



NEW ZEALAND DEFENCE FORCE
Te Ope Kaatua o Aotearoa

HEADQUARTERS NEW ZEALAND DEFENCE FORCE
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APPRAISAL REPORT: HEADQUARTERS NEW ZEALAND DEFENCE FORCE

JOB NO: OP 01/110	CONTRACT: No. 164 & 196
FILE NO: 03/2813; 2011/6221	
AGENCY: New Zealand Defence Force Headquarters	
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1. EXECUTIVE SUMMARY

This report covers the appraisal of the New Zealand Defence Force (NZDF) records at the Headquarters (HQ). The types of records covered by the appraisal are:

- Joint Service Organisation Classified Multi Number Subject Files from the former Defence Secretariat within the Prime Minister's Department

The method of appraisal has been a combination of precedent and analysis of files lists, supported by extensive records examination. The principal criteria for appraisal, has been identified of those records for transfer that give accountability and evidential evidence of the Ministry's organisation, functions and transactions.

Quantity recommended for transfer as public archives: 32 Im

Records for destruction already destroyed under approval of OP/110

2. APPRAISAL CIRCUMSTANCES

In May 2001 the NZDF requested that Archives NZ undertake the appraisal of closed records, which were administratively no longer required. The need for appraisal was prompted predominantly by storage constraints, but also in part by the need to arrange for the disposal of a large volume of files from former records classification systems no longer in use. At the time of the appraisal the records were stored in the basement of Defence House, Stout Street, Wellington.

The classified files have since been declassified by a team setup by the HQNZDF Records Manager in November 2009. Most of these files have now been declassified and are now available for transfer. Some files/documents however have not been able to be declassified yet and have been placed back into our classified storage area until they can be reviewed at a later date.

3. AGENCY INFORMATION¹

Prior to the establishment of a centralised defence ministry in 1964, the Armed Forces existed separately as three distinct government departments. At the head of each department was a Service Board, whose members consisted of:

- Minister of Defence as chairperson
- Chief of Staff
- Two or here senior officers from the Service
- Civilian Secretary of the Department

Chiefs of Staff Committee

Recognition of the benefits of coordination among the Services led to the establishment of the Chiefs of Staff (COS) Committee in 1933. Initially the Minister of Defence chaired the COS Committee, which also consisted of the Service Chiefs. By 1937 the Minister had virtually withdrawn from participation, due to a lack of time to attend regularly. From May 1938 the senior chief of staff by appointment filled for the Minister as deputy chairperson.

The COS Committee was responsible for considering matters of defence policy common to all three Services. After the Second World War the COS Committee was accepted as having responsibility for advising the government on important defence issues with joint service implications.

From March 1954 the COS Committee, which had previously operated on an ad hoc basis, began meeting more or less on a regular basis every Monday afternoon providing there was enough business.

¹ The agency history is based on extracts from:

- The reorganisation of NZ Higher Defence Machinery 1945-71, Ministry of Defence
- The Oxford Companion to NZ Military History, Oxford University Press
- NZ Armed Forces: Their Development in relation to Defence Policy, 1946-72, DJ Filer (MA Thesis, Canterbury University, 1972)

Council of Defence

The Labour Government in July 1937 re-instituted the Council of Defence.² Designed as an advisory and coordinating body, the Council's membership consisted of:

- Prime Minister as president
- Minister of Defence
- Three Chiefs of Staff
- Head of the Prime Minister's Department
- Such other members as the Prime Minister might nominate

Defence Secretariat

During and following the Second World War a growing need for greater defence coordination led to the establishment of up to thirty-five other joint Service committees to coordinate such matters as personnel, logistics, administration, supply, planning and intelligence. To service this growing machinery the Defence Secretariat was formed within the Prime Minister's Department in 1949. Several military officers were seconded to it to be secretaries of the various joint committees.

The impetus for the creation of the Defence Secretariat had come from the Chiefs of Staff. As early as March 1946, they had concluded that to ensure effective use of liaison arrangements with Australia and the United Kingdom, there would need to be a "Joint Service Organisation in New Zealand under the control of the Chiefs of Staff, with, for example, Planning and Intelligence Sections."³

Although responsible to the Prime Minister, the Secretariat dealt directly with the Minister of Defence on joint Service problems. Apart from purely secretarial duties, the Secretariat:

- Assisted the Secretary of the Cabinet with the business of the Council of Defence
- Acted as a reference point between the External Affairs (which formally established a Defence Liaison Section in 1955) and the Service organisation
- Advised the Service Departments of political implications of issues under consideration
- Provided a Service input to matters going before Cabinet
- Ensured the coordination of defence matters generally

The Secretariat was transferred to the Ministry of Defence when it was established.

Ministry of Defence

The Defence Act, passed on 17 November 1964, established a new Ministry of Defence. Under the Act the three Service departments were combined into the new Ministry. The central core of the new ministry of defence was the central Defence Office.

² There had previously been a Council of Defence between 1907-1910.

³ Minutes of 158th meeting of COS Committee, 29 March 1946, NZA 11/2/1

A Defence Council was established which consisted of:

- Minister of Defence
- Chief of Defence Staff
- Secretary of Defence
- Chiefs of Staff from the three Services
- Co-opted members if required (especially the Secretaries of External Affairs and Treasury)

The Defence Council was responsible for:

- Administering and commanding the Services
- Advising the minister on defence policy
- Integrating common functions where desirable and practical

The Secretary of Defence was the civilian head of the Ministry, while the Chief of Defence Staff was the chief military advisor to the Government. Together they constituted a joint civilian-military system of control over the defence establishment.

The boards for each Service continued to exist, but they acted under delegated power from the Defence Council. Also the Chiefs of Staff Committee was retained, but as a committee of the Defence Council.

In 1969-71 moves were implemented to provide a fully centralised administration in control of all non-operational functions previously carried out within the responsibility of the three services. These changes were embodied in a further Defence Act that came in effect on 1 April 1972.

The Service Boards were abolished and their functions divided between the Chiefs of Staff and a central Defence Headquarters, which replaced the Defence Office. The disadvantage of the continued existence of the Service Boards had been that one Service could still express its views to the Minister independently of the other Services.

All the following tasks – policy formation and planning, logistics and supply, personnel, administration, finance, civil management and management services – were transferred to the central Defence Headquarters. Each Chief of Staff and their separate Headquarters were now only concerned with operational matters.

The Chiefs of Staff Committee continued to operate as a military sub-committee of the Defence Council. Other major defence committees included:

- Defence Executive Committee (DXC), the purpose of which was to provide a forum for the discussion and coordination of matters on policy, management, resources, personnel and finance.
- Defence Co-ordinating Committee (DCC), which primarily ensured the efficient staffing, administration and management of Defence HQ. The DCC met only when a need arose.

New Zealand Defence Force (NZDF)

The New Zealand Defence Force was established in November 1989 when the Ministry of Defence was divided into two separate organisations, the NZDF and a new civilian staffed Ministry of Defence. The new organisational structure which was given statutory backing in the Defence Act 1990, arose from the government's aim to differentiate between funder and provider in government administration and to ensure contestable advice on defence matters.

4. PRECEDENT

Numerous appraisals have been done of Defence related records by Archives New Zealand over the years, but only one report has current and direct precedent relevance to the records covered by this appraisal. The OP 95/110 (November 1997) appraisal reports covered the evaluation of the same ministry of Defence Headquarters Multiple Number files covered by this current appraisal. The report contains a well documented 28 page analysis of rationale for the recommended appraisal decisions.

The draft Disposal Schedule OP 01/52 (March 2002) covers the NZDF HQ Standard Defence Filing System (SDFS), which is the successor to the ministry of Defence Headquarter Multiple Number classification system. There is clear linkage between the file groupings in the Multiple Number system and the SDFS, which are documented in report OP 98/45 (August 1998) covering the appraisal of SDFS files. The Archivist doing this current appraisal also developed the Disposal Schedule OP 01/52.

Appraisal report op 95/110 and disposal schedule OP 01/52 provided precedent information that assisted in the making of appraisal recommendations.

5. METHODOLOGY

The volume (e.g. c.9,560 files), subject diversity and storage fragmentation of the material meant that it was not practical to do a detailed examination of all the records. Thus the evaluation of the records was primarily done at the record secondary series level. However, detailed individual file examination was carried out when warranted.

The appraisal was complicated by NZDF providing file lists that did not allow for the electronic integration of classified and unclassified files from the same classification systems. Overall the lists gave reasonable descriptions of the file contents, but in a number of instances the file titles did not reflect the substance of the records. Also within the lists there were frequent incomplete file titles, which contained gaps filled in with question marks (e.g. 16/4/1 Communications - ??????????????). In most cases the files with incomplete titles have not been appraised and were deleted from the final appraisal lists.⁴ The list accompanying this report contains the full completed titles.

The methodology used in the appraisal, was in a number of steps:

- a. Research was undertaken into the functions to which the records related, in order to identify primary activities with related records of long-term value. This research was based on published sources, consultation with NZDF staff and deliberations with Archives New Zealand Staff. Previous appraisal reports were also examined to establish precedent information existed to assist in the evaluation.

⁴ The NZDF was informed about the incomplete file titles on the record lists, and given the opportunity to amend the lists. However, the NZDF decided that amending the lists would be too difficult at this stage, preferring to submit the incomplete named files for appraisal at a later date.

b. The file lists were initially analysed in order to tentatively establish record categories for transfer or destruction, based on key functional activities, existing precedents and common office records. This process also identified records that needed to be examined before any decisions could be made.

c. Eighteen on-site visits were made in order to examine records on which no initial decision had been made, and to sample records in order to test tentative retention/destruction decisions. The filling out of file content analysis sheets supported the examination of the records

d. Based on the sample file examinations, documented file analysis sheets and precedents (where relevant), final decisions were made on record retention and destruction recommendations.

e. A last overview was done to check that the ratio of transfer versus destruction decisions, were in appropriate proportion to the significance of the different record groups.

6. DESCRIPTION, EVALUATION & DISPOSAL RECOMMENDATIONS

6.1 MINISTRY OF DEFENCE HQ MULTIPLE NUMBER SUBJECT FILES

This section has been removed as these files are not part of this transfer (W5767, series 19754)

6.2 JOINT SERVICE ORGANISATION MULTI NUMBER SUBJECT FILES

The files are from the Joint Service Organisation (JSO) Classified Multi Number Subject Records that operated from c. 1947-1964. The JSO files document the cooperation and coordination among the three separate Service departments. The Ministry of Defence MNS System replaced the JSO files in c. 1964. Even after the closure of the JSO files, papers continued to be added to some of the files.

There are c. 1,600 JSO files covered by this appraisal.

The JSO classified (W5767, this transfer) and unclassified (transferred July 2006 under W5563) are physically stored separately, but in many cases the classified and unclassified records share the same file classification numbers. During this appraisal the JSO classified files have been evaluated as an integrated system.

There are a number of issues relating to the JSO file titles, as follows:

- A considerable number of the titles contain the word *general*, but many of these files contain substantial and significant information.
- Many of the file titles do not accurately reflect actual file content.
- Some file titles that seem significant, only contain copies of duplicates and reference information from allied nations.

At some stage in 1956-57 the JSO files were either top numbered or documents refiled on different files.

<i>Series Title</i>	Joint Service Organisation Multi Number Subject Files
<i>Date Range</i>	1942 – 1985
<i>Quantity</i>	65 lineal metres

<i>System of Arrangement</i>	Files are classified with a multiple number subject system, but are assigned a unique running number when closed. The physical arrangement of these files is numerical by closed number order.
<i>Physical Format</i>	Split pin files
<i>Function</i>	Document the cooperation and coordination among the three separate Service departments
<i>Value</i>	See below
<i>Recommendation</i>	Records for transfer should be sent to Archives ten years from date of the last paper on file or similar. Records for destruction should be destroyed seven years from date of the last paper on file or similar. The retention and destruction recommendations for individual files are contained within the Objective electronic file 2003/2813.

The JSO files fall into four broad categories:

- Committee Records
- International Defence and Alliances
- Policy and Subject Topics
- Corporate and Logistical Issues

Committee Records

These records cover the workings of the diverse range of committees serviced by the Defence Secretariat within the Prime Minister's Department

Recommended for Retention

Records that document:

- Rationale and background to the establishment of committees
- Minutes of committees dealing with substantial Defence Policies and decisions
- Reports, briefs and papers presented and used by committees as the basis for decision-making and policy formation.
- Minister of Defence's input and dealings with committees
- Major committee reports

e.g. 1/2/3 Defence Council – Minutes of Meetings

1/4/2 Chiefs of Staff – Committee Minutes

1/4/6 COS – Meetings with Minister of Defence and defence Committee

15/7/5 NZ Joint Intelligence Committee – Intelligence Reviews

16/3/1 Security – NZ Security Council

39/8/1 Air Defence – Air/Sea Warfare Defence Committee – General

Recommended for Destruction

Files that contain:

- Routine meeting agendas and notices, and summaries of items on meeting agendas⁵
- Summary lists of work under discussion by committees
- Committee requests for the preparation of reports and papers
- Copies and duplicates of documentation from Cabinet, interdepartmental committees and public service committees/boards managed by other government agencies.
- Meeting/conference administration
- Copies and duplication of documentation from Services

e.g. 1/4/5 Chiefs of Staff Committee – Work on Hand

1/9/5 Joint Communication Committee – Terms of Reference for papers

1/30/2 Principal Administrative Officers Committee – Agenda and Notices

1/50/3 Interdepartmental Committee on Security – Minutes of Meetings

1/61/3 Government Superannuation Board – Minutes

1/41/5 Defence Science Advisory Committee – Conference

4/4/10 Air Force – Air Board Meetings – Minutes

International Defence and Alliances

These records document the NZ participation in military alliances and arrangements with other countries; the stationing of NZ Forces abroad; and NZ involvement in military operations and conflicts.

Recommended for Retention

Records that document:

- Defence agreements and arrangements with other countries (e.g. SEATO, ANZUS)
- Defence agreements and arrangements with other countries (e.g. SEATO, ANZUS)
- Significant Defence liaison, meetings and discussions between NZ and other countries

⁵ This recommendation is based partly on the precedent of Op 95/110, and because the minutes of key Defence committees have been recommended for retention.

- Defence agreements and arrangements with other countries (e.g. SEATO, ANZUS)
- Significant Defence liaison, meetings and discussions between NZ and other countries
- NZ Defence role in Pacific
- NZ military participation in South East Asia with the Commonwealth
- NZ intelligence and assessment reports on other countries and regions
- Rationale for posting NZ Defence representatives overseas and copies of NZ Defence attaché reports
- NZ occupation forces in Japan
- Civil cooperation with other countries
- NZ involvement in international security and United Nations issues (e.g. Status of NZ Defence Forces with regard to UN requirements)
- NZ Defence involvement in Korea and Vietnam

e.g. 15/4/4 Intelligence – Australia Arrangements – NZ Liaison

16/10/1 Security – Commonwealth Security Organisation – General

25/6/2 Defence of the Pacific – Planning Australia, NZ and Malaya

26/6/4 Defence Discussions – NZ Prime Minister and UK Defence Minister

29/2/1 Higher Military Direction & Command – Far East and South East Asia

34/5/3 Regional Defence – Pacific – Pacific Pact – Military Aspects

35/14/5 Overseas Liaison – NZ Military Liaison Office Korea – Quarterly Reports

36/2/3 Occupation Force – Japan – Directives to Commanders

39/3/2 Air Defence – Airfields – reciprocal Use of Airfields (US/NZ)

40/2/7 SEATO – Military Advisors – NZ Reports

41/4/2 Australia, NZ & Malaya – Planning Studies – Plans for Defence of Malaya

42/3/1 ANZUS – Military Representatives – General

43/2/1 Commonwealth Defence – NZ Contribution

47/3/2 Civil Action – Pacific Services – NZ/Chile

50/2/1 International Security – UN Security Arrangements

53/9/1 Forces for Korea – Directive to Commander Kay Force – General

100/2/1 Pacific – Islands for which NZ has Responsibility

142/3/2 Malaya – Defence – NZ Contribution

147/3/1 South Vietnam – Insurgency – General

295/1/1 Antarctic – General

Recommended for Destruction

Files that contain:

- Background and reference papers, meeting minutes and publications issued by other countries and alliance organisations.
- Copies and duplicates of documents from the former Department of External Affairs.
- Routine SEATO administration matters

e.g. 15/7/4 Intelligence Publications – UK Weekly Review of Current Intelligence

25/5/1 Joint War Production – Communications – UK

32/41/1 Intelligence & Appreciation – Formosa – Defence

40/21/9 SEATO – Publications – South East Asia Frequency Register

40/3/8 SEATO – Permanent Military Planning Office – Finance

120/3/2 Australia – Armed Forces – Electronic Data Processing

140/2/5 South East Asia – British Defence Coordination Committee

Policy & Subject Files

These records cover various aspects of joint policy development by the Services, and a wide range of subject matters common to the three Services.

Recommended for Retention

Records that document:

- Joint Service Defence policy
- Major Defence reports, reviews and financial plans
- Military planning and defence threat assessments and reviews
- Legislative issues
- Evaluation of military capabilities and capacity
- Major issue relating to individual Services (e.g. Navy ship replacement programme)
- National compulsory conscription and cadet training
- Role of Armed Forces in assisting civil authorities
- Original NZ Defence science research
- Planning for mobilisation and emergency situations
- Defence aerial mapping and surveying
- Control and employment of aliens

- e.g. 2/2/1 Reviews of Defence Policy
- 2/3/1 NZ Defence Policy – Defence Expenditure
- 3/2/1 Defence NZ – Threats to NZ area
- 3/5/2 Defence Legislation – Armed Forces Act
- 4/3/10 NZ Forces – Army – Light Aviation
- 4/4/7 Aircraft and Airlift of Troops
- 4/5/1 NZ Forces – Readiness for War
- 4/8/1 NZ Forces – Compulsory Military Training
- 5/2/3 Civil Defence – Natural Disasters – Use of NZ Forces
- 6/7/1 Defence Science Research in NZ
- 8/5/2 Preparation of Defence – Notification of Precautionary and War Measures
- 9/4/4 Cadet Training in Post-Primary Schools
- 11/1/2 US Aerial Survey of NZ Coast
- 39/2/1 Air Defence – Protection of Shipping – General
- 52/2/2 Aliens – Control of Aliens in NZ – Chinese
- 71/2/2 Coast Watching Foreign Vessels in NZ Waters

Recommended for Destruction

Files that cover:

- Copies and duplicates of background and reference information from overseas
- Information available in published sources
- Low level administrative issues

- e.g. 6/1/3 Defence Science & Research – Lists of Document received by DSIR
- 7/3/1 UK War Books – General
- 8/9/2 Psychological Warfare – (British) Monthly Reports
- 12/5/1 Mapping & Surveying – Map Referencing Systems (UK) – General

Corporate & Logistical

These records deal with files covering the structure and operation of the Defence Secretariat, and Service matters relating to personnel, finance, management, structure, integration, logistics and communications and security.

Recommended for retention

Files that relate to:

- Establishment and organisation of the Defence Secretariat
- Integration and cooperation among the Services
- Role of women in the Armed Forces
- Major corporate policies and strategic issues
- Awards, medals and major ceremonies
- Military discipline

e.g. 1/5/1 NZ Defence Machinery – Defence Secretariat

4/7/1 NZ Forces – Women's Services

4/10/2 NZ Forces – Integration of Training

10/15/1 NZ Communication Systems

15/14/9 Visits to NZ – Royal Tour Arrangements

16/2/1 Security – Security in NZ

20/11/1 Supply – Strategic Issues

21/6/7 Honours & Awards – Victoria Cross

21/10/4 Recruiting – Service by (Pacific) Islanders

21/3/3 Personnel – Discipline & Offences – Remission of Sentences

23/2/1 Manpower – Service Manpower – Ceiling in War

25/18/1 Supply NZ Forces in War

Recommended for Destruction

Records that contain:

- Information available in published sources
- General and miscellaneous correspondence
- Duplicates and general documentation from Services and other government agencies
- General defence Secretariat administration and staffing
- Routine and low level financial matters
- Training administration and course information
- Routine administration of communications and security

- Administration relating to posting NZ Defence representatives overseas

- e.g. 1/1/3 NZ Defence Machinery – General – Year Books
- 1/5/3 Defence Secretariat – Secondment of Other Ranks
- 1/5/7 Defence Secretariat – Treatment and Distribution of Documents
- 1/5/8 Defence Secretariat – Miscellaneous Official Correspondence
- 2/3/2 Expenditure for Overseas Conferences and Courses
- 4/2/1 Navy appointments
- 4/3/5 Army – Strength Returns
- 9/2/4 Defence College – Joint Service Staff College (Course Administration)
- 10/1/2 Communications – Services Telephone Exchange – Wellington
- 15/2/1 Administration – Pay and Allowances – General
- 16/9/1 Security of Mail
- 20/5/2 Accommodation – Furniture and Fittings
- 22/8/2 Welfare - Service Film Service
- 35/2/8 Overseas Liaison – NZ Liaison Staff – London – Vehicles

7. ACCESS RESTRICTIONS

[Removed]

8. TRANSFER CONDITIONS

[Removed]

9. RETENTION AND DISPOSAL PERIODS

Records for transfer should be sent to Archives NZ ten years from date of the last paper on file or similar. Records for destruction should be destroyed seven years from date of the last paper on file or similar.

10. SUMMARY OF DISPOSAL RECOMMENDATIONS

Quantity recommended for transfer as public archives 32 Im

Records for destruction already destroyed under approval of OP/110

Signed:

Date:

[Name Removed]
Supervisor,
HQ Document Management Services