

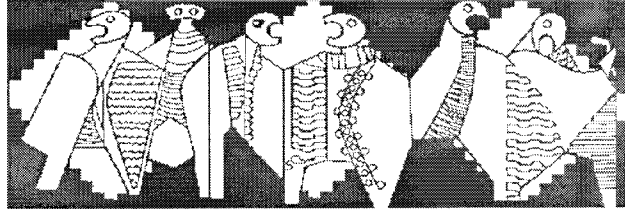
DRAFT

Archives

New Zealand

Te Whare Tohu Tuhituhinga O
Aotearoa

APPRAISAL REPORT:



HEADQUARTERS NEW ZEALAND

DEFENCE FORCE, CLASSIFIED AIR STAFF

FILES

No. 107

JOB NO:	OP 00/15	CONTRACT:	[name removed]
AGENCY:	Headquarters New Zealand Defence Force		Appraisal Section
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1. EXECUTIVE SUMMARY

This is a one-off appraisal of c. 95 linear metres of Air Staff files with a security classification. New Zealand Defence Force asked Archives New Zealand to appraise the records before they were vetted, so that the vetting team could focus only on files approved for transfer.

There was little direct precedent for the disposal recommendations as this is the first time classified defence material has been offered for appraisal, although appraisal of other records are currently underway'. A substantial level of file examination was required, although information was also sought from Defence staff and historians.

Key criteria for the transfer of records includes evidence of the level of Air Force involvement in international defence issues, the agreements and information which determined that involvement, evidence of policy decisions, purchase of major equipment and culture within the service. Other records are recommended for retention because of their informational value in relation to issues of high public interest.

Quantity recommended for <u>transfer as public archives</u> :	c.58 lm (61%)
Quantity recommended for <u>destruction</u> :	c.30.4 lm (32%)

¹See_ job file
01/110

2. APPRAISAL CIRCUMSTANCES

Archives New Zealand was asked to appraise classified Air Staff files from the MNS registered file system which is no longer used. The need for appraisal was prompted predominantly by storage constraints, but also by a desire to arrange for the disposal of older records from a non-current file system. As the files will require vetting by HQ NZDF, a key driver was also the preference to limit the vetting process to files which will be transferred as archives.

3. AGENCY INFORMATION

The records offered for appraisal were created by the Air Staff within the Ministry of Defence Headquarters (formerly known as the Defence Department Headquarters). The Air Staff has not been registered as a separate agency in GAIMS, but a number of RNZAF units are documented. Initially, the Air Arm was administered as part of the Army and underwent a variety of name changes. A change of name to the Royal New Zealand Air Force was approved in 1934³ but the RNZAF was not formally established until 1937 with the passing of the Air Force Act 1937.

Documentation for the 3 controlling agencies of Air Staff is attached as Appendix A.

- AAAL Defence Department General Headquarters ? - 1964
- AALJ Ministry of Defence Headquarters 1964 - 1989
- ABFK Headquarters New Zealand Defence Force 1989 - current (transferring agency).

Headquarters contributes to the development of defence policy (although this now primarily the concern of the Ministry of Defence), particularly where this affects all services, and also provides support services to each of the services. Within Headquarters, each of the services is represented by Air Staff, Naval Staff, and General Staff (Army).

Air Staff are responsible for the development of operational policies and strategies specific to the Royal New Zealand Air Force (RNZAF), as well as overseeing operational matters.

4. METHODOLOGY

Previous transfers of Air Staff records were examined, so that the disposal recommendations made in this appraisal were consistent with recent and similar appraisals (see Section 5 below) but very little precedent was available. The vast majority of disposal recommendations are based on physical file examination. Samples of files from most file sub-series were examined but in some instances

In this report, 'classified' files refers to the security classification given to specific files, which may be Classified, Secret, or Top Secret, while 'unclassified' files refers to files with no security classification. I have used the term 'Registered' files refer to the file system.

The Royal New Zealand Air force: Yesterday and Today. Ministry of Defence, Wellington. 1985. pp. 1-2.

decisions were made from file title e.g. 227/1 files which document RNZAF Organisational Policy.

Christchurch Regional Archivist, [Name Removed], has conducted several appraisals of Air Forces records and was consulted for his opinion on record value. Other people consulted include:

- [name removed], Records Disposal Officer; for information about the records systems and reporting structures.
- [name removed], former RNZAF historian.
- [name removed], Defence Historian; for general guidelines on historical context and potential research value.
- Squadron Leader [name removed]; for advice on the value of technical and equipment files.
- [name removed], Staff Officer Publications, Information, and Drawing Support.
- Squadron Leader [name removed]; for advice on the value of communications and signals files.
- [name removed], Manager - Records, Ministry of Foreign Affairs and Trade.
- [name removed], OIA Researcher / Vetting Panel Member, Ministry of Foreign Affairs and Trade.

During the time this appraisal was being considered by Defence staff, other work was begun by [name removed] to appraise classified files from HQ and General Staff (Army). [name removed] and I have communicated throughout the appraisal process to share information and to ensure that our recommendations are consistent, or that any differences are justified.

5. PRECEDENT

Although there was no direct precedent for the classified files, an appraisal of unclassified files from the same series was conducted by [name removed] in 1995 (job file 1995/110 and Series 7281). This provided an indication of the classes of records which are of long term value.

A schedule has been developed for the Defence Standard File System (SDFS). This provided a general indication of the classes of records which were of long term value, but was not directly applicable to the records offered for appraisal.

6. DESCRIPTION, EVALUATION & DISPOSAL RECOMMENDATIONS

6.1 DESCRIPTION OF RECORD SERIES

Classified files were kept physically separate from unclassified material, but in some cases, the classified and unclassified records share the same file number [the unclassified files are held by Archives New Zealand as Series 7281].

The relationship between series is far from clear. There are two main groups of records; the first runs from 1/- to 55/- files and is essentially the same series as the unclassified files which use the same file numbers. The separation of classified material has been managed in two different ways:

- * a file volume containing classified papers was removed from the main sequence and stored separately. The remaining volumes of that particular file remained with the main sequence. Thus, the classified file fits neatly back into the unclassified files in Series 7281.
- * alternatively, a separate file was maintained for classified documents while unclassified documents continued to be placed on the unclassified file i.e. parallel files were maintained. Thus, the classified file does not fit neatly into the main sequence, rather it contains documents which overlap the date range of volumes in Series 7281. Both classified and unclassified files must be read in conjunction to provide a complete record.

The second group of records runs from 201/- to 260/- files. Although it is possible that these files are simply a later part of the first sequence, there are no files with the intermediary registered file numbers. To add to the confusion, both sets of records cover the same date range, and they include similar subjects or file titles.

One theory is that a separate sequence of file numbers (i.e. the 200/- files) was created for classified information. This theory is supported by the lack of 200/- files in the unclassified file sequence; and by the occasional file which referred to subsequent papers being placed on an unclassified file.

On the other hand, [name removed] stated that each service maintained separate file sequences (the 1/- to 55/- files) which was later replaced by a classification system which covered all three services. The file numbers allocated to Air Staff were the 200/- files. The rationale behind this change was not to create a separate classified files sequence, although this appears to be what happened in practice.

Some of the older files were top-numbered into the new sequence which explains the overlap in date ranges. However, the first sequence continued to be used and I viewed 200/- files which state that subsequent papers were filed on a 30/- file.

Unfortunately the exact system, and the reasoning behind it, remains a mystery. For the purposes of this appraisal I have described two distinct series but the description

if record value is applied to both sequences. All these files were superseded by the Standard Defence Filing System in c.1985.

6.1.1 Classified MNS files (1/- to 55/-)

<i>Series title</i>	Air Staff classified MNS files
<i>Date Range:</i>	1930- 1988
<i>Quantity:</i>	149 files or c. 5 linear metres
<i>System of Arrangement:</i>	Files are registered using a multiple number subject system, but are assigned a unique running number when closed. Files are listed by file number but the physical arrangement of the records is numerical by closed number.
<i>Physical Format:</i>	Split pin files. To document the core role of Air Staff's functions and responsibilities.
<i>Function:</i>	

6.1.2 Classified MNS files (201/- to 260%)

<i>Series title</i>	Air Staff classified MNS files
<i>Date Range:</i>	1937- 1985
<i>Quantity:</i>	c.3300 files or c.90 linear metres
<i>System of Arrangement:</i>	Files are registered using a multiple number subject system, but are assigned a unique running number when closed. Files are listed by file number but the physical arrangement of the records is numerical by closed number.
<i>Physical Format:</i>	Split pin files. To document the core role of Air Staffs functions and responsibilities.
<i>Function:</i>	

6.2 EVALUATION & DISPOSAL RECOMMENDATIONS

Air Staff were responsible for the development of strategies in New Zealand's air defence, and worked closely with numerous international forces. Records created at this level provide high level discussion of New Zealand's involvement in international peacekeeping initiatives, defence issues, defence strategies, and co-operation with the forces of other countries, particularly Australia, Britain, Malaysia, and the United States.

The date range covered by these records includes World War Two, the Korean and Vietnam Wars, and the intervening 'Cold War' years and as such, document times of great historical interest. But the fact that the files being appraised have been classified is not in itself, an indication of the records long term value. The information held in these files ranges from high level intelligence reports to transport and security arrangements for a dignitary's visit. Other files contain only low level technical data

and instructions which required restricted access only when the equipment was in service.

Several file sequences document New Zealand's role in a number of national and international defence committees and contain documents of significant evidential value. However the evaluation of record value was complicated by the way in which documents were circulated and filed. Where an issue affected all three services, records were kept by headquarters and each of the services. Where an issue affected only the RNZAF, the records were kept by Air Staff.⁴ Thus, there may be no one complete set of records and all will need to be retained to ensure that a complete record is maintained.

A detailed examination of files held in the other services, and HQ in particular, was not feasible but a search of the file lists was made to compare record titles and date ranges. It is clear that there is a high level of duplication between the services, and with HQ but in some instances the files held by Air Staff contained earlier records for a committee than the equivalent files held by HQ.

The Ministry of Defence was established in 1964 to provide a co-ordinating defence authority. Prior to this date the services had been reasonably autonomous with information being sent and received directly by each service. With the change in organisational structure the Ministry was expected to be a point through which information would be filtered to the three services, and from which responses from those services would also be made. [Name Removed] advised that in practice, this change happened slowly and that the records took several years to catch up.

Based on this advice, it was thought that it may be possible to consider Air Staff copies of committee records created after 1970 as duplicates, and regard the HQ files as the best set. [Name Removed] however, felt this approach was risky as 'Airmen to Airmen' correspondence may have continued after this date, and the Air Staff files would therefore contain unique information. He also stated that Air Staff often served as New Zealand's representatives on international committees.

I have had several discussions with defence staff and historians, and the Statutory Regulatory Group regarding these records, but there has been no clear indication of where the best set of these records is held. Because the records contain high level discussions of defence issues it has been decided to accept a high level of duplication between Air Staff and HQ records. This should not however, be considered a precedent for similar records held by Navy and General Staff.

Note:

where unclassified files have already been transferred to Archives New Zealand [Series 7281], the classified volume has also been [retained. it](#) is believed that until the 1960s, there was a policy of purging files of specific documents.'

Information from Tony Williams, Records Disposal Officer, HQNZDF.

A manual prescribing the purging of files was sighted by Archives staff during an earlier appraisal. See job file 95/80 vol.8.

RECORDS RECOMMENDED FOR RETENTION AS ARCHIVES.

6.2.1 Records which provide evidence of New Zealand's involvement in international defence organisations, scientific and defence research, theatres of war, and peacekeeping missions.

The RNZAF was part of an international defence strategy through involvement in UN peacekeeping missions, participation in Commonwealth defence initiatives, and the co-ordination of special interest sub-committees (such as scientific research). The minutes and papers of various international committees are documented in Air Staff files.

Although the majority of these records were not created by the New Zealand Government and are in fact received information, those files documenting New Zealand's involvement are recommended for retention as archives. The records provide summary details of the extent of New Zealand's involvement and responsibilities. More importantly, the records also have strong informational value, providing context for the work of the RNZAF overseas and the strategies developed by the Air Force which may not available elsewhere in New Zealand. Some records may be duplicated on HQ files, but this has been difficult to ascertain (see pp. 5-6). Where there are doubts that a complete record is maintained elsewhere, the Air Staff files are recommended for retention.

e.g.	220/1/2	Conferences: United Kingdom: Prime Minister's Conference
	224/6/-	International: Foreign reports
	224/7/-	International: Imperial strategy
	226/1/-	New Zealand Government Commonwealth Defence: Political interests: In South-east Asia
	250/5/4	SEATO: Military Advisers: Meetings

6.2.2 Records which provide contextual information for RNZAF strategies and policies.

These records are largely intelligence reports received from a variety of sources. New Zealand established Defence Liaison Officers in overseas posts who regularly provided information, although these Officers were under the administration of External Affairs for a number of years. Reports were also received from international agencies, and the Ministry of Foreign Affairs/External Affairs via New Zealand's Embassies or the Ministry in Wellington. The vast majority of reports were received from external agencies but it is not feasible to separate these from reports generated by Defence staff as they are often filed together.

I have spoken with staff at the External Assessment Bureau and the Ministry of Foreign Affairs and Trade. Both agencies have confirmed that they hold copies of the intelligence reports they created so the reports held by Air Staff could be considered duplicate.

However, the Air Staff records do not appear to be a complete set of all reports received. Instead, the files contain reports relating to specific areas at specific times, i.e. they contain only records which are relevant to Air Staff operations.

The contents of the intelligence reports are available from other sources, but these files are recommended for retention because they provide details of the information on which New Zealand based its defence strategies, and also provide evidence of what information was considered to be of interest for defence purposes. This level of contextual information could not easily be gleaned from the records of other agencies.

e.g. 208/6/- Intelligence reports
 208/8/11 Intelligence: Miscellaneous reports: RNZAF sources
 224/7/8 Imperial Strategy: Colonies Territorial Defence of Malaysia.

6.2.3 Records which document issues or events of high public or social research interest.

Projects such as nuclear testing continue to raise questions of government accountability and are of high public interest. The one file examined contained mostly low level administrative details, but I find it difficult to justify the destruction of any record relating to nuclear experiments. It is reasonable to expect that the destruction of such records would simply fuel public interest further.

Similarly, other subjects of high interest such as files relating to UFO sightings and political or social issues have been recommended for retention as archives.

e.g. 222/2/4 Scientific Research: Experiments: Operation Grapple Christmas Island
 227/36/15 Organisation: Provost Functions: Homosexual offences
 244/10/1 Miscellaneous reports: Unidentified objects
 212/10/2 Chemical warfare: Gas and anti-gas.

6.2.4 Records which document the relationship between the RNZAF and other agencies or New Zealand's contribution to international programmes.

e.g. 1/1//76 Organisation: Armed Forces support to Ministry of Defence
 20/40/5 Operations: Air co-operation: With Civil organisations
 209/1/3 Air services: Policy: Directions and control of Civil aviation and maintenance organisations
 222/20/8 Scientific research: Projects: The technical co-operation programme (TCCP) - meeting
 223/25/1 Plans: NZ Navy: Policy
 224/1/10 International agreements: Pacific pact - ANZUS

6.2.5 Records which provide evidence of Air Force planning and internal restructuring.

Air Staff were responsible for developing long term strategies and high level planning so this is the best level at which to capture these records. The purchase of major equipment or changes to procedures also had implications for staffing requirements and staff movements. Budget records can also provide evidence of intended spending and direction. Before 1965 budgets were determined by the RNZAF, after this date they were centralised to Defence HQ.

e.g.	51/1/6	Airstaff requirements: For helicopters for NZ armed forces
	221/1/-	Operations: Policy
	223/2/2	Plans: Employment of RNZAF: With Far East Air Force.
	223/19/23	Plans: RNZAF: Review of services requirements
	225/5/1	Finance: Defence: Service estimates
	227/9/4	Organisation: Fighter squadrons: No. 14 Squadron move to Middle East.

6.2.6 Records documenting high level decision making through various New Zealand based committees and working parties.

Air Staff participated in numerous joint committees and working parties which were responsible for high level decision making and recommendations to government. Because Air Staff is part of Headquarters, it could be expected that records of these committees would be best captured at a higher level but this does not seem to be the case (see pp.5-6). Where there are doubts that a complete record is maintained elsewhere, the Air Staff files are recommended for retention.

e.g.	204/1/2	Committees: Post-war planning - Principal Administration Officers Committee: Minutes
	204/2/2	Committees: Chiefs of Staff Committee: Minutes of meetings
	204/16/11	Committees: NZ Committees: Council for Defence Science

6.2.7 Records documenting the development of internal procedures and policies.

Not all procedures are recommended for retention as archives (see below). Major changes to procedures could have significant impact on staffing levels, the locations of units, and the procurement of equipment. Files which document this level of change are recommended for retention.

Records documenting policies and policy development of the RNZAF provide evidence not only of procedures and the support for and expectations of staff, but they also provide evidence of the evolving culture within the service.

e.g.	24/5/3	Operations: Location allowances: Far East personnel
	210/1/32	Personnel: Policy: Services marriage overseas
	210/23/-	Personnel: Courts of inquiry
	229/1/1	Security: Policy: RNZAF policy

6.2.8 Records which document the development of internal training courses

Records which discuss requirements, syllabus, or assessment of equipment etc. for RNZAF delivery of training are recommended for retention. This does not include exercises or overseas courses.

e.g. 206/2/7 Training: Operational: Bombing training policy
206/10/4 Training: Operational: Pilots synthetic training devices.

6.2.9 Records documenting major spending by the Air Force, particularly in relation to aircraft and equipment.

Defence equipment is expensive. While aircraft are arguably the most high profile example of spending, refit programmes and major upgrades of communications equipment for example, also required major funding. Records which document the decision to purchase such equipment provide basic accountability of how and why this money was spent. Similarly, records of equipment disposal provide evidence that the subsequent disposal of equipment was justified and handled responsibly.

In addition, files documenting the evaluation of various equipment, and assessments of suitability to RNZAF requirements also provide information about the functions and direction of the service.

e.g. 46/1/3 Equipment: Hercules aircraft: Procurement ASW
50/15/22 Equipment: Aircraft disposal: Sunderland aircraft
213/1/1 Aircraft: Policy: Disposal of
213/5/- Aircraft: New types
213/12/1 Aircraft: Flying boats: As maritime craft

6.2.10 Records documenting significant events or operations.

A large number of records documenting normally routine practices and operations have been recommended for destruction, but exceptional events have been selected for retention as archives. Such events may have had significant impact on policy, or been of high public interest. In other instances, ongoing problems with specific equipment may be documented. In addition to file examination, the advice of Air Force staff and historians was sought to identify such records.

e.g. 27/6/9 Aircraft engineering: Sioux 47G-3B 1: Bogus parts.
206/2/4 Training: Operational: Far East Theatre Vanguard VI.
207/2/3 Technical services: Servicing and provisioning aircraft: Canberra aircraft servicing and defects
212/2/8 Armament: Ammunition and explosives: Radio frequency hazards
214/8/1 Fuel and oil: Aviation fuel: Purchase of oil company's stock and arrangements for delivery.
227/15/7 Organisation: United Kingdom: RAF Industrial emergency

6.2.11 Records documenting high level disciplinary matters.

Most matters relating to discipline would be handled at the Unit level, however Air Staff maintain records of Courts of Inquiry and breaches of security. Files documenting these higher levels of discipline are recommended for transfer.

- e.g. 210/23/- Courts of Inquiry files.
227/36/7 Organisation: Provost functions: Investigations: Offences against security.

RECORDS RECOMMENDED FOR DESTRUCTION. 6.2.12 Records

which duplicate those held elsewhere.

There is a high level of duplication amongst Air Staff files. Where it is clear that the records are captured elsewhere, either within other Defence record systems or with external agencies, the files are recommended for destruction.

- e.g. 206/18/2 Evasion and escape: Training Officers individual reports.
210/6/27 Visits to New Zealand: Premier of Korea 1967.

6.2.13 Records which document overseas training courses

- e. 206/15/5 Training: RAAF: Australian Joint Submarine School

6.2.14 Records which document routine operational matters, service procedures, and which contain low level maintenance reports and instruction manuals.

A number of files relating to equipment contain low level technical data and information which is only of value while that equipment is in service. This also includes service contracts etc. with civilian organisations. Note: this does not include files where the unclassified volumes have been transferred to Archives New Zealand [Series 7281].

- e.g. 7/124/23 Radio engineering: Pulse transmitters/receivers
219/1/16 Signals: Policy: Crystals procurement and issues
219/15/4 Signals: Telecommunications: UHF ground installations.
221/31/1 Operations: P3 (Maritime) Operational equipment: Support equipment.

6.2.15 Reports and other received information

Includes reports received from overseas which have no direct relevance to New Zealand or are of short term operational value only.

- e.g. 8/19/11 Armament engineering: Ordnance Board proceedings.

201/10/5	Documents and publications: Signals: Allied Communications Publications
204/13/1	Committees: Australia: Cypher security

6.2.16 ***Routine administration and facilitative records***

This includes files documenting visits, training courses, staff relocations.

e.g.	208/7/3	Intelligence: Publications: Distribution and covering memos
	210/5/-	Personnel: Visits away
	201/2/7	Documents and publications: Receipts: Overseas

6.2.17 ***Operations and procedures of short term administrative value***

e.g.	201/11/3	Documents and publications: Secret and confidential documents: safehand movements - despatch and receipt.
	221/43/1	Operations: Fisheries protection: Surveillance - tasking and reports.
	227/36/5	Organisation RNZAF: Provost functions: Investigations - Offences against property.
	229/2/2	Security: Vetting: RNZAF Officers.

RECORDS RECOMMENDED FOR FURTHER APPRAISAL

There are several file sequences documenting international defence exercises. The contents of the files is not consistent but ranges from routine travel arrangements and other administration, to formal reports recommending changes to defence practice and strategy in New Zealand. Unfortunately it is not possible to determine the value without examining each individual file and this was not feasible within the scope of the appraisal project. A small number of files were identified by Air Staff and historians as being of historic value and have been recommended for transfer as archives.

The remaining files are recommended for further appraisal and have been marked 'S' (sentencing required) on the list. The appraisal criteria have been developed, and when approved can be implemented either by Defence staff or by Archives staff under a further appraisal contract. It is expected that the majority of these files will be destroyed.

Please refer to the Schedule and annotated list accompanying this report for specific recommendations:

- Records recommended for transfer to Archives New Zealand are marked 'A'
- Records recommended for destruction are marked 'D'
- Records requiring sentencing according to approved criteria are marked 'S'

7. ACCESS PROVISIONS

[has been removed]

8. TRANSFER CONDITIONS

[has been removed]

9. RETENTION AND DISPOSAL PERIODS

All files offered for appraisal have been closed for at least 15 years. Despite the age of the records, some of the equipment documented continues to be in service, and the files may continue to be of administrative value to the RNZAF until the equipment is upgraded or sold. It is therefore recommended that equipment files be retained for 10 years from the cessation of service, before they are destroyed.

The recommendations for destruction in this appraisal are permissive rather than mandatory meaning that, once approved, these records may be destroyed without further approval from the Chief Archivist. It should be noted that the file registry has a policy of offering all files recommended for destruction to the Ohakea Air Force Museum.

Files recommended for permanent retention may be transferred to Archives New Zealand once vetted and declassified.

10. SUMMARY OF DISPOSAL RECOMMENDATIONS

Records recommended for transfer as public archives:

- records which provide evidence of New Zealand's involvement in international defence organisations, scientific and defence research, theatres of war, and peacekeeping missions.
- records which provide contextual information for RNZAF strategies and policies.
- records which document issues or events of high public or social research interest.
- records which document the relationship between the RNZAF and other agencies and New Zealand's contribution to international programmes.

- records which provide evidence of Air Force planning and internal restructuring.
- records documenting high level decision making through various New Zealand based committees and working parties.
- records documenting the development of internal procedures and policies.
- records which document the development of internal training courses.
- records documenting major spending by the Air Force, particularly in relation to aircraft and equipment.
- records which document high level disciplinary actions.

Records recommended for destruction:

- records which duplicate those held elsewhere
- records which document exercises and training courses
- records which document routine operational matters, service procedures, and which contain low level maintenance reports and instruction manuals.
- reports and other received information.
- routine and facilitative records
- operations and procedures of short term administrative value.

Records recommended for further appraisal:

- Records documenting military exercises.

Quantity recommended for transfer as public archives:

c.58 lm (61%)

Quantity recommended for destruction:

c.30.4 lm (32%)

(7% require sentencing)

Signed:

Date:

[name removed]
Archivist Appraisal
Section Archives New
Zealand



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