





APPRAISAL REPORT

Department of Conservation - National Schedule for Conservancy Offices.

JOB NO:	OP 00/116	CONTRACT:	No. 156
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1. EXECUTIVE SUMMARY

This appraisal develops a National Disposal Schedule for the 13 Conservancy Offices of the Department of Conservation (a schedule for the disposal of Head Office records was approved last year [OP 99/152]). As well as records created by the Department, this appraisal includes a large quantity of inherited records from predecessor agencies such as the Department of Lands and Survey, the New Zealand Forest Service, and the Wildlife Service.

The appraisal has identified key record classes for disposal actions, but because each conservancy maintains a unique file classification system the Schedule has not been aligned to specific classifications. The implementation of the schedule, or 'sentencing' is expected to be carried out at a later date by Archives New Zealand staff from each regional office.

The Conservancies are responsible for the management of operational projects, but are also responsible for conducting scientific research, and thus maintain records of key survey data and research results which is of permanent value. This, and the number of inherited records documenting land management, has meant a high retention rate of the records offered for appraisal.

Quantity recommended for <u>transfer as public archives</u> :	c.1390 lm (47%)
Quantity recommended for <u>destruction</u> :	c.1530 lm (53%)

2. APPRAISAL CIRCUMSTANCES

The Department of Conservation (DoC) is in the process of reviewing its record keeping practices across all offices, to reduce storage costs and to improve retrieval of information etc. A disposal schedule for Head Office records was completed by [name removed] in 2000 [job file OP 99/152]. The development of a national disposal schedule for Conservancy Offices is the next phase of the review, as these offices are responsible for the bulk of records created. Like the Head Office, the Conservancy Offices also hold a large quantity of records inherited from predecessor agencies such as the Department of Lands and Survey, the New Zealand Forest Service, and the Wildlife Service.

3. AGENCY INFORMATION

The Department of Conservation was established under the Conservation Act 1987, bringing together conservation functions from the Department of Lands & Survey, the Forest Service, and the Wildlife Service of the Department of Internal Affairs. Some coastal functions were also inherited from the Marine Division of the Ministry of Transport. The Department's main function is the administration and management of the conservation estate, including national parks, forest parks, marine protected areas, reserves and historic sites. The Department is also responsible for preserving native birds and animals and their habitats, protecting freshwater fisheries, and managing the coastline. See attached GAIMS documentation and the Directory of Information listing for further details [Appendix A].

DoC underwent significant organisational changes in 1997. Before these changes, DoC Conservancies (ie district offices) reported directly to Head Office. In 1997 three regional offices were established. Conservancies now report to the regional offices, which are responsible for operational management. Head Office retains its policy development function, as well as providing some corporate services, such as human resources and finance.

The Conservancies also oversee the operational work carried out by Area Offices, and provide administrative support to the Conservation Boards and to Trusts for specific reserves.

Conservation Boards were established by the Conservation Authority Act 1990. The Conservation Authority acts at a national level while the 17 Conservation Boards carry out similar functions at a regional level. Their key functions include providing advice on the effectiveness of conservation policies and expenditure priorities, approving National Park management plans and conservation management strategies.

Other Boards and Trusts have been established (often by legislation) to manage similar functions in relation to specific reserves e.g.:

- ◇ the Lake Rotoiti Scenic Reserve Board (Māori Purposes Act 1931, Section 18)
- ◇ the Guardians of Lake Wanaka (Lake Wanaka Preservation Act 1973, Section 5).

4. METHODOLOGY

[name removed], the Auckland Regional Archivist, had completed two draft disposal schedules for Conservancy Offices within his area; the Hawkes Bay and the Bay of Plenty Conservancies.

The key purpose of this appraisal was therefore to examine the records of the Wellington Conservancy against the existing draft schedules to determine whether they could easily become a national disposal schedule. The approved schedule for Head Office records was also available for comparison.

After speaking with [name removed], Business Services Manager for the Wellington Conservancy, it became clear that the record classes developed by [name removed] were applicable to the Wellington Conservancy, but that care needed to be taken to ensure that the variety of physical formats involved (such as maps, index cards, and databases, as well as files) were covered. Information about the relationship between DoC Offices and the reporting structures etc. was also lacking.

A brief survey was made of the records held by the Wellington Conservancy Office however most research was undertaken via interviews with Conservancy staff to determine the types of records created and used, and to determine the relationship of these records with those held by other DoC offices.

Because this appraisal is part of a larger review of the whole Department the schedule developed for Conservancy Offices follows the same structure as the schedule approved for Head Office records. Record classes unique to the functions of the conservancies have been added as 'sub-classes' within the main structure of the schedule.

Each Conservancy maintains its own unique file classification system so it has not been possible to align the schedule recommendations with specific file classifications in each office. Instead, the schedule defines broad record classes and disposal recommendations for each of the Conservancy functions. The implementation of these criteria, or the 'sentencing' of the records, will occur as a separate phase of the records review. It is expected that the sentencing projects will be undertaken by Archives New Zealand staff.

People consulted during this appraisal were:

[name removed],	Auckland Regional Archivist,	Archives New Zealand.
[name removed],	Information Resource Centre Manager,	DoC Head Office.
[name removed],	Business Services Manager,	DoC Wellington Conservancy.
[name removed],	Business Services Officer,	DoC Wellington Conservancy.
[name removed],	(ecological - plants)	DoC Wellington Conservancy.
[name removed],	(ecological - wild animals)	DoC Wellington

[name removed],	(ecological - recreation)	Conservancy. DoC Wellington Conservancy.
[name removed],	(ecological - historic)	DoC Wellington Conservancy.
[name removed],	(ecological - concessions)	DoC Wellington Conservancy.
[name removed],	(education)	DoC Wellington Conservancy.
[name removed]	(management resources)	DoC Wellington Conservancy.
[name removed]	Executive Officer for Boards	DoC Wellington Conservancy.

5. PRECEDENT

This is the first appraisal of records from DoC conservancies, so there is no direct precedent of relevance to this schedule, although the work completed by [name removed] has formed the basis of this current job. The schedule for DoC Head Office records has provided a structure for the record classes used but has not provided precedent for disposal actions due to the Head Office/Regional Office relationship. The retention of records at Head Office level has been taken into consideration for the disposal recommendations made at Conservancy level.

6. DESCRIPTION, EVALUATION & DISPOSAL RECOMMENDATIONS

6.1 DESCRIPTION OF RECORD SERIES

Conservancy offices are responsible for more operational aspects of the Department's work, and oversee the work of the various Area Offices and Field Centres. While research and surveys are conducted in the field, the results of this work are recorded at Conservancy level. Therefore Conservancy records are the best source from which to capture key scientific data about the state of New Zealand's flora and fauna which has an ongoing value for future research.

Conservancy records also provide evidence of how the conservation estate has actually been managed, and therefore have long term value in ensuring that the quality of that management can be assessed i.e. they provide accountability of the Department's actions.

Each Conservancy maintains its own unique file system. As well as a main classified file system, the offices maintain a number of other series, including records inherited from predecessor agencies, and unregistered material, particularly for research projects. The actual series concerned differ between offices, but for the purposes of appraisal, the key sets of records held at Conservancy level are:

<i>Series title</i>	Conservancy Registered files
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Date Range: 1987 - current
Quantity: c.1347 linear metres
System of Arrangement: [e.g. in Wellington; alphabetical by prefix then numerically by classification]
Physical Format: Paper files
Function: Document the actions of the office in carrying out its functions.

Series title Lands and Survey Registered files
Date Range: c.1900-1987
Quantity: c.552 linear metres
System of Arrangement: Numerical by classification system.
Physical Format: Split-pin files
Function: Document land ownership and management for each block of land.

Series title National Forest Service Registered files
Date Range: ?1970-1987
Quantity: c.120 linear metres
System of Arrangement: Numerical by classification system.
Physical Format: Split pin files
Function: Documents management of land by Forest Service

Series title Wildlife Service Registered files
Date Range: c.1948-1987
Quantity: 51 linear metres
System of Arrangement: Alphabetical by prefix, then numerical by classification system.
Physical Format: Split pin files
Function: Documents functions of the Wildlife Service

Series title Unregistered records
Date Range: ?1980 - current
Quantity: c.570 linear metres
System of Arrangement: Varied.
Physical Format: Varied: includes loose papers, binders and files, electronic databases, maps and plans, photographs, and video recordings.
Function: Ranges from routine administration to documentation of core scientific data.

6.2 DESCRIPTION OF RECORD CLASSES

The following record classes cover all the record series described above, across all Conservancy offices.

6.2.1 CORPORATE STRATEGY AND POLICY

Strategies and policies for the Department are developed at Head Office, while Regional offices develop broad operational strategies for their area. Copies of policy documents received from Head or Regional Offices by the conservancy are therefore duplicate, and are recommended for destruction.

A smaller number of policies are developed at Conservancy level, particularly manuals and procedures, or for specific projects such as pest eradication. These are recommended for retention as archives.

Recommendations:

- ◇ All copies of strategic and policy documents received from other offices are recommended for destruction.
- ◇ Policies, manuals, and procedures developed by the local conservancy office are recommended for transfer as archives.

6.2.2 LEGAL DEVELOPMENT

With the exception of the Wellington Conservancy (who have access to Head Office legal staff), each Conservancy has a legal adviser on the staff, and maintains records relating to local legal issues. These include legal challenges to refusals to grant a concession or a mining licence, or failure by permit holders to meet the conditions of that permit, i.e. they are issues of local importance. Issues of national significance are handled by Head Office.

These files provide evidence of the development and interpretation of DoC's legislative framework. They are of primary administrative and legal value to DoC, and contain information on contentious issues that resulted in court cases either being brought against the Department, or being brought by the Department. Although there may be some duplication of records at head office and conservancy levels, there is also a clear distinction between national and local issues which are documented at these levels. The legal files held by conservancy offices provide evidence of the cases affecting conservation issues for lands within the boundaries of that office, and as such are recommended for permanent retention.

Recommendations:

- ◇ All conservancy legal files relating to conservation issues are recommended for transfer as archives.
- ◇ All records documenting legal cases received from other offices are recommended for destruction.

6.2.3 CORPORATE ADMINISTRATION

This class includes records from a wide range of routine corporate functions necessary for the administration of DoC, including:

- ♦ meetings
- ♦ reporting and statistical returns
- ♦ instructions and circulars
- ♦ finance
- ♦ human resources and training
- ♦ accommodation and equipment supplies, including information technology
- ♦ general enquiries and Official Information Act requests.

Only a small number of the above records provide long term value by documenting changes to the corporate structure, and core conservation activities; these include minutes of management meetings and staff meetings discussing substantial issues, strategic planning and newsletters produced by the local conservancy office, and establishment files and service schedules.

The remaining records are routine and facilitative in nature, and are recommended for destruction.

Note: Leases of commercial properties for use as DoC offices have been considered routine administrative records and are recommended for destruction but it is important that such leases be distinguished from leases affecting lands administered by the Department (see 6.2.4).

Recommendations:

- ◇ Minutes of meetings and committees for which the local office maintains the official record are recommended for transfer to Archives New Zealand.
- ◇ Strategic or business plans, newsletters, instructions, and circulars created by the local office are recommended for transfer to Archives New Zealand.
- ◇ Classifications cards, pre-1945 Employee Registers, and service schedules are recommended for transfer to Archives New Zealand.
- ◇ Personnel files, time sheets, leave forms, etc. are recommended for destruction.
- ◇ All records documenting finance, accommodation, equipment, training, and routine enquiries and administration are recommended for destruction.

6.2.4 LAND MANAGEMENT

Conservancy records document a variety of actions on individual land holdings. This class includes:

- ♦ files on individual land transactions, granting of easements and other legal rights over conservation land pastoral leases of Crown land.
- ♦ records of protected private land and conservation covenants, which provide for the protection of conservation values on privately owned land.
- ♦ a large number of files and maps documenting land management which have been inherited from the Department of Lands and Survey and the New Zealand Forest Service. Similar files have also been inherited by DoC Head Office.
- ♦ maps which are original drawings or which have been annotated with details of land ownership also provide evidence of the management of the conservation estate over time.

- ♦ registers of land blocks which cross-reference to legal details, SO [Survey Office] number, gazette notices, and file references.

This sequence of records is large, and to a certain extent duplicates records held at Head Office. However, to ensure that a full and complete record of the management of land in the Conservation estate is maintained, it is essential that both Head Office and conservancy files are retained. The files maintained by the conservancy provide greater detail of the actions taken in relation to each block of land, and in recent years the responsibility for land management has devolved to the Conservancy level.

In some instances, the land administered is not owned by DoC, but is leased. Alternatively some Crown lands under DoC control have been leased to private or commercial interests. Records of such arrangements provide evidence of not only land management and ownership, but also of the division of responsibilities between the Crown and other agencies or individuals.

Some land management files may also contain more routine information about the day to day activities of land management, such as maintaining fences etc. Where this low level information is kept separate, it is recommended for destruction.

Note: refer to section 6.2.17 for discussion of the value of concessions and permits for activities on conservation lands

Recommendations:

- ◇ Files, maps, and registers which document land transactions affecting the conservation estate, and which provide evidence of the Crown's ownership and management are recommended for transfer to Archives New Zealand.
- ◇ Policies on land management developed by the local office are recommended for transfer to Archives New Zealand.
- ◇ Policies on land management received from other offices are recommended for destruction.
- ◇ Records containing details of low level land maintenance only are recommended for destruction.

6.2.5 ECOLOGICAL MANAGEMENT

This class consists of records documenting DoC's responsibilities for protecting New Zealand species and ecosystems, and managing animal pests and weeds which is a core role in the work of Conservancies. It is possible that some offices may hold records relating to ecological management which have not been included in the class description below. In such instances, it is recommended that the records be offered to Archives New Zealand for further appraisal.

Because Conservancy offices manage a number of operational programmes, some aspects of this class; ecological management overlap with Class 17: Operations.

Note: some key registers or databases of key data are being developed. The electronic record is often a summary, or is developed with a 'day one' approach. The electronic records therefore do not replace the paper record and it essential that both paper and electronic systems be maintained.

Research, Surveys, and Monitoring:

Although much of the research occurs in the field, the results and collation of data occurs in Conservancy Offices. 'Databases' both paper and electronic, record key data for individual species. These databases are updated with the results of new research and survey results. Some of this information has also been transferred to electronic formats, particularly for endangered species.

Files are maintained for specific research projects and contain details of the administrative arrangements, the work undertaken, and the results. Key data is transferred to the relevant databases. Details of the methodology used and a summary of key data is usually published in a final report which is placed on the file. The report is the last document to be filed and once this occurs the file can be considered to contain working papers (published reports are sent to the National Library on legal deposit). If a final report has not been published (i.e. there is no report on the file) the file should be considered the main source of information and retained.

Scientific Advice:

Advice received from other offices or external sources is placed on the appropriate subject file. Scientific advice is therefore a class which covers advice given by the department in response to queries from the public. It has been regarded as general enquiries and recommended for destruction see section 17.

Wildlife and pest control:

Records documenting the management of wild life includes surveys of populations, research into various methods of management, and eradication programmes. The role of biosecurity is shared with the Ministry of Agriculture and Forestry (MAF); DoC considers the environmental impact, while MAF considers the economic implications for New Zealand.

Survey data is not maintained in the registered file system but on paper and electronic databases¹ (some data is shared with Landcare database known as NIVS). In addition to the data itself, records are maintained to identify the location of 'photopoints' or benchmarks from which the surveys are conducted. The maintenance of the raw data and the records which support that data (benchmarks, photographs, etc.) is important to future monitoring programmes, and should be retained permanently.

Conservancy offices develop strategies for pest eradication programmes and monitor the results. Each programme should result in a final Operational report which summarises the methodology and the results. These reports may be published, or placed in the Head Office library. A database of the reports, known as Pestlink is also being developed. It is expected that this database will include the back-capture of existing operational reports. When the final report is published or placed on the data base, the file can be considered working papers and is of no long term value. It is important however, that the final report be captured before the file is destroyed, particularly for poisoning programmes where there is a long term need for details of the location and use of poisons.

¹ In the Wellington Conservancy the quantity of this data is c.8 linear metres.

Note: for permit applications and consents, see section 6.17.

Recommendations:

- ◇ Policies and information received from Head Office are recommended for destruction.
- ◇ Policies and strategies developed at the Conservancy level are recommended for transfer to Archives New Zealand.
- ◇ All raw data, databases etc, regardless of format, is recommended for transfer to Archives New Zealand.
- ◇ One copy of final research, operational, and project reports is recommended for transfer to Archives New Zealand.
- ◇ Research or project files which include a published final report are recommended for destruction.
- ◇ Research or project files which do not include a published final report are recommended for transfer to Archives New Zealand.

6.2.6 COASTAL & MARINE MANAGEMENT

This class consists of records documenting DoC's role in managing the New Zealand coastline, and marine protected areas through contributing to regional coastal plans, permit approvals, and monitoring.

Policies and strategies for the management of coastal reserves are developed at Head office. Conservancy files on marine protected areas document the creation and management of marine reserves, maritime parks, and other marine protected areas, as well as research, surveys and monitoring.

Note: permit applications are covered by class 17.

Recommendations:

- ◇ Policies and information received from Head Office are recommended for destruction.
- ◇ Policies and strategies developed at the Conservancy level are recommended for transfer to Archives New Zealand.
- ◇ Files documenting the management of reserves and other protected areas are recommended for transfer to Archives New Zealand.
- ◇ Files and other data documenting research on marine life, survey data, and reports are recommended for transfer to Archives New Zealand.
- ◇ Where a final report has been published, working papers are recommended for destruction.

6.2.7 HISTORIC HERITAGE

The Department of Conservation maintains various historic buildings, sites and archaeological sites and collects original records from other departments or previous owners, as well as maintaining records of its own involvement in the management of the site. High level policy regarding historic heritage is developed at Head Office, but management policies for individual sites are also developed at conservancy level, and

provide evidence of the Department carrying out its responsibilities to preserve these sites.

Records documenting the acquisition and disposal of sites are of important evidential value, as are records documenting the location, identification, and subsequent disposal (to appropriate agencies or iwi) of archaeological finds.

Information concerning the construction and methods used for preservation are considered an important part of the site's history and should be preserved. This can include photographs and video recordings of work underway. Records which would be considered routine in relation to commercial offices, such as building maintenance and furnishing records, and contracts with key trades people can become significant in the context of historic sites. Such records can be of informational value to local historians, architectural and archaeological researchers, and those involved in the restoration of historic buildings.

Other maintenance records, such as lawn mowing contracts, continue to be routine and can be destroyed when no longer of administrative use.

Recommendations:

- ◇ Policies and information received from Head Office are recommended for destruction.
- ◇ Strategies and Conservation plans for specific sites, prepared at the local office, are recommended for transfer to Archives New Zealand.
- ◇ All records documenting the acquisition and disposal of sites or archaeological objects, and the construction and restoration of buildings are recommended for transfer to Archives New Zealand.
- ◇ Records documenting low level maintenance and contracts are recommended for destruction.

6.2.8 PUBLIC SERVICES

These files document DoC's role in providing recreational facilities for the public which, at Conservancy level, involves the following functions:

- ◆ resolution and management of conflict between conservation goals and the needs of recreational users.
- ◆ the negotiation of access to conservation areas across private land (under the Walkways Act 1991).
- ◆ management of facilities made available to the public, such as walkways, bridges, viewing platforms etc., and the procedures in place to ensure public safety

General strategies are developed at Head Office level, but more detailed strategies are also developed at Conservancy level. Minutes of meetings and correspondence with stakeholders provide evidence of the Department's management and resolution of any conflict in user interests that arise. The procedures and monitoring systems developed for public facilities are essential to the Department's accountability in relation to public safety.

It should be noted that purely operational files relating to visitor services are not included in this class, as they are part of Class 17: Operational Administration.

Recommendations:

- ◇ Memoranda of understanding and other contracts between DoC and stakeholders are recommended for transfer to Archives New Zealand.
- ◇ Policies and strategies developed by the local agency for the management of recreational use are recommended for transfer to Archives New Zealand.
- ◇ Policies and strategies received from other offices are recommended for destruction.
- ◇ Records documenting liaison with stakeholders for the management of recreational use are recommended for transfer to Archives New Zealand.
- ◇ Files documenting the development of procedures and monitoring of public facilities and safety are recommended for transfer to Archives New Zealand.

6.2.9 CONSERVATION AWARENESS

This class consists of records documenting DoC's role in raising public awareness of conservation issues, both within government, and in the wider community. As well as managing lands within the conservation estate, DoC also has responsibilities over private and local authority lands to prevent the spread of pests or protect indigenous species. A substantial part of this role is documented in files relating to the Resource Management Act, as DoC often makes submissions on district plans, resource consents and water conservation orders issued under this Act. Files in this class also include policies and planning for educational and promotional activities, research into public attitudes on conservation, advocacy on issues such as forestry, water and soil conservation, and ocean fisheries, and commercial sponsorship of conservation programmes.

Submissions or advocacy on larger national issues are more likely to be handled by Head Office and captured by their records. Submissions relating to the Resource Management Act are discussed below.

At Conservancy level the promotion of conservation awareness occurs through specific programmes such as the Conservation Awards (which are determined by Conservation Boards), speeches given by staff at specific events, press releases, and resource material which may be provided for schools and other groups.

Speeches and press releases provide useful summaries of the Department's activities or position on specific issues, at any given time. They also provide key details such as the names of recipients of the Conservation Awards.

Files documenting the Awards, events and production of resource material are largely facilitative in nature and are of no long term value.

Resource management is an important aspect of this class. The Department makes submissions to resource management applications and to the long term planning of local authorities. The value of the submissions varies according to the nature of the project.

Submissions made by DoC in response to councils' Five year Strategic Plans for resource management are often summaries of the more detailed information held by the department. Although the submission will also be captured by the local authority's records, the background information is of long term use to the department for future applications. It also provides long term evidence of the central government's role in ensuring that native flora and fauna, and historic sites are protected.

The department also receives Annual Plans from local authorities but often no submission is made by DoC because these plans are looking at short term issues only. They have therefore been considered received information and are of no long term value.

DoC is required to assess all applications under the Resource Management Act which are much more varied in value. The records created are also quite substantial and there is no obvious distinction between low level or routine applications, and applications which have significant implications or which set precedence. Overall, the records are largely routine and are recommended for destruction, but with a proviso that any application considered by the office to be exceptional should be offered to Archives New Zealand for further appraisal.

Recommendations:

- ◇ Policies and information received from Head Office are recommended for destruction.
- ◇ Policies and strategies developed at the Conservancy level are recommended for transfer to Archives New Zealand.
- ◇ Speeches and press releases made by staff of the local agency are recommended for transfer to Archives New Zealand.
- ◇ Files containing routine administrative arrangements for specific events and Awards are recommended for destruction.
- ◇ Submissions by the local agency to local authority Resource Management Plans are recommended for transfer to Archives New Zealand.
- ◇ Local Authority Annual Plans received by the local agency are recommended for destruction.
- ◇ Applications under the Resource Management Act are recommended for destruction, with the exception of exceptional applications which create precedent, or are of high public interest. Such exceptional applications should be offered to Archives New Zealand for further appraisal.

6.2.10 TREATY OF WAITANGI

Each Conservancy has Kaupapa Atawhai or Maori Liaison Officers who work closely with local iwi to ensure that land, flora, and fauna are managed in partnership. General enquiries about the type of information records contain have been directed to Kaupapa Atawhai through [name removed]. It is possible that their records may contain knowledge collected from Maori which will require access restrictions (see Section 7), although it has been stated by [name removed] that such traditional knowledge may be discussed, it was unlikely to be written down and filed.

Records created by the Kaupapa Atawhai provide evidence of the Department's processes for working with local iwi and for meeting their Obligations to Maori under the section 4 of the Conservation Act. As well as providing evidence of how the lands and flora, and fauna were managed, and the needs of Maori met. Where these two aims are in conflict, the records provide evidence of the resolution process and the agreements reached.

Recommendations:

- ◇ Memoranda of understanding and other contracts between DoC and iwi groups are recommended for transfer to Archives New Zealand.
- ◇ Policies and information received from Head Office are recommended for destruction.
- ◇ Policies and strategies developed at the Conservancy level are recommended for transfer to Archives New Zealand.
- ◇ Files which document liaison with Iwi groups and management of resources, flora and fauna, and wahi tapu are recommended for transfer to Archives New Zealand.
- ◇ Files which contain only administrative arrangements for hui or routine correspondence are recommended for destruction.

6.2.11 INTERNATIONAL ISSUES

These files generally consist of information received from the overseas body, the relevant NZ government agency, or another DoC office and so are part of the Information Received class. An important exception is where staff of the local agency have presented papers at conferences, or made submissions to international committees. Such records provide evidence of the Department's direct involvement in international forums and the presentation of conservation issues from a New Zealand perspective.

Recommendations:

- ◇ Conference papers or submissions presented by staff of the local agency are recommended for transfer to Archives New Zealand.
- ◇ All records at Conservancy level documenting international issues are recommended for destruction.

6.2.12 ADMINISTRATION OF TRUSTS & BOARDS

This class consists of records relating to DoC's administration of various trusts and boards, including the conservation boards, and Trust Boards, which have often been established by legislation. The Department may have a role on the board and provides administrative support. The Conservancies therefore maintain the official record sets of these Boards. During interviews with DoC staff a question was raised concerning the Department's ownership of the Boards' records. As the Boards are established under separate legislation, it may be argued that they are separate entities. On the other hand, since the Department maintains the Board records it also makes sense that the Department should take responsibility for the long term management of the records.

It was decided that each Board should be contacted to outline the appraisal process, the recommendations that have been made, and to seek their consent to the application of the schedule to their records. A letter has been drafted by Archives New Zealand, and distributed by [name removed] for this purpose. It is expected that the Boards will be contacted as each Conservancy begins to implement the schedule. Class 12 of the schedule relates specifically to these Boards and Trusts and includes the proviso that the Board or Trust concerned should give their consent before the disposal recommendations are implemented.

Although established by various pieces of legislation, the role of the boards is essentially the same; to manage conservation issues and strategies for specific areas of land. The minutes and correspondence of the Boards provides evidence of this process, and of the shared responsibilities between the Crown, iwi, and other stakeholders.

Note: The appointment files for Conservation Boards etc. are maintained by Head Office.

Recommendations:

- ◇ Files detailing the structure and functions of the Board, which are not captured at Head Office are recommended for transfer to Archives New Zealand.
- ◇ All agendas and minutes of meetings are recommended for transfer to Archives New Zealand.
- ◇ Files containing only routine administrative arrangements or received information are recommended for destruction.

6.2.13 OMBUDSMAN

Cases referred to the Ombudsman are largely handled by Head Office. In addition, all claims received by the Ombudsman are transferred to Archives New Zealand under schedule [job file 92/66]. Therefore any records relating to these cases held at conservancy level duplicate information held elsewhere.

Recommendation:

- ◇ All records at Conservancy level documenting complaints to the Ombudsman are recommended for destruction.

6.2.14 EXTERNAL RELATIONSHIPS

These files document DoC relationships with various external agencies, ranging from key stakeholders such as Federated Mountain Clubs and the Royal Forest and Bird Society, to other government departments such as the Ministry of Foreign Affairs and Trade. A similar class of records is also maintained by Head Office, but conservancy files document relationships at a local, rather than a national level.

The value of the files varies; some contain correspondence discussing key conservation issues and policies, while others contain information received from the outside agency on an FYI basis (see class 16).

Recommendations:

- ◇ Files which contain discussion of key issues with outside agencies concerning issues unique to the local office, are recommended for transfer as archives.
- ◇ Files which contain only invitations and received information are recommended for destruction.

6.2.15 INTERNAL LIAISON

Internal correspondence and memos relating to key policies or issues are placed on the relevant subject files. Remaining documents are either duplicates or of a routine administrative nature.

Recommendation:

- ◇ All internal liaison records are recommended for destruction.

6.2.16 INFORMATION RECEIVED

This class consists of files consisting primarily of information received from outside agencies or other sections within DoC.

Recommendation:

- ◇ All files containing only received information are recommended for destruction.

6.2.17 OPERATIONAL ADMINISTRATION

This class consists of records which document DoC's core day-to-day functions at a conservancy level. The class includes several distinct groups of records which are outlined below. Any records detailing policies and procedures for these functions are covered by classes 1, 5, and 6.

Permit Applications and concessions

These files document individual applications for permits relating to wildlife management under various Acts administered by DoC (e.g. whale watching or sustainable forestry) or to concessions to establish activities on DoC land, such as eco-tourism ventures. Other files contain DoC submissions for applications administered by other government agencies e.g. Mining licences. These submissions are captured with the records of other government agencies.

The individual files include details of the application and any conditions placed upon the granting of the permit or concession, as well as subsequent monitoring to ensure all conditions are complied with. Once the permit has expired these records are of no administrative use nor do they have any long term informational value. If the conditions of the permit were breached, the case would be documented in other files detailing any legal action taken.

Operational Management Records for Visitor Services and Public Awareness

At an operational level, surveys of visitor numbers and impact reports are conducted, with summaries of results being sent to Head Office. Requests for information and publications are also received and answered. These are low level administrative functions which have no long term value.

Records relating to site interpretation contain research notes, copies of information from other agencies, and correspondence regarding the manufacture and presentation of the information panels. They also contain more routine papers such as orders for materials, and any ongoing maintenance. Documentation of how significant sites are presented to the public at any given time provide evidence of the Department's work

to promote such sites, as well as providing information about whose stories were told. Changes in the way sites are presented over time can also provide evidence of changing values in role of conservation. It will, however, be difficult to separate documentation of the interpretation process from the more routine construction and maintenance details. (please note that site interpretation does not include directional signs and track names etc.)

After much discussion with [name removed] and [name removed] in the Satutory Regulatory Group it has been decided that site interpretation files should be retained as archives, but files containing only routine records such as invoices, maintenance records etc should be destroyed. Files documenting the placement, building and maintenance of directional signs should be considered part of class 3.11 i.e. routine equipment, and destroyed.

Fire Protection Operations

Policies and strategies are developed at Head Office. At Conservancy level files document training programmes and exercises, purchase of equipment, etc. This information is of no long term value. Any reports concerning actual fires or issues highlighted by training exercises would be submitted to Head Office and captured with their records.

Publications

DoC produces a wide range of publications, including scientific research reports, instructional guidebooks, maps of walkways and National Parks, and recovery plans for endangered species. These files document the publication process, particularly the editing of drafts. In theory (and usually in practice) all DoC publications are placed in the National Library under legal deposit.

Contracts:

All contracts and correspondence for routine services such as IT support, fencing, or spraying are low level administrative records and have no long term value (note: details of spraying programmes should be captured with project files, see class 6.2.5).

Recommendations:

- ◇ All records relating to licence or permit applications and concessions are recommended for destruction.
- ◇ All records of visitor surveys and visitor impact reports are recommended for destruction.
- ◇ Files documenting site interpretation (e.g. research, design, photographs of sites or final proof of panels and any consultation processes) are recommended for transfer to Archives New Zealand.
- ◇ Files relating to site interpretation which contain only routine papers, administrative or maintenance details etc, are recommended for destruction c.f. Class 3.
- ◇ All records relating to training or equipment purchase for fire fighting are recommended for destruction.
- ◇ All files containing drafts and routine administration for publications are recommended for destruction.

- ◇ All contracts and associated correspondence for routine services are recommended for destruction.

7. ACCESS PROVISIONS

[has been removed]

8. TRANSFER CONDITIONS

[has been removed]

9. RETENTION AND DISPOSAL PERIODS

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.

Where records have an ongoing administrative use, they may be retained by the Department. If the records concerned are over 25 years old (e.g. inherited Lands and Survey files) each office may wish to consider entering into a Deferred Deposit Agreement with Archives New Zealand.

10. SUMMARY OF DISPOSAL RECOMMENDATIONS

Total recommended for transfer as public archives: c.1390 lm (47%)
Total recommended for destruction: c.1530 lm (53%)

Total recommended for transfer to Auckland Regional Office.	c.485 lm
Total recommended for transfer to Head Office Wellington.	c.385 lm
Total recommended for transfer to Christchurch Regional Office.	c.270 lm
Total recommended for transfer to Dunedin Regional Office.	c.250 lm

Signed:

Date:

[name removed]
Archivist
Appraisal Section
Archives New Zealand