed.
- 30 If government formation negotiations have concluded and there is to be a change of government, but portfolio allocations have not yet been announced, chief executives may, *in cases of great urgency*, provide advice to the incoming government through the Prime Minister-designate. This advice may be given only after the express consent of the incumbent Prime Minister has been obtained and a process has been agreed with the State Services Commissioner.

### Release of BIMs

- 31 While BIMs are subject to the [Official Information Act 1982](#), there is no presumption of public release. Whether a BIM is released publicly is a matter for the Minister, not the department or agency, to decide (see [paragraph 3.13](#) of the Cabinet Manual).

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<sup>2</sup> This guidance is contained in Appendix 4 to the State Services Commission's [Guidance for the 2014 Election Period: State Servants, Political Parties, and Elections](#).

## Distribution of circular and further guidance

- 32 The State Services Commissioner will provide copies of this circular to agencies in the State sector, including non-Public Service departments, statutory Crown entities, Crown entity companies, organisations listed in [Schedule 4](#) and companies listed in [Schedule 4A](#) of the Public Finance Act 1989, the Reserve Bank of New Zealand, tertiary education institutions, State Owned Enterprises, and the Offices of Parliament.
- 33 Public Service chief executives should forward copies of this circular to the heads of other agencies within their Ministers' portfolios that do not form part of the State sector.
- 34 Further information on constitutional procedures after the election is available as follows:
- 34.1 The [Cabinet Office website](#), including:
- 34.1.1 *Elections, Transitions, and Government Formation*, [Chapter 6](#) of the Cabinet Manual;
- 34.1.2 *Briefing for Incoming Ministers*, [paragraphs 3.10 to 3.15](#) of the Cabinet Manual;
- 34.1.3 [Government Decisions and Actions in the Pre-election Period](#), Cabinet Office circular CO (14) 2;
- 34.1.4 [Management of Parliamentary Business After the Dissolution of Parliament](#), Cabinet Office Circular CO (14) 3.
- 34.2 The website of the [State Services Commission](#), including:
- 34.2.1 [Guidance for the 2014 Election Period: State Servants, Political Parties, and Elections](#);
- 34.2.2 [General Election 2014 – Political Neutrality: Questions and Answers for State Servants](#) and [General Election 2014: Factsheet for State Servants](#);
- 34.2.3 [Negotiations between Political Parties to Form a Government: Guidelines on Support from the State Sector](#).
- 35 Following the election, the Cabinet Office will issue [circulars](#) on the practical requirements for decision making in the post-election period.

Michael Webster  
Secretary of the Cabinet and Clerk of the Executive Council

### Enquiries:

Rachel Hayward, Deputy Secretary of the Cabinet (Constitutional and Honours)  
Ph: 817 9778  
[rachel.hayward@dpmc.govt.nz](mailto:rachel.hayward@dpmc.govt.nz)

Andrew Townend, Legal and Constitutional Adviser  
Ph. 817 9741  
[andrew.townend@dpmc.govt.nz](mailto:andrew.townend@dpmc.govt.nz)