
Appraisal Report

Functions, Activities and Records Evaluation for Antarctica New Zealand

File/Document ID	APP2020/0023
Agency	New Zealand Antarctic Institute (operating as Antarctica New Zealand)
Contact Name and Details	[Name and details removed]
Date	10 June 2023

Purpose

This report documents the appraisal of information and records created and used by Antarctica NZ as part of carrying out its business activities.

The appraisal has been undertaken primarily to support the creation of a Disposal Authority (DA) that replaces the previous Disposal Authority DA401, due to expire in November 2021. This DA covers the retention periods and disposal actions for records, in order to meet legislative and community requirements.

The report will:

- Ensure on-going coverage for the legal disposal of records created by or for Antarctica NZ in alignment with the Public Records Act 2005 (PRA)
- Enable the identification of records of high value which will require long-term preservation and those records with/of little archival value which may be destroyed once no longer required for on-going business
- Obtain legal authority to dispose of records not covered by the general disposal authorities (GDA6 and GDA7)
- Enable the implementation of management systems for information and records
- Support a culture of best practice recordkeeping within the organisation.

Scope and Format

This appraisal applies to all public records in any format created or received by Antarctica NZ, in the conduct of its business, except those covered by general disposal authorities GDA6 and GDA7.

Previously DA65 and DA118 covered photographic slides, prints, negatives and audio-visual material. The new disposal authority will cover any photographic material still held by Antarctica New Zealand with two new sub-classes:

- Multimedia or records depicting or describing significant events – *Archive 10 years after last date of action*
- Multimedia or records depicting events that are of no significance – *Destroy 10 years after last date of action*

Two other one-off DAs were also used in 2003: DA85 covered a transfer of registered files and publications from the New Zealand Antarctic Institute, which were accepted under delegated authority; DA92 was a transfer of maps and plans from the New Zealand Institute, which were accepted under delegated authority.

Agency Information

<i>Agency code</i>	CAYP
<i>Public Office's Physical Location:</i>	Head office at Christchurch in addition to the Scott Base research station in Antarctica.
<i>Agency name:</i>	New Zealand Antarctic Institute (Antarctica New Zealand)
<i>Year established:</i>	1959 – 1992: DSIR Antarctic Division (New Zealand Antarctic Research Programme, NZARP) 1992 – 1996: DSIR Antarctic Division absorbed into MFAT as the New Zealand Antarctic Programme, NZAP. 1996 – now: Antarctica New Zealand (New Zealand Antarctic Institute)

Background

Antarctica NZ was established on 1 July 1996, from the DSIR Antarctic Division (established 1959), by the New Zealand Antarctic Institute Act 1996 (NZAI Act) and is based in Christchurch. Antarctica New Zealand is the Crown Entity responsible for developing, managing, and executing New Zealand Government activities in Antarctica and the Southern Ocean, in particular the Ross Dependency.

Antarctica NZ provides a permanent presence in Antarctica for New Zealand through the management of Scott Base, New Zealand's Antarctic research station. Key activities of Antarctica NZ include facilitating scientific research, protecting the natural Antarctic environment and raising public awareness of the global significance of the continent, and surrounding Southern Ocean.

Functions

Antarctica NZ's principal functions are set out in Sections 5 and 6 of the NZAI Act (1996):

- To develop, manage, and execute New Zealand activities in respect of Antarctica and the Southern Ocean, in particular in the Ross Dependency
- To maintain and enhance the quality of New Zealand Antarctic scientific research
- To co-operate with other institutions and organisations both within and outside New Zealand having objectives similar to those of the Institute

In performing its functions, Antarctica NZ shall act in a manner that is consistent with:

- The need to conserve the intrinsic values of Antarctica and the Southern Ocean
- Active and responsible stewardship of the Ross Dependency for the benefit of present and future generations of New Zealanders

- New Zealand's international obligations
- The provisions of the Antarctica Act 1960 and the Antarctica (Environmental Protection) Act 1994
- The risks to personnel being minimised as far as is reasonable

The organisation also provides a strong policy focus through the Antarctic Officials Coordination Group of which Antarctica New Zealand is a full member, and the *Antarctic and Southern Ocean Unit (ASOU)* which is part of the Environment Division of Ministry of Foreign Affairs and Trade (MFAT). The Antarctic Officials Coordination Group, led by MFAT facilitates the protection and advancement of New Zealand's strategic interests in Antarctica and the Southern Ocean, by coordinating policy development and implementation, domestic outreach, and international engagement on Antarctica and Southern Ocean issues across New Zealand government agencies.

Historical Overview

Britain claimed the Ross Dependency on the 30th of July 1923 and placed it into the care of New Zealand. The Dependency was named for Sir James Clark Ross who led the first expedition into the Ross Sea in January 1843. The Dependency lies between 150° west and 160° east, and includes Ross Island, the site of New Zealand's permanent Antarctic base named after Robert Falcon Scott (1868-1912).

Scott Base is situated on Pram Point at the end of Hut Point Peninsula on Ross Island. It was built in 1957 as the Ross Island base for the Commonwealth Trans-Antarctic Expedition (TAE). The New Zealand government took responsibility for the Ross Sea Party of the TAE led by Sir Edmund Hillary while Dr Vivian Fuchs led the British party which traversed from the Weddell Sea via the South Pole to McMurdo Sound and Scott Base.

Scott Base was also used for science activities associated with the International Geophysical Year (IGY) between 1st July 1957 and 31st December 1958. Sir Edmund Hillary was the first Scott Base commander and Trevor Hatherton the scientific leader. During the IGY international scientists were invited to work at Antarctic bases run by other countries. The aim was to stimulate joint scientific achievements in a spirit of cooperation and peace between countries.

In 1958 America proposed a treaty that would continue the spirit of cooperation that characterised the IGY. The Antarctic Treaty was signed on 1st December 1959 by the twelve governments (including New Zealand) that had an active interest in Antarctica. The Treaty came fully into force on 23rd June 1961 and was initially binding for thirty years, being renewed after 1991. There are now 45 consultative parties to the Antarctic Treaty, and they have been instrumental in establishing guidelines and protocols for protection of Antarctic flora, fauna, and historic sites, the conduct and operations of bases, scientific activities, and tourism. New Zealand has consistently maintained a position at the forefront of Antarctic Treaty initiatives. In 1999 a landmark agreement was signed by all Treaty parties. The Protocol on Environmental Protection to the Antarctic Treaty designated Antarctica as a natural reserve devoted to peace and science and committed parties to the comprehensive protection of the Antarctic environment. Significantly, the Protocol provided a resolution, at least in the medium term, to the question of mining in Antarctica, providing for a 50-year ban on all mineral resource activity.

Scott Base became a permanent base in 1959/60 and was run and maintained by the New Zealand Antarctic Programme (NZAP) under the auspices of the Department of Scientific and Industrial Research (DSIR). In 1992 the NZAP became the responsibility of the Ministry of Foreign

Affairs and Trade. In 1994 there was a further review of New Zealand's involvement in Antarctica. The review focused on New Zealand's role and the institutional arrangement best suited to fulfil New Zealand's objectives for its Antarctic engagement, in particular whether New Zealand should continue to invest in Antarctica and to commit towards building a significant reputation based primarily on an investment in science. The review highlighted the influence Antarctic issues had beyond just science and logistics and on the strategic importance of Antarctica and the Southern Ocean to New Zealand as a Southern Hemisphere nation.

On 1st July 1996, the New Zealand Antarctic Institute, operating as Antarctica New Zealand, was created through an act of parliament.

Recordkeeping Environment

Antarctica NZ currently manages most of its records in digital form using SharePoint 2016 as an EDRMS. Antarctica NZ has been using SharePoint to manage its records since 2009, so it is well established and is used as the primary recordkeeping platform.

SharePoint is mandated as the primary records system, and staff are trained well, and strongly pushed away from using personal drives or offline network folders to manage content. Most corporate records are held in SharePoint or other well managed line of business systems (for payroll, accounting, asset management, and event deployment to Antarctica). Therefore, almost all records are now born digital. The exception to this is some limited Financial Services records such as invoices, and payroll tax records being retained for 7 years, and some original signed Contracts/Agreements. Very few Human Resources/Personnel documents are also held in paper, but this process came to an end in 2021.

Antarctica NZ still holds some historical physical records in offsite storage with The Information Management Group (TIMG). With transfers to Archives NZ having been completed in the past, some physical records remain. These include Science, Event and Logistics Reports from 1958 to 2013, and Ross Sea Research Committee Reports from 1958 to 1993 when they stopped being produced and bound in hardcopy. Once this disposal authority is authorised by the Chief Archivist, a deferral of transfer will be pursued for these records to be compliant under Section 22 of the PRA, especially when transferring the records are not feasible.

Science and environment data and records

NZARI

The New Zealand Antarctic Research Institute (NZARI) was established in 2012 by Antarctica New Zealand, and approved by the Minister of Foreign Affairs to be chaired by the Chair of the Board of Management of Antarctica New Zealand. It was disestablished in 2021. It had administrative support provided by Antarctica New Zealand.

NZARI was a strategic initiative of the Board of Antarctica New Zealand formed to deliver key Antarctic research outcomes in a limited and unstable contestable government funding environment. In large part catalysed by NZARI's activities, the government created the Antarctic Science Platform, supported through the Strategic Science Investment Fund (SSIF).

The vision was to “inspire valued global research in Antarctica and the Southern Ocean through a virtual multi-disciplinary, multi-national Antarctic research institute in New Zealand”. The

research would need to be consistent with the New Zealand Government's *Antarctic and Southern Ocean Science Directions and Priorities 2010-2020* framework.

NZARI was also a hub for additional funding for Antarctic science. It was operated as a private-public partnership, backed initially with funding from the Robertson Foundation of \$5m over five years. NZARI received a three-year grant in 2014/2015 from the Ministry of Business Innovation and Employment to build a partnership for Antarctic research with the Korean Polar Research Institute (KOPRI), and the Korean National Research Foundation.

NZARI was directly funded by Antarctica New Zealand through the agency providing all administration, management and logistics functions out of its Christchurch office. This optimised the amount of philanthropic funding available for research. Some of the monetary value of those functions would be absorbed through pre-existing Antarctica New Zealand functions.

NZARI is incorporated under the Charitable Trusts Act 1957 (NZ) and registered as a charitable entity under the Charities Act 2005 (NZ).

The NZARI records and data

Raw science data that may have been collected via NZARI funding is out of scope of this Disposal Authority, and are managed by the respective science institutes, agencies, CRIs, Universities who undertook the science via our programme.

Final science data analysis reports created by Antarctica NZ on behalf of NZARI for core business purposes will be archived (see 6.7) alongside all other science reports that Antarctica New Zealand is required to produce as part of its science objectives and outputs.

Antarctic Science Platform (ASP)

The ASP was established in 2017 with funding announced for a new Strategic Science Investment Fund (SSIF) for Antarctic science. The Ministry of Business, Innovation and Employment (MBIE) invited Antarctica New Zealand to host the Antarctic Science Platform. The purpose of the platform is to conduct excellent science to understand Antarctica's impact on the global earth system, and how this might change in a +2° (Paris Agreement) or warmer world.

There are over 100 researchers from at least 10 research organisations involved in the platform which is a \$49million project which will run for 7 years until 2025. Antarctica New Zealand is in discussion with MBIE for a second tranche of funding at the end of this period.

Antarctic Science Platform records and data

The records for this project will be managed in the same way as any large project which is funded wholly by the government, and administered by Antarctica New Zealand.

Raw science data that may have been collected via the Antarctic Science Platform funding by research groups are out of scope of this Disposal Authority, and are managed by the respective science institutes, agencies, CRIs, Universities who undertook the science.

Antarctica New Zealand has an ASP Data Curator who is responsible for providing a central coordination point for Antarctic data management and ensures data collected as part of New Zealand's Antarctic Research Programme are discoverable and accessible. A Metadata catalogue contains sufficient information to understand, access, and replicate the dataset to a level of

quality, accuracy, and precision specified in the metadata. Once ASP data are uploaded to a long-term repository, the ASP Data Curator transfers the associated metadata to the Antarctic Metadata Directory (AMD) administered by NASA.

Antarctica New Zealand are responsible for this metadata, and all other science metadata coordinated and collected by our programme previously.

We also now host a GeoNetwork opensource metadata catalogue which enables our researchers to seek data sets which are in development and not yet published (in the AMD), and to find one-source of the truth for our New Zealand Antarctic metadata.

Penguin Census records and data

With over 35 years of mātauranga (knowledge), the Adélie Penguin census is an important long-term data set for researchers studying the effects of environmental change. The accumulated (and ongoing) survey information collected by this significant long-term research programme now provides a valuable resource, that contributes to management of the Southern Ocean Antarctic Toothfish fishery, and monitoring of the Ross Sea Region Marine Protected Area, as well as contributing to the research goals of the Committee for Environmental Protection (an advisory body established as a part of the Antarctic Treaty System, that provides information to the Antarctic Treaty Consultative Meetings, ATCM).

Antarctica New Zealand is funded by the MBIE Strategic Science Investment Fund to manage the annual Penguin Census which is referred to as a nationally significant database.

The data, metadata record and images are managed by Antarctica New Zealand – as the lead custodian of this record. All metadata must be submitted to Antarctica New Zealand four weeks after the completion of a field season. This information is entered into the Antarctic Master Directory (AMD). Antarctica New Zealand works with Manaaki Whenua Landcare Research and data are stored on their database 'DataStore'. A data sharing agreement with Manaaki Whenua and Antarctica New Zealand defines the ownership of the data, and Antarctica New Zealand has internal business rules to manage any data not covered by this Disposal Authority.

Environmental records and data

Any raw environmental data that may have been collected via science events funded by NZARI or the Platform is out of scope of this Disposal Authority, and are managed by the respective science institutes, agencies, CRIs, Universities who undertook the science via our programme.

Raw environmental data produced by Antarctica New Zealand however, are collected primarily for the purpose of environmental monitoring. This monitoring data aids in understanding the impacts of operations on the Antarctic environment and informs how we manage and mitigate them. This includes many long-term datasets on Scott Base operations and its surrounds as well as those related to measuring and monitoring the impact of the Scott Base Redevelopment (SBR) project. The SBR monitoring programme includes large datasets on the terrestrial and marine environments which are also used to inform and assess compliance against the project's Comprehensive Environmental Evaluation (CEE) on which we report to MFAT and internationally. In addition, there are data collected passively through our environmental reporting system to help us understand and improve the performance of our environmental management system. Environmental incident and non-compliance data as well as summaries of the aforementioned

monitoring data, are reported to MFAT annually against the notification/permit to which we operate.

The retention and disposal of these records is explained in Class 5.

Special Collections Management

The records relating to the management and administration of special collections is included in this Disposal Authority. The artworks or any other artefacts themselves are out of scope.

In the case of artworks which have been produced as part of the arrangement of artists or other media personnel going to Antarctica the artwork/artefact – these may be a public record as evidence of this contract. If in future they are indeed considered a record, they will be assessed under a new one-off Disposal Authority and potentially transferred to an appropriate repository authorised by the Chief Archivist. This is reflected in internal business rules.

Methodology

Appraisal Process

The following processes were used to develop this appraisal report and accompanying disposal schedule:

- A detailed review of the existing disposal schedule DA401 was undertaken with the business to identify if the current retention rules were appropriate and if any additional record classes were required.
- A review of other public offices' appraisal reports was conducted to help provide precedent for the new record classes that were not covered by DA401.
- A draft class-based schedule was developed based on the review. The record classes were organised around the business classification.
- An appraisal report was written. The value statements were informed by the Archives New Zealand Public Sector Archival Selection Statement (2019).
- The disposal schedule and appraisal report were reviewed by Antarctica NZ staff and revised based on feedback.
- External consultation of the disposal schedule and appraisal report was carried out with key stakeholders.
- The report was updated following the consultation.

Precedent

Antarctica NZ already has two disposal authorities that will be replaced with this new disposal authority. They are:

- DA65 – expired and only covered slides, photographic prints and negatives, including photos from aerial surveys.
- DA401 – Expires on the 25th of November 2023 and covers all other record not covered by DA65.

DA65 was focussed only on slides, photographic prints and negatives. DA401 expires in November 2023 and needs to be replaced. This new disposal schedule replaces both disposal

schedules and is focussed on all formats of records. Most of the disposal retention actions and periods have been retained from the previous disposal authorities however some have been updated to fit new business requirements. Some new records classes have been added to cover activities that Antarctica NZ has noted, or become responsible for since DA401 was written. For example, the Antarctic Science Platform, Tourist Ship impact reports, medical assessments, and records of health monitoring for asbestos.

For the new sub-classes, the following Disposal Authorities were used:

<i>Review of Appraisal Reports of other Agencies</i>		
Public Office	Why relevant	Relevant classes
Ministry of Business, Innovation and Employment (MBIE)	Provides useful precedent for governance and relationship records	DA644 1 Accountability, governance and strategic management
New Zealand Universities	Provides useful precedent for Māori relationship records	DA337 5.6 Treaty relationships
Statistics New Zealand	Provides useful precedent for data and governance records	DA675 7 Data, metadata. Collection tools and supporting documentation related to data collection
Ministry of Health (MoH)	Provides useful precedents for the analysis of science data	DA643 3.5 Analysis of Health data
Ara, formerly Christchurch Polytechnic Institute of Technology (CPIT)	Provides useful precedents for the management of special collections, and for health monitoring records related to Asbestos	DA559 3.1 -3.8 Special Collections Management, collection control, acquisitions, conservation and preservation. 7.8.3 Health, Safety and Welfare (Employees) – Staff exposed to Asbestos
Ministry of Housing and Urban Development	Provides useful precedents for the management of multimedia	DA697 2.2 Multimedia
<i>Review of Legislation</i>		
Legislation	Why Relevant	Relevant section
Health (Retention of Health Information) Regulations 1996	Provides requirement to hold medical records for 10 years where Antarctica New Zealand fits the definition of provider for the purposes of the regulations.	Regulation 4 (k), and Regulation 6
Health and safety at Work (General Risk and Workplace Management) Regulations 2016	Provides requirements for holding health monitoring records for 40 years after the date on which the record is made, if the monitoring is undertaken in order to detect asbestos-related disease and 30 years for all other health monitoring records – not covered by GDA 6 which says only 5 years.	S42 Health Monitoring Records

The retention periods have been based on business and legislative requirements.

Disposal Schedule Development

Format of the disposal schedule

The accompanying schedule has the following fields:

Records class	The hierarchy that describes the function / activity or type of information to which a record may belong
Title	Short description of an individual class of records
Description	Describes more fully the types of information and records included in this individual class
Minimum retention period	How long this class of records must be retained. This date takes into consideration both legal and business requirements. It starts when records are non-current.
Trigger Point	The point when the minimum retention period begins.
Disposal action	What to do with the records once the minimum retention period has been met (e.g. transfer to Archives New Zealand or Destroy)

Public Sector Archival Selection Statement

The appraisal of information and records has been undertaken with the principles from the public sector archival selection statement (2019) in mind:

Principle 1 - New Zealand public sector authority, functions and activities:

Information and records that provide evidence of the authority and performance of the New Zealand public sector (including all public offices and local authorities as well as public/private partnerships and outsourced providers).

This includes information and records that illustrate and provide clarity on the functions of governing New Zealand, such as the development and implementation of public policies and programmes in response to national as well as international issues.

Principle 2 - Treaty of Waitangi/Te Tiriti o Waitangi:

Information and records that provide evidence of recognition and respect for, or fulfilment of the Treaty of Waitangi/Te Tiriti o Waitangi (the Treaty) principles and the Crown's obligations, or in the absence of this, evidence of failure to fulfil these principles and/or obligations.

Principle 3 - Individual and community knowledge, identity and memory:

Information and records that contribute to the knowledge and understanding of New Zealand, its history, geography, society, culture and achievements, and to all New

Zealanders' sense of their local, regional and national identity and legal status, their Māori iwi/hapū and whānau, ethnic or other communities.

Consultation

Internal consultation

The draft Antarctica NZ disposal schedule and appraisal report were reviewed by senior managers and key staff at Antarctica NZ.

Feedback from the Chief Executive was minor, and was incorporated into the schedule:

- Updated details of subclass *1.5 Tourist Ships - Representatives*. Changed retention period from the proposed 20 years to a lesser period of 10 years instead.

Feedback from the General Manager of Policy, Environment & Safety, was incorporated into the schedule:

- Added subclass *1.6 Tourist Ships – Tourism impacts on Antarctica*. This new sub class is required to cover the records collected by the Antarctica NZ representatives on the Tourist ships to document the impact tourism is having on the Antarctic environment. This is different to *1.5 Tourist Ships* which covers only the administration and representation of Tourist Ship Representatives.

Feedback from the General Manager Communications & People was incorporated into the schedule and appraisal report:

- Updated details of subclass *1.2 Te Tiriti o Waitangi Relationships*. Specifically, to ensure we can capture the documentation regarding the consultation with iwi/Māori as part of the Scott Base Redevelopment, and on our Māori Strategic Framework.
- Updated details of subclass *2.5 Multimedia or materials of no significance* to emphasise the limited value of these records.
- Created a new section *2.6 Special Collections Management* covering records related to special collections, and significant collected items, created by artists commissioned to travel to Antarctica, or from Antarctic related activities led by Antarctica New Zealand

External consultation with stakeholders

A consultation was carried out with external stakeholders over a three-week period.

Information was sent to contacts representing our most relevant stakeholders at Ministry of Foreign Affairs and Trade (MFAT), Ministry for the Environment (MfE), Antarctic Heritage Trust (AHT), GNS, the Antarctic Science Platform, Gateway Antarctica at the University of Canterbury (UC), and the Antarctic Research Centre, Victoria University.

The new disposal schedule, appraisal report, feedback form and clear guidance was sent to these key stakeholders. We received a comment from only one contact which was not substantive and related to the process only.

Contact details available in the Appendix.

Our current Iwi stakeholder, Ngāi Tahu, and other individual Māori representatives who we consulted with on our Māori Strategic Framework (from NIWA, UC, Core Education, Reo Māori

Mai) were not consulted on this proposed Disposal Authority. Our relationship with our iwi stakeholders is of the utmost importance to us, however it is still in an early developmental phase. We have engaged with iwi and other Māori on a strategic level for our Science and Scott Base Redevelopment and Design objectives, which we consider to be core functional matters for which their input is invaluable. We do not wish to challenge our developing relationships with Iwi by sending multiple consultation requests and so we have notified them about our proposed new schedule and will invite them to comment when it goes out for public consultation or ask them to review the appraisal later when it would be more appropriate.

Class 1: Governance

The records in this class include agendas and minutes of the board and committee meetings, details about the appointments to the board and any administration around the board meetings. It also includes interaction with the Ministry of Foreign Affairs and Trade, the Ministry to which Antarctica New Zealand reports, as well as ministerial interactions. Also covered is relationships with Māori that are significant.

This class covers records not covered by the Archives New Zealand GDA6 *General Disposal Authority for common corporate service public records*.

The records in this class have been broken into the following sub-classes:

- 1.1 Board and Committee meetings:** Records of formal governance groups and committees, established to act as decision-making forums. Includes Board, Senior Leadership Team, compliance committees, and steering groups that relate to core business, and have significant impact on the direction of the organisation.
- 1.2 Te Tiriti o Waitangi Relationships:** Records documenting dealings under the Treaty, and relationships with Māori (significant). This sub-class encompasses information and records created to address Vision Mātauranga and to establish a Māori Strategic Framework in Antarctic NZ's core activities. This will also incorporate all consultation with iwi/Māori regarding the Scott Base Redevelopment. This covers cultural strategy, design and protocol advice.
- 1.3 Chief Executive Correspondence:** Records of administrative internal and external correspondence from and to the Chief Executive. This includes requests where a response is required that is not a request for information. For example, correspondence from members of the public expressing their view of the agency.
- 1.4 Administration:** Records of a routine administrative nature around organising meetings as well as those created to support the office of the Chief Executive. Includes:
 - Board member, governance group, or select committee correspondence
 - member reimbursements
 - itineraries

1.5 Tourist Ships - representatives: Records that facilitate the representative role Antarctica NZ plays with the tourist ships, include meetings, training and kit issue (for the Ship Representative).

Established in 2005, Antarctica New Zealand manages a visitor site assessment scheme (VISTA) in the Ross Sea region, which aims to be an opportunistic site monitoring programme to obtain information on the terrestrial impacts of tourism. The scheme was established to support MFAT in their permitting of environmental impact assessments (EIA) for Antarctic tour operators, and in their contributions to discussions on the management of tourism. The aims and goals of the VISTA scheme are:

- To determine if direct or cumulative environmental impacts are occurring at tourist landing sites in the Ross Sea region as a result of regular human visitation;
- To provide informed advice to operators and regulators on actual or potential environmental impacts and mitigation of impacts;
- Collection of basic site information and baseline environmental condition data which will support the EIA process prior to activities being conducted; and
- Implementation of effective methods for monitoring to verify any impacts of visits; ¹

1.6 Tourist Ships – Tourism impact on Antarctica: Records collected by Antarctica NZ representative on tourist ships documenting the impact of tourism on Antarctica, includes:

- tourism data collected
- photographs
- impact reports (final versions)

Value Statement

1.1 Board and Committee meetings

These records are recommended for retention as a public archive. These records meet Principle 1 of the Public Sector Archival Selection Statement as they provide evidence of the authority, functions and activities of Antarctica NZ. They document the way in which Antarctica NZ functions are conducted, or changes to the way core functions are carried out.

1.2 Te Tiriti o Waitangi Relationships

These records are recommended for retention as a public archive. These records meet Principle 1 and 2 of the Public Sector Archival Selection Statement as they provide evidence of recognition and engagement with Māori on high value activities like our Māori Strategic Framework, and Vision Mātauranga – where this results in records that document strategic change, or influence New Zealand’s Antarctic programme.

1.6 Tourist Ships - Tourism Impact on Antarctica

¹ Antarctica New Zealand, 2223 VISTA Monitoring Guide for NZ Ship Representatives, p2

These records are recommended for retention as a public archive once their active use at Antarctica NZ is completed as they meet Principle 3 of the Public Sector Archival Selection Statement. These records provide evidence of the impact that Tourism is having on the Antarctic environment. The reports, photographs, and collected summary data are deemed significant in that they are the only original source evidential data about this impact captured wholly as a comprehensive record. The record provides key statistical and photographic evidence of activities undertaken on tourism vessels in this region, acts as a benchmark, and will be invaluable in years to come when researchers look at these activities, or compare them against future models and activities. They also meet Principle 1 of the Public Sector Archival Selection Statement as they provide evidence of the authority, functions, and activities of Antarctica NZ.

The remaining records in the governance compliance class (**1.3, 1.4, 1.5**) are of an operational nature and recommended for destruction after business use has ceased.

Recommended for Retention as Public Archive

CLASS	DESCRIPTION	DISPOSAL
1.1 Board and Committee meetings	Records of formal governance groups and committees, established to act as decision-making forums. Includes Board, SLT, compliance committees, and steering groups that relate to core business, and have significant impact on the direction of the organisation.	Retain as public archives 10 years after last date of action
1.2 Te Tiriti o Waitangi Relationships	Compliance and dealings under the Treaty, and relationships with Māori (significant). Significant/high-level records that cover any compliance and dealing under the Treaty, and with Māori. Includes Māori input into Antarctica New Zealand's strategy, planning and policy. Liaison with iwi and other Māori groups/bodies, records of substantial meetings or discussions.	Retain as public archives 10 years after last date of action
1.6 Tourist Ships - Tourism Impact on Antarctica	Records collected by Antarctica NZ representatives on tourist ships documenting the impact of tourism on Antarctica, includes: - tourism data collected - photographs - impact reports (final versions)	Retain as public archives 10 years after last date of action

Recommended for Destruction

CLASS	DESCRIPTION	DISPOSAL
1.3 Chief Executive Correspondence	Records of correspondence from and to the Chief Executive. This includes requests where a response is required that is not a request for information. For example, correspondence from members of the public expressing their view of the agency.	Destroy 10 years after last action
1.4 Administration	"Records of a routine administrative nature around organising meetings as well as those created to support the office of the Chief Executive. Includes:	Destroy 5 years after last action

		<ul style="list-style-type: none">- member correspondence- member reimbursements- itineraries	
1.5	Tourist Ships - representatives	Records that facilitate the representative role Antarctica NZ plays with the tourist ships, including records of meetings, training, and kit issue.	Destroy 10 years after last action

Class 2: External Relationships and Communications

This class of records contains those created in carrying out one of Antarctica NZ's core functions which is "to co-operate with other institutions and organisations both within and outside New Zealand having objectives similar to those of the Institute". These records cover interactions with a large and diverse number of NZ government and non-government agencies as well as international groups, Treaty parties and related organisations. This includes the records of communication with both the US, and Italian Antarctic Programmes with whom Antarctica NZ shares a logistics pool.

The class also covers multi-media records that are not covered by GDA 6, including photographs documenting New Zealand's role in Antarctica since 1956 (previously covered by DA65).

The records have been broken into the following sub-classes:

- 2.1 Participation with international Antarctic programmes:** covers Antarctica NZ involvement in international Antarctic programmes and with international Antarctic organisations. Includes representation on Antarctic Treaty organisations such as Scientific Committee on Antarctic Research [SCAR] and relationships with the United States Antarctic Program (USAP).
- 2.2 Participation with national Antarctic groups where Antarctica NZ is the lead:** covers Antarctica NZ involvement with national Antarctic policy, science and environmental groups where Antarctica NZ is the lead agency or the outcome has a major impact on the delivery of activities. Includes records of forums and groups with a focus on Antarctica where Antarctica NZ is a key member.
- 2.3 Participation with national Antarctic groups where Antarctica NZ is not the lead:** covers Antarctica NZ involvement with national Antarctic policy, science and environmental groups where Antarctica NZ is not the lead agency. Includes records of forums and groups with a focus on Antarctica where Antarctica NZ is a key member.
- 2.4 Multimedia records depicting or describing significant events:** records depicting significant events or activities (such as anniversaries, ceremonies, or events involving dignitaries that are of national or international significance). It applies to multimedia records, such as digital images and video recordings, of activities in Antarctica or Antarctica New Zealand related events with descriptive metadata or that are of unique value.
This sub-class includes the photographic, digital images, or video records of each event taken by the principal investigator (team leader) of each 'Event' (i.e. Antarctica NZ term for individual project events deploying to Antarctica for research, logistics, or business-related activities).
This sub-class supersedes the photographic collection records classes in DA65 but has been expanded to include digital records and other forms of multimedia (CDs, slides, negatives, film reels, audio reels, etc).
- 2.5 Multimedia records depicting or describing events that are of no significance:** records depicting events that are not covered by sub-class 2.4, such as team social events or

insignificant subject matter, and/or with no identified business or heritage value. This sub-class applies to multimedia records including photographic, digital images, or video recordings of activities in Antarctica or at Antarctica New Zealand related events that do not hold long-term value.

2.6 Collections Management: records documenting contextual information about artwork collections resulting from artists commissioned by Antarctica New Zealand to travel to Antarctica, or from Antarctic related activities led by Antarctica New Zealand.

Includes the management and de-acquisition of collected works, cataloguing and registers, agreements with artists, related exhibitions or event brochures, insurance valuations and reports.

Excludes artworks or any artefacts (e.g. donated ones) defined as special collections as they are not public records. However, any other artworks or artefacts collected for evidence of the outputs agreed to by the artists are public records. A separate one-off disposal authority will be developed to dispose of these artworks appropriately.

2.7 Collections Administration: records documenting administrative activities to support managing the collections of artworks or artefacts. Includes draft catalogues, invitations to exhibitions or collection-related events, low level correspondence, loans in and out, and administration records for our online digital asset management system.

Value Statement

2.1 Participation with international Antarctica programmes

These records are recommended for retention as a public archive as they provide evidence of one of Antarctica NZ's core functions in the area of co-operating with other countries about managing the Antarctic environment. The preservation and protection of Antarctica is an important area of focus for the New Zealand Government and is at the forefront of government agendas across the world. These records meet Principle 1 of the Public Sector Archival Selection Statement as they document the impact Antarctica NZ has on international relationships on representing the New Zealand government in relation to Antarctica.

2.2 Participation with national Antarctica environmental groups where Antarctica NZ is the lead

These records are recommended for retention as a public archive as they provide evidence of one of Antarctica NZ's core functions which is "to co-operate with other institutions and organisations both within and outside New Zealand having objectives similar to those of the Institute". These objectives are to support environmental protection and scientific research and the associated logistics in Antarctica. These records cover interactions with a large and diverse number of NZ government and non-government agencies. These records meet Principle 1 and 2 of the Public Sector Archival Selection Statement as they document Antarctica New Zealand's communications with its stakeholders including Iwi in alignment with our Māori Strategic Framework, and Vision Mātauranga.

2.4 Multimedia or material depicting or describing significant events

These records are recommended for retention as a public archive under Principle 3 of the Public Sector Archival Selection Statement, because they provide valuable insights into changes in practices of scientific research in the Antarctic Region and changes in environment (such as at Cape Roberts) over time. It also emphasises the 'aesthetic and intrinsic values of Antarctica that are fundamental to both the Antarctic Treaty and the Environmental Protocol'.

2.6 Collections Management

These records are recommended for retention as a public archive as they meet Principle 3 of the Public Sector Archival Selection Statement because they demonstrate how the government contributes to an understanding of New Zealand's cultural connection to Antarctica. In addition, these records provide context to the collected artworks in terms of provenance, so the history of ownership and value of artworks can be maintained appropriately over time. It is important information that can contribute to better understanding of the value and lifetime of the artworks. Currently there are 46 artworks produced. Some were created by prominent artists such as Sir Grahame Sydney and Nigel Brown, ONZM.

Recommended for Retention as Public Archive

CLASS	DESCRIPTION	DISPOSAL
2.1 Participation with international Antarctic programmes	Records documenting Antarctica NZ involvement in international Antarctic programmes and with international Antarctic organisations. Includes representation on Antarctic Treaty organisations such as SCAR and relationships with the United States Antarctic Program (USAP). Includes: - correspondence - meeting records - reports and publications resulting from meetings	Retain as public archives 10 years after last date of action
2.2 Participation with national Antarctic groups where Antarctica NZ is the lead	Records documenting Antarctica NZ involvement in national Antarctic policy, science and environmental groups where Antarctica NZ is the lead agency, or the outcome has a major impact on the delivery of activities. Includes records of forums and groups with a focus on Antarctica where Antarctica NZ is a key member. Examples include: - correspondence - meeting records - reports and publications resulting from meetings	Retain as public archives 10 years after last date of action
2.4 Multimedia or materials depicting or describing significant events	Records depicting significant events or activities. Specifically covers multimedia records or other materials including (but not limited to) digital images and video recordings - depicting significant events or activities, with described or identified business or heritage value.	Retain as public archives 10 years after last date of action

2.6	Collections Management	Records related to collections of artworks or artefacts resulting from artists commissioned to travel to Antarctica or from Antarctic related activities led by Antarctica New Zealand. Includes the management and de-acquisition of collected works, cataloguing and registers, agreements with artists, related exhibition or event brochures, insurance valuations and reports.	Retain as public archives 10 years after last date of action
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Recommended for Destruction

CLASS	DESCRIPTION	DISPOSAL
2.3	Participation with national Antarctic groups where Antarctica NZ is not the lead	Destroy 10 years after last action
2.5	Multimedia or materials depicting events that are of no significance	Destroy 10 years after last action
2.7	Collections Administration	Destroy 2 years after last action

Class 3: Programmes and Projects

The records in this class document the administration, maintenance, monitoring of Antarctica NZ related projects, big or small. This includes projects or programmes carried out in Christchurch as well as those in Antarctica.

The class has been broken into two sub-classes – major and minor.

3.1 Projects (Major): High-level records that document the establishment and maintenance of capital or significant projects or service programmes that either have a key or wide-ranging effect on Antarctica NZ operations, or have ongoing relevance to the business. Includes major projects such as the Scott Base Redevelopment, Event Management System Development, and Antarctic Science Platform.

3.2 Projects (Minor): Records documenting minor and administrative projects that have low-level effects on Antarctica NZ operations. It covers records of establishment, maintenance and reporting of all minor projects. As examples, 'minor projects' describes projects involving minor capital works, or low-level IT projects such as server upgrades.

Value Statement

3.1 Projects (Major)

Records of major Antarctica NZ projects are of long-term value as they document activities of high capital expense, significant employee involvement, or summarise key service programmes that had impact on the way Antarctica NZ carries out its activities and services. These records are therefore recommended for retention as a public archive as they meet Principle 1 of the Public Sector Archival Selection Statement.

Recommended for Retention as Public Archive

CLASS	DESCRIPTION	DISPOSAL
3.1 Projects - Major	<p>High level records that document the establishment / maintenance of capital or significant projects or service programmes that either have a key or wide-ranging effect on Antarctica NZ operations, or have key and ongoing relevance to Antarctica NZ business (e.g. Scott Base Redevelopment, Event Management System Development, Antarctic Science Platform)</p> <p>Examples include:</p> <ul style="list-style-type: none"> - project plans, - budget bids, - business case records, - project reports, - final deliverables. 	Retain as public archives 10 years after project completion (official project sign-off)

Recommended for Destruction

CLASS	DESCRIPTION	DISPOSAL
3.2 Projects - Minor	<p>"Records documenting minor/administrative projects that have low-level effect on Antarctica NZ operations and the day-to day establishment / maintenance / reporting of all projects (e.g. minor capital works, low-level IT projects)</p> <p>Examples include:</p> <ul style="list-style-type: none"> - low-level project charts, - time-management reports, - minor project reports. 	Destroy 10 years after project completion

Class 4: Event Management

This class covers records about the logistics and support services provided to a person or group of people travelling to Antarctica (i.e. an event). This includes scientists carrying out research but will also include other people such as artists, dignitaries, conservation team personnel or support personnel. These records include the immediate science and logistics reports that all personnel are required to complete after travel to Antarctica.

This class also covers the environmental permits (see 4.3 Planning) that are issued to an event. However, these permits, under legislation, are issued by MFAT and the record held by Antarctica NZ is effectively a copy. At the end of each season a compliance report is compiled by Antarctica NZ that summarises all the permits issued and includes how permit holders complied with the conditions in the permit.

The records in this class cover a number of different sub classes:

- 4.1 Accepted proposals and decision making:** All travellers to Antarctica go through the Event Planning and acceptance programme. This class covers the successful applications and proposals by a person or defined group of people to travel to Scott Base, for example, proposals from staff, community engagement personnel, or from scientists to conduct research. The review and decisions on the applications and proposals are made by the Science and Operations team during Event Planning for the season interna. Includes the records documenting the review and final decision made regarding travel to Antarctica.
- 4.2 Rejected proposals and decision making:** This covers the unsuccessful applications and proposals by a person or defined group of people to travel to Scott Base that are not covered by sub-class 4.1. Includes records documenting the review and final decision made regarding travel to Antarctica.
- 4.3 Planning:** Records created as part of planning for a person or group to travel to Antarctica. Examples of records include planning documentation and completed permits.
- 4.4 Transport and deployment:** Records that relate to the transport arrangements for Events between Christchurch and Antarctica.
- 4.5 Operations in Antarctica:** Operational records created in Antarctica in the process of supporting people who have travelled to Antarctica. This includes providing training, support and allocation of vehicles and equipment.
- 4.6 Administrative Reporting:** Low level administrative reporting created by Antarctica NZ staff including reviews by Event staff. These reports are undertaken weekly, or monthly, but are of administratively level only.
- 4.7 Reports by event participants and managers:** Reports documenting the outcomes of the trip to Antarctica, these may be from both Science and non-science related Events, including Manager reports. These are usually (but not limited to) Science, Logistics, Field Reports or Manager's reports that are held internally but some may be published. They document the details of Events and activities that are undertaken on ice.
- 4.8 Control - oversight of events:** Records relating to the oversight of all Events: includes
- schedules,
 - trip planning,

- forecasting.

4.9 End of season review: Review done at the end of each season, where the services provided are evaluated and plans are made for improvements for the following season.

4.10 Compliance reports: these reports are sent to agencies with an interest in Antarctica, including MfE and MFAT, at the end of the season. The reports cover compliance with the environmental permits.

4.11 Passenger movements: Records summary information about the passengers that are transported to and from Antarctica under the Antarctica New Zealand programme; including name, event number, and travel dates. Does not include field movements inside Antarctica.

4.12 Medical assessment records medical records created for assessment of event personnel (staff, visitors, contractors, scientists etc) prior to their deployment to Antarctica. These assessments are performed by the individual's doctor, approved by Antarctica New Zealand's Medical Assessor. The completed assessment record is held in the Event Management System for purposes of deep field (outside helicopter range or at high altitude) medical assistance, medevac, and first aid whilst at Scott Base. Includes first aid assessments undertaken at Scott Base.

Value Statement

4.1 Accepted proposals and decision making

These records are recommended for retention as a public archive under Principle 1 of the Public Sector Archival Selection Statement as they provide evidence of the accountability of the decision making around who travelled to Antarctica.

4.7 Reports by event participants and managers

These records are recommended for retention as a public archive as they meet Principle 1 of the Public Sector Archival Selection Statement as they provide concise evidence of the outcomes of significant activities in Antarctica.

4.11 Passenger movements

These records are recommended for retention as a public archive as they meet Principle 3 of the Public Sector Archival Selection Statement because they provide a summary of all the people (including dignitaries, scientists, artists) that travelled to Antarctica, which will be of great interest to researchers and historians.

The remaining records sub-classes (**4.2, 4.3, 4.4, 4.5, 4.6, 4.8, 4.9, 4.10, 4.12**) relate to the management of the events and are of facilitative, routine operational or administrative value only therefore are recommended for destruction.

Recommended for Retention as Public Archive

CLASS	DESCRIPTION	DISPOSAL
4.1	Accepted proposals and decision making The successful applications / proposals by a person or defined group of people to travel to Scott Base. Includes the records documenting the review and final decision made regarding travel to Antarctica. Examples of records: - completed application forms - supplementary information provided with the application - decision records.	Retain as public archives 10 years after end of season
4.7	Reports by event participants and managers Reports documenting the outcomes of the trip to Antarctica, these may be from both Science and non-science related Events, including Manager reports. These are usually (but not limited to) Science, Logistics, and Field Reports that are held internally but may be published. They document the details of Events that are undertaken.	Retain as public archives 10 years after end of season
4.11	Passenger movements Records summary information about the passengers that are transported to and from Antarctica under the Antarctica New Zealand programme, including name, event number, and travel dates.	Retain as public archives for 20 years and no longer required for research or analysis

Recommended for Destruction

CLASS	DESCRIPTION	DISPOSAL
4.2	Rejected proposals and decision making The unsuccessful applications / proposals by a person or defined group of people to travel to Scott Base. Includes records documenting the review and final decision made regarding travel to Antarctica. Examples of records: - completed application forms - supplementary information provided with the application - decision records.	Destroy 10 years after end of season
4.3	Planning Records created as part of planning for a person/group to travel to Antarctica. Examples of records include: - planning documentation - completed permits	Destroy 10 years after end of season
4.4	Transport and deployment Records that relate to the transport arrangements for Events between Christchurch and Antarctica. Examples include: - correspondence - logistics plans - itineraries.	Destroy 2 years after end of season
4.5	Operations in Antarctica Operational records created in Antarctica in the process of supporting people who have travelled to Antarctica. This includes providing training, support and allocation of vehicles and equipment. Examples include: - training records - equipment allocation sheets - transport allocation sheets	Destroy 10 years after end of season

4.6	Administrative Reporting	Low level administrative reporting created by Antarctica NZ staff including reviews by Event staff. Reports undertaken weekly, or monthly, but of administratively level only. Examples include: - Canteen/bar reports - weekly team meetings	Destroy 10 years after end of season
4.8	Control - oversight of events	Records relating to the oversight of all Events: includes - schedules, - trip planning, - forecasting	Destroy 10 years after end of season
4.9	End of season review	Review done at the end of each season, where the services provided are evaluated and plans are made for improvements for the following season. Records include: - correspondence - data collected - review report	Destroy 7 years after end of season
4.10.	Compliance reports	Compliance reports sent to agencies with an interest in Antarctica, including MfE and MFAT, at the end of the season. The reports cover compliance with the environmental permits.	Destroy 7 years after end of season
4.12	Medical Assessment Records	Medical records created for assessment of event personnel prior to their deployment to Antarctica. These assessments are performed by the individual's Doctor, approved by Antarctica New Zealand's Medical Assessor, and the completed Assessment Record is held in the Event Management System for purposes of deep field (outside helicopter range or at high altitude) medical assistance, medevac, and first aid whilst at Scott Base. Includes first aid assessments undertaken at Scott Base	Destroy 10 years after the last date of action

Class 5: Protecting the Environment

The records in this class are about the management and monitoring of the Antarctic environment in regard to biosecurity, Scott Base, field trips carried out plus the disposal of waste. It includes information on specially managed areas in Antarctica, monitoring of sites of past activity and remediation.

This class includes raw and summary environmental data collected in Antarctica is a valuable record for Antarctic NZ with more than 20 years' worth of data continuing to be actively used for analysis. The class also contains the environmental reports including the "State of the Environment Report", monitoring and control documents, and advice provided to MFAT about issues that could potentially harm the Antarctic environment.

The records in this class covers a number of different sub classes:

5.1 Environment data – processed and summary: includes processed data, whether in detailed or summary form, received from other sources or collected primarily by Antarctica NZ staff, that is used when developing environmental reports on Antarctica for the purpose of meeting Antarctica New Zealand's environmental objectives.

- 5.2 Environmental Reporting:** regarding Antarctica, this includes records produced by Antarctica NZ that feed into international environmental reporting frameworks. Includes our activities conducted in partnership with MFAT and this reporting might feed directly into the Electronic Exchange of Information System (i.e. a central repository developed by the Secretariat of the Antarctic Treaty to exchange information about each Party's activities), or Environmental Impact Assessments to the international Antarctica Treaty secretariat.
- 5.3 Environmental monitoring and control:** records documenting monitoring and controls of incursions in the Antarctic environment. Includes non-native species eradication planning, observations and images.
- 5.4 Area management:** covers the management of specific areas within Antarctica in accordance with the Environmental Management Strategy. Included are the Marine, Antarctic Specially Protected Areas (ASPA) and Antarctic Specially Managed Areas (ASMA).
- 5.5 Advice to MFAT:** Provision of advice to MFAT about environmental issues that could potentially harm the Antarctica environment. This includes subjects such as Tourism, fishing and expeditions.
- 5.6 MPI Inspections:** covers records of inspections carried out by MPI of the waste brought back from Antarctica.
- 5.7 Waste transfer:** covers records of the waste transferred back to NZ from Antarctica.
- 5.8 Sites of past activity:** covers records of past sites in Antarctica (which may or may not have been created by our programme) that require clean-up and an inventory of equipment currently stationed in the field, but will be recovered in due course.
- 5.9 Scott Base impact monitoring:** monitoring of the impact that Scott Base has on the Antarctic environment, this includes use of fuel systems, power generation and water production.

Value Statement

5.1 Environment data - processed and summary

In the previous Disposal Authority, DA401, these records were identified as "Retain Permanently". This is a unique and high value dataset that Antarctica New Zealand produced over time where it is responsible for monitoring requirements. The importance of keeping a complete set of processed data is paramount because it not only sets a benchmark for activities related to the changing environment, climate change, and any human impact in Antarctica, but is the one source of the truth for future analysis of the same data. These series of datasets need to be retained as a public archive as they provide evidential value and support statistical analysis and research about our activities in the Ross Sea Region, and how New Zealand has met its objectives in the region. The datasets are mostly spreadsheet based and include energy use data, historic sites data, marine data, carbon data, cumulative impact data, Scott Base Monitoring data, and Waste Management data. They provide a unique insight, especially where Antarctica New Zealand is conducting the environmental monitoring activities. We therefore now recommend these records for retention as public archives once their active business use is completed as they meet principle 3 of the Public Sector Archival Selection Statement.

5.2 Environmental reporting

These records are recommended for retention as a public archive under Principle 1 of the Public Sector Archival Selection Statement as they provide evidence of the environmental reporting Antarctica NZ feeds into the international environmental reporting frameworks. The information demonstrates how Antarctica NZ, as a lead agency responsible for carrying out New Zealand's activities in Antarctica, supports environmental protection under the Treaty.

5.3 Environmental monitoring and control

These records are recommended for retention as a public archive as they meet Principle 1 of the Public Sector Archival Selection Statement. They provide evidence of the monitoring and controls carried out by Antarctica New Zealand of the incursions of non-native species in the Antarctic environment.

5.4 Area management

These records are recommended for retention as a public archive under Principle 1 of the Public Sector Archival Selection Statement as they provide evidence of the management activities carried out by Antarctica NZ in accordance with our Environmental policy, which is mandated by the Act and Treaty requirements.

5.8 Sites of past activity

Retaining a pristine Antarctic is an important function for Antarctica NZ and its international partners. These records are recommended for retention as a public archive under Principle 3 of the Public Sector Archival Selection Statement as they form a valuable resource for future environmental research and may be of interest to the international community. These sites can often be of historical significance. Records captured include the decision making around the removal and/or protection of these sites.

5.9 Scott base impact monitoring

A pristine Antarctic is an important function for Antarctica NZ and its international partners. These records are recommended for retention as a public archive as they meet principle 3 of the Public Sector Archival Selection Statement because they form a valuable resource for future environmental research and may be of interest to the international community. They show how Scott Base activities impact on the environment and important data around fuel systems, power generation and water production.

The remaining records sub-classes (5.5, 5.6, and 5.7) relate to the management of the Antarctic environment and are of routine operational or administrative value only. Therefore, these are recommended for destruction.

Recommended for Retention as Public Archive

CLASS	DESCRIPTION	DISPOSAL
5.1	<p>Environment data - processed and summary</p> <p>Includes processed data, whether in detailed or summary form, received from other sources or collected primarily by Antarctica NZ staff, that is used when developing environmental reports on Antarctica for the purpose of meeting Antarctica New Zealand's environmental objectives.</p> <p>Examples include:</p> <ul style="list-style-type: none"> - energy use data - historic sites data - marine data - carbon data - cumulative impact data - Scott Base Monitoring data -waste management data 	Retain as public archives 20 years after no longer required for research or analysis
5.2	<p>Environmental Reporting</p> <p>Environmental reports regarding Antarctica, this would include records produced by Antarctica NZ that feed into international environmental reporting frameworks. Includes our activities are conducted on behalf of MFAT and this reporting might feed into the Electronic Exchange of Information System, or Environmental Impact Assessments to the international Antarctica Treaty secretariat.</p>	Retain as public archives 10 years after last date of action
5.3	<p>Environmental monitoring and control</p> <p>Records documenting monitoring and controls of incursions in the Antarctic environment. Includes non-native species eradication planning, observations and images. Examples of records:</p> <ul style="list-style-type: none"> - observation data sheets - eradication reports - images of non-native species 	Retain as public archives 10 years after last date of action
5.4	<p>Area management</p> <p>Records of the management of specific areas within Antarctica in accordance with the Environmental Management Strategy. Included are the ASPA and ASMA areas. Examples include:</p> <ul style="list-style-type: none"> - correspondence - reports - plans 	Retain as public archives 10 years after last date of action
5.8	<p>Sites of past activity</p> <p>Records of past sites in Antarctica that require clean-up and an inventory of equipment currently stationed in the field but will be recovered in due course. Examples of records:</p> <ul style="list-style-type: none"> - equipment inventory - correspondence - records of decision making 	Retain as public archives 10 years after last date of action
5.9	<p>Scott Base impact monitoring</p> <p>Monitoring of the impact that Scott Base has on the Antarctic environment, this includes use of fuel systems, power generation and water production. Examples of records:</p>	Retain as public archives 10 years after last date of action

- monitoring reports
- correspondence

Recommended for Destruction

CLASS	DESCRIPTION	DISPOSAL
5.5 Advice to MFAT	Provision of advice to MFAT about environmental issues that could potentially harm the Antarctica environment. This includes subjects such as Tourism, fishing and expeditions.	Destroy 10 years after last action
5.6 MPI Inspections	Records of inspections carried out by MPI of the waste brought back from Antarctica.	Destroy 10 years after last action
5.7 Waste transfer	Records of the waste transferred back to NZ from Antarctica.	Destroy 10 years after last action

Class 6: Science Management

The function of science management is about managing the strategic direction of the science research being conducted by scientists. The finalised datasets, governance records and working data which have been created by research institutions and science groups funded by the Antarctic Science Platform, or other external funding, and are managed by individual institutions (such as CRIs) are out of scope for this authority. We do not receive or collect that research data, but we do assist and coordinate where it goes.

This function is about the management and support of the research through our programme, and as a National Antarctic Data Centre, collecting metadata, coordinating, and providing a centralised system for managing the raw data that is in the Antarctic Master Directory. We are responsible for generating metadata about the science data, and for coordinating with scientists about how their data is collected and protected.

However, in very few minor instances, we are also the owner of raw science data – e.g. for the Penguin Census. This is an important long-term data set for researchers studying the effects of environmental change. This is covered by 6.4 below.

The records in this class encompass the activities carried out in managing the direction for the science being carried out in Antarctica, which informs the decision-making for Event (travel) applications.

Since about 1998/1999 Antarctica NZ has been capturing Antarctic data in the Antarctic Metadata Directory (AMD) (was referred to previously as Antarctic Master Directory). Under the Antarctic Treaty, Antarctica New Zealand acts as a National Antarctic Data Centre (NADC) for science and data collection undertaken under the Antarctic Programme. A number of monitoring programmes in Antarctica generate data that contribute to larger international monitoring efforts, and in many cases, the measurements (e.g. magnetic, climate, atmospheric, radiation, tidal, locations, etc) made at Scott Base and / or Arrival Heights are the only measurements in this sector of Antarctica, which makes them very valuable and significant.

Responsibilities of the NADC include:

- collation of all data generated through national Antarctic science projects,
- provision of data archiving services that permit the long-term re-use of data,
- collecting metadata and ensuring that research groups (data custodian) upload their data to international/long term repositories (custodial agency) for safe-keeping and data sharing.

The records in this class cover a number of different sub classes:

6.1 Science strategy and system: covers records documenting the high-level decisions about the direction for the science being carried out in Antarctica. This informs the review of Event applications.

6.2 Research meetings and reports: covers information regarding any decisions made about how scientific research should be conducted in Antarctica, including any related monitoring outcomes. This would comprise of any reports and minutes of meetings between Antarctica NZ and the researcher(s).

- 6.3 Research support:** covers records created by Antarctica NZ staff in providing support to research being conducted by external scientists. This includes supporting the setup for the research and how the data can be managed.
- 6.4 Science datasets - finalised:** Records include finalised datasets such as the Penguin Census data, or the Metadata Catalogue and documentation required as part of the NADC role, and through our Data Curator role in the Antarctic Science Platform that are no longer required by the business. Data gathered (or sourced) and aggregated as evidence to support scientific research. This improves New Zealand's capability to detect, predict and adapt to changing conditions and provide evidence to support environmental management and policy decisions. Also includes the code written to allow interrogation and use of the data, and metadata associated with the data. Datasets that have undergone all the quality checks and editing procedures deemed necessary to support a particular output along with their accompanying metadata and the documentation that supports their interpretation.
- 6.5 Science data governance:** Rules, guidelines, and documentation created by Antarctica NZ in its role as NADC to govern the data, including metadata and data dictionaries. It excludes Data Governance records created by Research Institutions and Sciences groups funded by the Antarctic Science Platform.
- 6.6 Science data analysis working records:** Data analysis that may be undertaken by Antarctica NZ on behalf of the Antarctic Science Platform or any other science activities, including the Penguin Census, and analysis documents for the now-closed NZARI (New Zealand Antarctic Research Institution) of which Antarctica New Zealand controlled.
- 6.7 Science data analysis reports - final:** Final reports created by Antarctica NZ as the lead agency of the Antarctic Science Platform, or as a result of any other science activities, including the Penguin Census and analysis for the now-closed NZARI (New Zealand Antarctic Research Institution) of which Antarctica New Zealand controlled.

Value Statement

6.1 Science strategy and system

These records are recommended for retention as a public archive as they document the influence Antarctica NZ has on which research is conducted. This informs which research proposals get authorised by the event applications. These records meet principle 1 of the Public Sector Archival Selection Statement as they provide evidence the impact Antarctica NZ has on the wider scheme of Antarctic research.

6.2 Research meetings and reports

The research meetings and reports, which document how Antarctica NZ supported the scientists during their research, are recommended for retention as public archives. They meet principle 1 of the Public Sector Archival Selection Statement as they document evidence of how Antarctica NZ has been involved in scientific research to fulfil its principal function which is to maintain and enhance the quality of NZ Antarctic scientific research.

6.4 Science datasets - finalised

Antarctica and the Southern Ocean are fundamentally important to the global climate system and have a major influence on New Zealand and global climate. Research in Antarctica and the Southern Ocean is imperative to improve our capability to detect, predict and adapt to changing environmental conditions, and support environmental management and conservation.

Antarctic Data gathered (or sourced) and aggregated to support these intentions via our strategic science policy. These datasets are captured via our programme, and role as an NADC. They are recommended for retention as a public archive when no longer required for research or analysis. The data meets principle 3 of the Public Sector Archival Selection Statement, because it involves Antarctic land and/or resources considered to have community, cultural, or heritage significance. This data will be of long-term interest to researchers.

6.5 Science data governance

These records are recommended for retention as a public archive as they meet principle 1 of the Public Sector Archival Selection Statement as they provide evidence of the governance role Antarctica NZ played as well as the rules that underpinned decision-making and the means to interpret and manage the data.

6.7 Science data analysis reports - final

These records are recommended for retention as a public archive as they as they meet principle 1 of the Public Sector Archival Selection Statement because they provide evidence of Antarctica NZ's impact and outcome of the scientific research activities being conducted in Antarctica.

Recommended for Retention as Public Archive

CLASS	DESCRIPTION	DISPOSAL
6.1 Science strategy and system	Records documenting the high-level decisions about the direction for the science being carried out in Antarctica. This informs the review of Event applications.	Retain as public archives 10 years after last date of action
6.2 Research meetings and reports	Records documenting the science and any decisions made about how the research should be conducted in Antarctica, including any related monitoring outcomes. This would comprise of any reports and minutes of meetings between Antarctica NZ and the researcher(s).	Retain as public archives 10 years after research completion
6.4 Science datasets - finalised	Finalised Science Metadata catalogue datasets with accompanying metadata and documentation when no longer required by the business. Data gathered (or sourced) and aggregated to support strategic science policy development and implementation (e.g. long-term monitoring, seal monitoring, or penguin census metadata). Also includes the code written to allow interrogation and	Retain as public archives 20 years after no longer required for research of analysis

		use of the data, and metadata associated with the data. Datasets that have undergone all the quality checks and editing procedures deemed necessary to support a particular output along with their accompanying metadata and the documentation that supports their interpretation.	
6.5	Science data governance	Rules, guidelines, and documentation created to govern the data, including metadata and data dictionaries	Retain as public archives 10 years after last date of action
6.7	Science data analysis reports -final	Fact sheets Final Reports e.g. Final Bibliography, and penguin census reports	Retain as public archives 10 years after no longer required for research or analysis

Recommended for Destruction

CLASS	DESCRIPTION	DISPOSAL
6.3	Research support Records created by Antarctica NZ staff in providing support to research being conducted by external scientists. Includes: - set up requirements, - working papers, - data - correspondence	Destroy 10 years after research completed
6.6	Science data analysis working records Extracted datasets (e.g. penguin data, or metadata) Spread sheets Database reports / output Data models Data cubes Bibliography workings, not final Bibliography	Destroy 2 years after no longer required for research or analysis

Class 7: Health, Safety, and Welfare (employees)

The records in this class include health monitoring records that are mandated by the Health and Safety at Work Act 2015 to be retained for a long period of time before destruction. These records are not currently covered in GDA 6 which recommends only a period of 5 years before destruction.

The records in this class have been broken into the following sub-classes:

7.1 Health Monitoring Records – Asbestos Monitoring: Records related to asbestos health monitoring of any staff who have had to work near or with asbestos at Scott Base. Includes lung-function tests.

7.2 Health Monitoring Records - General: Health monitoring records (excluding those in 7.1) of Antarctica New Zealand staff or staff that deploy to Scott Base and work with noise or light or other sources that may have effects on health.

Value Statement

No records are recommended for retention as Public Archive because the records have business value only and do not meet any principles of the Public Sector Archival Selection Statement.

Recommended for Destruction

CLASS	DESCRIPTION	DISPOSAL
7.1 Health Monitoring – Asbestos Monitoring	Records related to asbestos health monitoring of any staff who have had to work near or with asbestos at Scott Base. Includes lung-function tests.	Destroy 40 years after last action
7.2 Health Monitoring - General	Health monitoring records (excluding those in 7.1) of Antarctica New Zealand staff or staff that deploy to Scott Base and work with noise or light or other sources that may have effects on health.	Destroy 30 years after last action

Access Recommendations

[Details removed].

General Instructions

These general instructions apply to the entire authority:

- Common Corporate Services public records (Common Human Resources and Personal Records, Financial and Accounting Records, and Administration and Corporate Services Records) as well as common facilitative, transitory and short-term value records covered by the Archives New Zealand General Disposal Authorities (GDAs), are excluded from this schedule except where there is a disposal recommendation that differs from the GDA recommendation.
- Record examples given in this schedule are only representative of record types. They are not an exhaustive list and should not be used as such.
- Records must be kept for the minimum retention period specified in this schedule.
- All classes with the disposal action of 'Destroy' can be securely destroyed once the minimum retention period has passed. However, records do not have to be destroyed at this point and may keep them for longer.
- All classes with the disposal action of 'Retain as Public Archives' can be transferred to Archives New Zealand, ensuring Archives NZ is satisfied with the transfer requirements and conditions. Consult with Archives New Zealand before initiating transfer process.
- This authority is valid for a period of 10 years from date of signing, unless previously agreed with the Chief Archivist

Appendix

External Consultation was undertaken with the following contacts:

- [Name removed] – **Ministry for the Environment (MFE)**, Lead Senior - Information, Records & Knowledge Management, [\[Details removed\]](#)
- [Name removed] – **Ministry of Foreign Affairs and Trade (MFAT)**, Team Leader, KIA, Knowledge, Information and Analytics, [\[Details removed\]](#)
- [Name removed] – [\[Details removed\]](#) **Antarctic Science Platform (ASP)** [\[Details removed\]](#)
- [Name removed] – **Antarctic Heritage Trust (AHT)**, Chief Operations Officer, [\[Details removed\]](#)
- [Name removed] – [Details removed] **Gateway Antarctica**, [\[Details removed\]](#).
- [Name removed] – Director of the **Antarctic Research Centre, Victoria University**, [\[Details removed\]](#)
- [Name removed] – **GNS**, Library Services Team Leader, [\[Details removed\]](#).

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.**

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