



Te Rua Mahara o te Kāwanatanga

ARCHIVES

NEW ZEALAND

Briefing for the Minister Responsible for Archives New Zealand

November 2008

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19 November 2008

To the Minister Responsible for Archives New Zealand

SUBJECT: Introduction to Archives New Zealand

Purpose

1. The purpose of this briefing is to introduce you, as the incoming Minister, to Archives New Zealand, Te Rua Mahara o te Kāwanatanga.
2. This briefing may be supplemented by further information and briefings as you may require.

Introduction to Archives New Zealand

Confidence in and efficiency of government

3. Good information management is fundamental to good business practice and good business decision making. Further, good information management by public agencies helps build public confidence. Whether the records cover recent events or long-term accountability (eg Te Tiriti o Waitangi claims), the ability of the public to understand government decisions requires access to reliable records of public business.
4. Archives New Zealand recognises that information needs to be managed from day one to ensure it survives and is protected over time. This is especially true in today's digital world where information is at greater risk than ever of loss, if it is not effectively and systematically managed.
5. Archives New Zealand has oversight of the public records system, and encourages and supports good practices in the creation, management, sustainability and accessibility of public records (ie. those records generated or received by offices of parliament; departments; state enterprises; and all crown entities including district health boards, crown companies, universities, polytechnics, wananga and state schools). Such practises avoid duplication of effort across the public sector; ensure that records are authentic, reliable and readily accessible by the public; support robust public decision making and accountability; and improve public sector productivity and delivery of core frontline services.

Strengthening society

6. Archival holdings are a great source of information on the history and heritage of New Zealand, offering opportunities for historical, genealogical and whakapapa research and providing critical resources for the Waitangi Tribunal claims process. Our holdings can also be used by the creative sector to tell New Zealand's stories, including those of our interactions with other states, and to promote New Zealand to the world. These

stories have an important role in nation-building and present archives in a way that is accessible and interesting.

Overview of organisation

7. Under the Public Records Act 2005, Archives New Zealand works to promote good information management as the Government's recordkeeping authority and acts as the official guardian of New Zealand's public archives.
8. Archives New Zealand encourages effective information management through provision of advice and training on the information management responsibilities of public offices and local authorities. We work with government agencies to ensure that records of government decision-making are created and maintained and that records of long-term value (including electronic records) are transferred to Archives New Zealand when appropriate.
9. Public archives are those records of the Government that the Chief Archivist has recognised as having long-term value. The majority of these archives are held in Archives New Zealand's repositories in Auckland, Wellington, Christchurch and Dunedin. Others are held on behalf of the Chief Archivist in 11 approved repositories located around the country.
10. Our holdings extend from documents including the 1840 Tiriti o Waitangi and the 1893 Women's Suffrage Petition; to maps, paintings, photographs, film and electronic records. We ensure that public archives are properly preserved and securely held, while making them accessible to the public and encouraging their use.
11. Archives New Zealand also has a responsibility to provide leadership and support for archival activities across New Zealand, including the safekeeping of private and community records.

Formation

12. The National Archive was formally established by the Archives Act 1957 as a business unit of the Department of Internal Affairs. The Archives, Culture and Heritage Reform Act of 2000 transferred the responsibilities of the National Archives to the then newly created public service department of Archives New Zealand.
13. The Public Records Act 2005 (PRA) replaced the Archives Act 1957 while continuing both the repository of national archives and the department under the name Archives New Zealand (Te Rua Mahara o te Kāwanatanga).

Responsibilities of Chief Archivist and Chief Executive

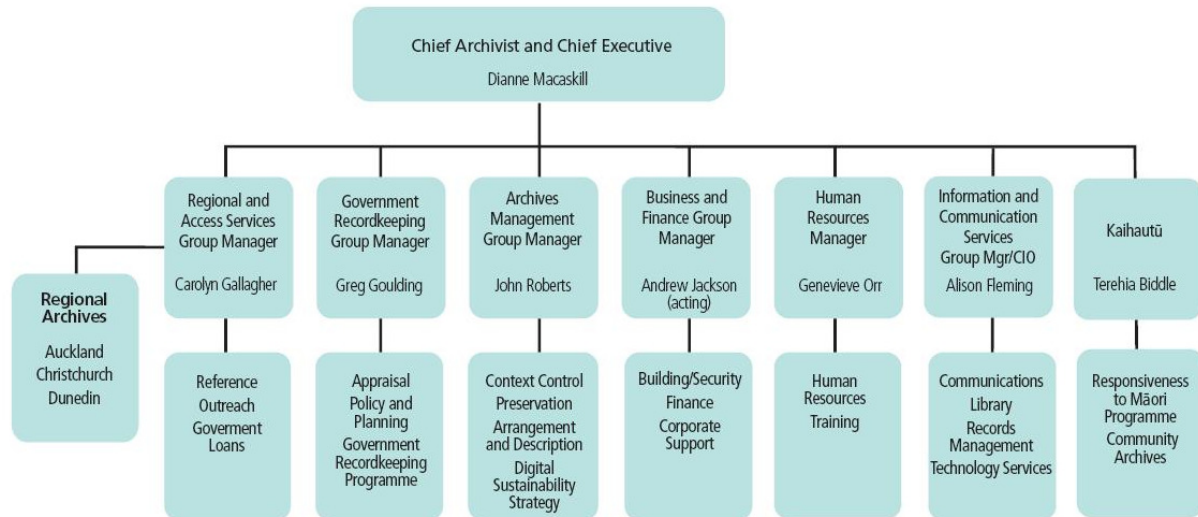
14. As Chief Archivist, I have various responsibilities imposed by the PRA, including:
 - authorising the disposal, ie, destruction or transfer, of public records
 - exercising a leadership role for recordkeeping in public offices and for the management of public archives in New Zealand

- issuing standards (including mandatory standards) relating to any aspect of recordkeeping within public offices and local authorities including records creation, maintenance, management, disposal and access
 - providing advice, and issuing guidelines, on the procedures or best practice for the creation, maintenance and efficient management of public records and local authority records
 - monitoring and reporting on the compliance of public offices and local authorities with the PRA
 - issuing criteria for the independent auditing of recordkeeping within public offices
 - controlling and administering public archives and ensuring their preservation
 - facilitating public access to, and promoting the use of, public archives, and
 - exercising a leadership role in facilitating and coordinating archival activities in New Zealand.
15. As Chief Archivist, I act independently and am not subject to Ministerial direction in making decisions about the disposal of public records under section 20 of the PRA. An exception to this applies to Archives New Zealand's own records, where your authorisation as Minister is needed prior to their disposal (see table under section *Minister's Responsibilities* below).
16. Archives New Zealand is responsible to the Minister administering the National Archives vote (known as the Minister Responsible for Archives New Zealand) and as Chief Executive of Archives New Zealand, I am responsible to you for Archives New Zealand's capability and performance. Archives New Zealand administers the PRA and gives policy advice to the Minister Responsible for Archives New Zealand.
17. We also provide support to the Archives Council, which advises the Minister Responsible for Archives New Zealand on recordkeeping and archival issues (see below).

Structure

Organisational structure

18. Archives New Zealand has a national office in Wellington and regional offices in Auckland, Christchurch and Dunedin. The regional offices manage some archives on behalf of the Chief Archivist; they also have an important role in coordinating and promoting archival activities in their regions.
19. We have seven business groups implementing Archives New Zealand's functions as illustrated in the following diagram. On 30 June 2008 there were 131 members of staff employed by Archives New Zealand. With 20 percent of our staff working part-time, our total full-time equivalent staff numbers were 122. Further, 23 percent of our staff were located within our regional offices.



Access Services Group

20. The Regional and Access Services Group is the public face of Archives New Zealand, and provides access to public archives through reference services provided remotely and in person, as well as exhibitions and outreach activities.
21. Our three regional repositories provide local communities with access to records of particular significance to their area. They also advise and liaise with district offices of government agencies and with national offices based in their regions.

Government Recordkeeping Group

22. The Government Recordkeeping Group works closely with public agencies and their staff to encourage and support good information management practices that meet the needs of the agency.

Archives Management Group

23. The Archives Management Group is responsible for managing transfers of new and existing archives, documenting and preserving these records, and developing electronic resources to support access of them. This group also leads our digital continuity work to ensure that digital information is well managed and accessible for as long as it is needed.

Kaihautū

24. Archives New Zealand holds many records of importance to Māori and has a significant number of Māori users. The Kaihautū ensures that an understanding of Māori concepts around information ownership and use, and the appropriate guardianship of records of significance to Māori are incorporated into the everyday work of our staff. The Kaihautū is also responsible for advising on and supporting the development of community archives.

Business and Finance Group

25. The Business and Finance Group provides Archives New Zealand's financial, building and corporate services.

Human Resources

26. This Group ensures that the human resource requirements of staff and the department are met. Archives New Zealand is one of the largest employers of professional archival staff in the country. We provide comprehensive training and development opportunities for these staff through our Archival Professional Development Programme.

Information and Communication Services

27. Quality information is essential to the department's success. The Information and Communication Services Group, led by the Chief Information Officer, ensures that information technology, records management, library and communication services are aligned with the department's strategic direction.

Advisory bodies

Archives Council, Te Rua Wānanga

28. The Archives Council, Te Rua Wānanga is an unincorporated body established under the PRA (s14), with members appointed by the Minister Responsible for Archives New Zealand. Its role is to provide advice to the Minister Responsible for Archives New Zealand on recordkeeping and archives matters generally including: those for which tikanga Māori is relevant; Orders in Council regarding variations to requirements under the PRA; authorisations for disposal of Archives New Zealand's departmental records; the approval of repositories; and criteria for independent audits of Archives New Zealand.
29. The inaugural Archives Council was appointed on 31 August 2006. Members of the Council are Richard Nottage (Chair), Stuart Strachan, Rachel Lilburn, Mel Smith, Theresa Graham, Ani Pahuru-Huriwai, and Monty Soutar. All members terms expire on 31 August 2009.
30. Under the PRA, Archives New Zealand is required to provide administrative services to the Archives Council.

Te Pae Whakawairua

31. Te Pae Whakawairua is the Chief Archivist and Chief Executive's appointed Māori consultative group. It was established in the 2001/02 year with the purpose of providing me with independent advice to ensure Archives New Zealand's services meet the needs of Māori.
32. The group provides me with advice, direction, perspective and feedback on the aspirations of Māori and how Archives New Zealand can contribute to achieving them

and better enables the organisation to recognise and respect the Crown's responsibility to take appropriate account of Te Tiriti o Waitangi as outlined in s7 of the PRA.

33. During 2007/08 Te Pae Whakawairua met three times. Examples of some of the key issues discussed include: Archives New Zealand's role as guardian of Te Tiriti o Waitangi and the way Archives New Zealand promotes Te Tiriti; advice on digital options and strategies for providing better access to tāonga; and the development of an appraisal policy (a policy for selecting records of long term value).

Key stakeholders and relationships

34. The following list provides examples of Archives New Zealand's key stakeholders and relationships.

- All public offices and local authorities that are subject to the PRA.
- The National Library of New Zealand (National Library), Ministry for Culture and Heritage and Te Papa Tongarewa (Te Papa) with respect to information and heritage policy.
- The Treasury, Department of Prime Minister and Cabinet, State Services Commission and other central agencies of government, the Office of the Ombudsmen, and Auditor-General with respect to accountability and good governance policy.
- The State Services Commission and the Ministry of Economic Development with respect to e-government policy, including the Digital Strategy, the New Zealand Government Locator Service, Metadata Standard and the Dublin Core Metadata Initiative.
- Groups representing Maori interests, for example Te Tiriti o Waitangi claimants.
- User groups of public archives, including researchers, genealogists, schools government agencies.
- International archives and records authorities through the Council of Australasian Archives and Records Authorities, the International Council on Archives (ICA), the Pacific Regional Branch of ICA, and the Association of Commonwealth Archives and Records Managers.
- The Australasian Digital Recordkeeping Initiative - a coordinated approach to meeting the challenges of electronic recordkeeping through work with Australian national, state and territory archives and records authorities.
- Professional bodies for archives and recordkeeping, including the Archives and Records Association of New Zealand and the Records Management Association of Australasia.
- The National Preservation Office, and the New Zealand Professional Conservators' Group with respect to advice and support on the preservation of archives.
- Community archives.

Key areas of focus

Technological change

35. Archives New Zealand is an information agency. Changes in information management technology over the past 30 years have meant our core business has fundamentally changed. We are in a transition where our business focus is moving from being a custodian of physical documents in large storage facilities to being responsible for the growing volume of government information that is only in electronic form.
36. Good information management is fundamental to good business, at individual agency level, and across government as a whole. Being able to keep track of business decisions and actions taken is good practice.
37. There are a rapidly increasing number of ways in which information can be communicated eg. websites, wikis, blogs, shared work spaces, and text messages. Some of the information communicated in these ways will be records of business decisions which need to be stored and accessible for as long as needed.
38. Maintaining access to electronic records over time presents difficulties since:
 - Electronic storage media can quickly become obsolete eg. deterioration of tapes.
 - Electronic systems and formats change frequently and information can be “left behind”. For example information stored in early versions of word processing programmes cannot be read by modern computers. Our last survey of government agencies found that 53 percent held information that they could no longer access.
 - Electronic information is more easily manipulated and altered, which can lead to uncertainty over the authenticity of documents.
39. Accordingly, we cannot wait for electronic records to come to us at the end of their business lives (as we do in the paper world) as little useful information may have survived. We need to be more proactive by developing early interventions to ensure good, sustainable records are created and managed to begin with. This is ongoing work as new technology for creating and using information continues to be developed.
40. Our key responses to these challenges include:

*The Digital
Continuity
Strategy*

The draft Digital Continuity Strategy has just ended its public consultation phase (following approval from Cabinet) and the final strategy is scheduled to be presented to Cabinet in March 2009.

This strategy provides whole of government responses to these technology challenges and seeks to reduce unnecessary duplication of effort.

*Standards,
Advice and
Training*

Three records management standards that are mandatory under the PRA for public offices and local authorities have been issued. These are outcomes focused, set the requirements for good recordkeeping and help remove uncertainty. We provide information management advice to all government agencies and have started a training programme to provide more detailed

support.

<i>Audit Programme</i>	The PRA requires audits of all public offices beginning in 2010. The audits will inform the Government and Parliament how well information is being managed, and help public offices identify where effort is needed. Each office will be audited on a five year rolling cycle, with results indicating degree of compliance in given areas (rather than pass/fail results) to assist further improvements.
<i>Vendors and information professionals</i>	Many of the technological tools available at present, such as electronic records systems, do not sufficiently include record management elements or are implemented as look-a-like versions of paper systems. This can hinder uptake and encourage avoidance of effective records management. We are communicating with system developers, at local and international level along with our colleagues in archives and records authorities overseas to improve automation of good information management through better system design.
<i>Establishment of Digital Archive Programme</i>	We have developed an Interim Digital Archive that is helping us understand the requirements for a robust government electronic archive. We are considering many options including the use of components from the National Library's National Digital Heritage Archive. What is required is a system that can guarantee the security of very sensitive government information, as well as enabling access to other information that should be available. At this stage, because there has been no central digital archive, almost all electronic records are still held by the creating government agency. This is both inefficient (many agencies investing in information maintenance) and high risk (records may not survive without specialist care).

Accessible services

41. The information held at Archives New Zealand has enormous potential to enrich New Zealanders lives as it documents our shared experiences. It is the authentic, unfiltered record of events from which users can draw their own conclusions. People are increasingly expecting information to be instantly accessible online, and relevance today is often judged according to ease of access rather than by the quality of the information. In this environment, New Zealand's unique stories are at risk of being ignored because only a fragment of the archive can be accessed through the internet.
42. Archives New Zealand needs to grow the use of its archives and this requires improved online access.
43. Our key responses to this challenge include:

<i>Partnerships</i>	We have formed a partnership with the Genealogical Society of Utah (trading under the name of FamilySearch) to electronically copy and index the lists of passengers on ships arriving in New Zealand between 1839 and 1976. FamilySearch provides volunteer workers and equipment; Archives New Zealand provides access to these open public records, space and
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professional archival support. This arrangement allows large scale digitisation at almost no cost. This year FamilySearch will copy 175,000 records and on completion (approximately 2010) the digital records will include information on more than 10 million people.

We are working with media outlets, such as the New Zealand Herald, to showcase video and photos from our archives on their websites.

*Customer
focused
digitising*

Archives New Zealand takes a customer focused approach to digitisation, providing open public records, on demand, in the most convenient form for the end-user.

For example, we have electronically copied:

- Approximately 900 New Zealand Defence Force personnel files, consisting of approximately 17,000 pages. This work continues at a rate of approximately 20 files per day (based on public requests).
- Twenty-three volumes of New Zealand's Blue Books (ie. national settlement statistics) for the years 1840 to 1856, consisting of approximately 5,000 pages.
- Approximately 5,000 - 7,000 photos from the New Zealand Publicity Studios. These are government photos from the 1930s to 1980s. They will be made available on Archives New Zealand's online public search engine *Archway* with all descriptions transcribed and free text searchable.

Access points We are making our archives easier to find through multiple access points, ranging from Google to the Matapihi system that shows content from Archives New Zealand, the National Library and Te Papa (amongst others).

We are also providing an online facility to allow the public to order digital or paper copies of a range of documents.

44. We recognise that many New Zealanders will continue to need face to face services and access to original paper documents, and we are maintaining public research spaces in our four offices with trained support staff for these purposes.

Archives in the community

45. A function of the Chief Archivist outlined in the PRA is to exercise a leadership role in facilitating and co-ordinating archival activities in New Zealand. Outside central government there are a relatively small number of substantial archival institutions, such as the Hocken Library in Dunedin, the Auckland War Memorial and Museum, and the New Zealand Film Archive. We have recently been supporting the Ministry of Culture and Heritage in a review of audiovisual archiving. Although not concluded, the review has identified fragmentation of the sector, with duplication of effort in some areas and gaps in others. Options for improvement are currently being investigated.
46. The Directory of Archives in New Zealand, published by Archives New Zealand, identifies over 190 organisations that hold archives and a recent survey identified

additional emerging archives. The capability and resources of these organisations are limited and in many cases these organisations do not have the necessary skills or equipment to provide good archival care to their holdings. Archives New Zealand provides assistance to these agencies through provision of advice and training to help raise the standard of archival care and access. We also provide the National Register of Archives and Manuscripts which enables small organisations to publish information about their archives on the web.

Responsiveness to Māori

47. Archives New Zealand is entrusted with the care of Te Tiriti o Waitangi, the 1835 Declaration of Northern Chiefs, and thousands of other archives such as Māori Land Court records that are taonga for Māori. Both the Crown and claimants make extensive use of nineteenth century documents that are regularly cited in claims to the Waitangi Tribunal. It is important that we remain trusted by Māori to care for these archives and can provide services in a way that reflects the spirit of partnership embodied in Te Tiriti o Waitangi.
48. Archives New Zealand works to respond to Māori information management and archival research needs and is currently supporting several iwi archival projects. We are aware that many Māori have concerns about cultural and intellectual property rights and guardianship of information, and are working to better understand these matters and address them in collaboration with Māori.

Corporate matters

Deed of Settlement

49. A Deed of Settlement between the Crown and Taranaki Whānui ki Te Upoko o Te Ika (Taranaki Whānui) was signed on 19 August 2008. Under this Deed of Settlement the Port Nicholson Claim Settlement Trust has up to 10 years to purchase the land on which a number of buildings with a strong cultural association with Taranaki Whānui are sited. This includes the land on which Archives New Zealand's Wellington Office is located. The Archives New Zealand land is of special importance given its proximity to the historical Pipitea pa.
50. Archives New Zealand has been involved in developing the detail of the sale and leaseback mechanism with the Port Nicholson Block Settlement Trust. Archives New Zealand, along with the National Library, has been working to ensure the value of the property assets is protected under any lease arrangement. The lease terms have not yet been agreed.

Building assets

51. Although digital recordkeeping is beginning to reduce the proportion of paper-based records, our paper storage obligations continue to grow since we acquire records 10 to 20 years after they are created. This means the physical archive is likely to grow at current levels for at least 10 to 20 years.

52. Our repositories are currently at or near capacity. We face significant future demands for storage, particularly for over 20,000 linear metres of Land Information New Zealand records that are due for transfer in the next five years. We are currently addressing the challenge of physical storage by:
- Collaborating with the National Library, Te Papa and the Ministry of Culture and Heritage to develop options for a new shared storage facility in Wellington.
 - Surveying agencies to determine the likely intake and associated storage requirements nationally over the next 20 years. This will consider factors such as the impact digital access may have on where to locate storage facilities.
 - Archives New Zealand has agreed to accommodate some of the National Libraries materials in Archives New Zealand's Wellington and Auckland offices during March 2009 to November 2011 while the National Library undertakes renovations on their building. The National Library will fund new shelving needed during this period and this shelving will remain with Archives New Zealand after November 2011.

Collaboration with the National Library and Te Papa

53. Archives New Zealand collaborates and works closely with the National Library and Te Papa where appropriate. Examples of such work include:

Digital New Zealand

Digital New Zealand (DNZ), led by the National Library, is a collaborative programme of work established as part of New Zealand's Digital Content Strategy. DNZ aims to make New Zealand digital content easy to find, share and use. This includes content from government organisations, the education sector, industry, cultural institutions, communities and individuals.

See <http://www.natlib.govt.nz/services/national-collaborative-services/digital-nz> .

In my role as Chief Archivist, I am a member of the DNZ Steering Committee.

National Digital Forum

The National Digital Forum (NDF) is a coalition of museums, archives, art galleries, libraries and government departments working together to facilitate a national approach to building collections of digital cultural and heritage resources. The NDF identifies opportunities for organisations to collaborate, cooperate and share information, thus avoiding duplication of effort and developing expertise in the regions and nationally.

See <http://ndf.natlib.govt.nz> .

In my role as Chief Archivist, I am a member of the NDF Board.

The 2008 NDF conference will be held on 27 - 28 November in Auckland with the key theme being *creating value in a digital New Zealand*.

Galleries, Libraries,

This forum aims to provide a high level connected view from New Zealand's galleries, libraries, archives and museums across issues that matter to the

<i>Archives and Museums Sector Forum</i>	<p>sector and its customers.</p> <p>Some of the areas identified by the group as having potential for collaboration include:</p> <ul style="list-style-type: none"> ▪ professional development and training, including leadership and succession planning within the sector ▪ efficiencies through shared storage and information technology systems ▪ maximising investment in the sector, and ▪ working with communities, from understanding their needs better (eg. through surveying), to supporting communities with protection and preservation needs. <p>The forum includes representatives from the New Zealand Library Association, Museums Aotearoa, Te Papa, the Archives and Records Association of New Zealand and the Records Management Association of Australasia, as well as Archives New Zealand and the National Library.</p>
<i>Storage</i>	<p>As noted previously, Archives New Zealand has agreed to temporarily accommodate some of the National Library's materials in Archives New Zealand's buildings.</p>

Minister's responsibilities

54. The PRA assigns responsibilities to the Minister Responsible for Archives New Zealand. Key responsibilities are summarised as follows. Note section references refer to the PRA.

<i>Variations to provisions of the PRA (s5)</i>	<p>Make recommendations to the Governor General on any variations to the provisions of the PRA. The PRA is broad in application. Variation ensures that this application is appropriate by enabling a particular agency or type of record to be varied from selected provisions of the PRA. Please note that there are two provisions (known as key duties) for which variation does not apply. These are the provisions requiring public offices and local authorities to create and maintain full and accurate records and the prohibition on disposal without the Chief Archivist's authorisation.</p>
<i>Archives Council (s14(3))</i>	<p>After consultation with the Minister of Māori Affairs and the Chief Archivist, appoint members to the Archives Council.</p>
<i>Annual report on recordkeeping (s32)</i>	<p>Present the report of the Chief Archivist on the state of government recordkeeping, the report of the Archives Council, and the report on independent audits of recordkeeping in public offices to Parliament. These reports are designed to increase compliance and awareness of the need for good records management.</p>

<i>Disposal of public records of Archives New Zealand (s20(4))</i>	Authorise the disposal of public records created by Archives New Zealand. The Chief Archivist has independence in making disposal decisions, however to ensure that no chief executive is responsible for making such decisions over records created by their agency, the PRA requires the Minister Responsible for Archives New Zealand to authorise the disposal of Archives New Zealand records.
<i>Appeals of decisions of Chief Archivist(s51-56)</i>	Consider appeals against decisions by the Chief Archivist in relation to inspections, exemptions and instructions and to make binding decisions on the issues. Some decisions will require agencies to expend resources to implement and the PRA provides an appeal process to ensure that the decision is appropriate.
<i>Approve repositories (s26)</i>	Upon advice of the Archives Council, approve a relevant body as a repository for the deposit of public archives.
<i>Prescribed records (s38)</i>	Declare records as prescribed. Prescribing a record gives the Chief Archivist certain powers to obtain copies of that record or to acquire the record itself.

55. None of the matters above require immediate actions by you as Minister.

Immediate decisions of the Minister

56. There are no immediate actions or decisions required from the Minister Responsible for Archives New Zealand.

Supplementary papers

57. Attached for your information is a copy of the following:

- Archives New Zealand's Statement of Intent 2008-2011
<http://www.archives.govt.nz/publications/corporate.php>
- A copy of Vote National Archives extract from the Estimates of Appropriations
<http://www.treasury.govt.nz/budget/2008>
- Archives New Zealand's Annual Report 2007/08
<http://www.archives.govt.nz/publications/corporate.php>
- Draft Digital Continuity Strategy
<http://continuum.archives.govt.nz/digital-continuity-strategy.html>

Recommendations

58. I recommend that you:

- a. **note** the contents of this briefing.

noted

Dianne Macaskill
**Chief Archivist and Chief Executive
Archives New Zealand**

**Minister Responsible for
Archives New Zealand**