

APPRAISAL REPORT

*Department of Conservation
Head Office Registered Files*



JOB NO:	OP 99/152	CONTRACT:	# 96
AGENCY:	Department of Conservation	ARCHIVIST:	[Name Removed]
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1.0 EXECUTIVE SUMMARY

This report covers a class based disposal schedule for the Head Office registered files, and personnel files, of the Department of Conservation. Most files date from 1987 onwards, although there are a large number of reserves files, some of which date back to the turn of the century. The main criteria for retaining records is their value as evidence of the Department's stewardship of New Zealand's natural heritage. As these are Head Office registered files, there is a high proportion of policy files, as well as a significant group of files on land management. For this reason, the retention rate is unusually high.

Quantity of records covered by an appraisal decision:	c.454 linear metres
Quantity recommended for <u>transfer</u> as public archives: (%)	c.333 linear metres (73%)
Quantity recommended for <u>destruction</u> : (%)	c.121 linear metres (27%)

2.0 APPRAISAL CIRCUMSTANCES

National Archives was contacted by DoC in November 1999 to establish a schedule for the ongoing disposal of their Head Office registered files. Since their establishment in 1987 DoC have built up a substantial quantity of files, none of which have been appraised. The Department is now keen to have the disposal of their files managed properly. There is also a need to reduce the quantity of records held, as

some sections of Head Office are due to vacate their premises in Tory St before the end of June.

3.0 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 for further details.

DoC underwent significant organisational changes in 1997. Before these changes, DoC conservancies (ie district offices) reported directly to Head Office. However, 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.

4.0 METHODOLOGY

The appraisal began with an analysis of the structure and functions of DoC, in order to determine the key archival records the Department is producing. Background research, interviews with DoC staff and outside stakeholders, and file examination was then used to determine the classes of records and the appropriate disposal decisions.

A class based schedule was developed for the registered files as this seemed the best approach for the current filing system. DoC operates an alphanumeric filing system, where the alpha prefix relates to the function of the sub-series, and the number is simply a running number given to each file. This makes it difficult to apply a traditional classification based schedule to the filing system as the file numbering within an alpha prefix is unstructured and unpredictable. The schedule identifies seventeen different classes of records, with a single disposal action covering each class. The classes are based on an analysis of the functions of DoC, with each class containing records of a similar function and value.

An implementation guide has been developed which maps the classes to DoC's current filing system. A list of current files has also been annotated with disposal actions ("A" for archive or "D" for destroy) to assist in implementation.

DoC are also reviewing their current file structure, so a class based schedule gives them the flexibility to change the file structure without invalidating their schedule. However, if the file structure is changed a new implementation guide would need to be developed.

The following DoC staff were consulted as part of the appraisal process:

[Name Removed]	External Relations Manager	External Relations Division
[Name Removed]	Conservation Services Levy	Science & Research
[Name Removed]	Publications Editor	Science & Research
[Name Removed]	Senior Land Advisor	Legal Services Unit
[Name Removed]	Manager, Systems and Support	Human Resources Group
[Name Removed]	Senior Land Advisor	Legal Services Unit
[Name Removed]	Acting Manager	Business Planning
[Name Removed]	Information Officer	Information Resource Centre
[Name Removed]	Senior Technical Support Officer	Central Regional Office
[Name Removed]	Information Officer	Information Resource Centre
[Name Removed]	Solicitor	Legal Services
[Name Removed]	Contracts Officer	Science & Research
[Name Removed]	Scientist	Biodiversity Recovery Unit
[Name Removed]	Executive Officer	NZ Conservation Authority Unit
[Name Removed]	Publications	Science & Research
[Name Removed]	Archaeologist	Science & Research
[Name Removed]	Finance & Administration Manager	Science & Research
[Name Removed]	Public Awareness Manager	External Relations Division

[Name Removed], a member of the Executive Committee of ECO (an umbrella group for Environmental and Conservation Organisations) contributed an outside perspective on the appraisal.

5.0 PRECEDENT

There have been no previous appraisals of DoC Head Office registered files. However, some precedent was still useful. DoC hold many reserves files which were inherited from Lands & Survey, and National Archives already holds a large number of Lands & Survey reserves files, mostly transferred before 1987. Although the appraisal reports from this period are fairly brief, it was clear that all reserves files appraised in the past had been recommended for retention.

6.0 DESCRIPTION, EVALUATION & DISPOSAL RECOMMENDATIONS

6.1 Department of Conservation Alpha-numeric Files

<i>Date Range:</i>	1987-2000
<i>Quantity:</i>	c.450 lm
<i>System of Arrangement:</i>	Alpha-numeric (Alpha prefix indicates the function of the file sub-series, after this a running number is applied)
<i>Physical Format:</i>	Colour-coded files

Function: **Central filing system for DoC Head Office**

Value and Recommendations:

New Zealand is a country with a strong interest in conservation issues. New Zealand's scenery and landscape is a source of national pride, and our "clean, green" image an important part of our identity. As an isolated groups of islands, New Zealand is home to a wide range of unique species of wildlife, many of which are now threatened with extinction due to destruction of their natural habitats and the introduction of new species. The Department of Conservation is the government agency which is charged with the stewardship of New Zealand's natural heritage. The records examined here are the key policy and operational files which provide evidence of the Department's success, or otherwise, in fulfilling these obligations. The retention rate is, therefore, fairly high, due to the need to retain policy development and strategic planning files for the Department's core conservation functions; as well as operational files relating to land management and the protection of endangered species.

6.1.1 Corporate Strategy & Policy

This class consists of records which document the corporate strategies, policies, procedures and organisation of DoC. They include records created by the Executive Management Team, files on departmental restructuring, ministerial briefings, and records documenting the development of manuals and procedures. Also included are high level financial policies, such as the use of cost recovery and "user pays" charges; and high level human resources policies, such as industrial relations and health and safety.

These records are high in evidential value, as they provide evidence of how DoC was organised, its policies, procedures and strategic direction. The records would be of value to historians of public policy (especially in light of the substantial reforms undertaken by DoC following the Cave Creek tragedy), or to those writing a history of the Department, as well as to DoC itself. All files are recommended for retention as archives.

Eg: MAN 9 Management Planning - Conservation Management Strategies - Bay of Plenty
 QCM 14 Quality Conservation Management - Change Management - Communications
 FUD 6 Funding - Trust Funds - QEII National Trust
 IND 65 Industrial - CEC 4 Bargaining Round Information 1995/96

6.1.2 Legal Development

This class consists of files documenting the development of legislation administered by DoC, including legal opinions and delegations of authority under that legislation. Prosecutions for breaches of conservation legislation, and other court cases involving the Department, also form part of this class. These include legal challenges to

refusals to grant a concession or a mining licence, or actions brought against DoC by pressure groups such as the Kaimanawa Wild Horse Preservation Society.

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 being brought against the Department. All records in this class are recommended for retention as archives.

It should be noted that there is likely to be a significant amount of duplication between the legal claim files, and Crown Law Office and court files. However, DoC's files also concern legal claims which were settled outside court, and in such cases these will be the primary source of information. As it is not easy to identify which cases were settled out of court, all files are recommended for retention as archives. The evidential value of these records outweighs the potential for duplication of information.

Eg: ACT 166 Historic Places Amendment Bill 1996
LEG 142 Legal - Waitomo Glowworm Cave & Aranui Cave Licences
LGC 72 Legal Claims - Commerce Commission, Mt Cook & Ansett Group
PRU 31 Prosecutions - Bay of Islands Operators General

6.1.3 Corporate Administration

This class includes records from a wide range of corporate functions necessary for the administration of DoC, including finance, human resources, information technology, publications, and Official Information requests. High level policy and planning files relating to finance and human resources are not included in this class.

Most of these records are standard administrative material common to most government agencies. However, it is worth commenting on two groups of records within this class.

Official Information Requests

These files concern requests for information under the Official Information Act, some of which were appealed to the Ombudsmen's Office. While many of the files are on high profile public issues, the information they contain on these issues is duplicated on other DoC files. The files therefore only document the process of applying for information under the OIA. Those cases which were appealed to the Ombudsmen would be more appropriately captured on the Ombudsmen's case file.

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.

However, a few DoC funded research projects result in a final report which, for whatever reason, is not published. These unpublished reports are usually kept in the DoC library, but may also be placed on the publication file. Publication files on unpublished research reports are therefore excluded from this class, as are files on copyright policies. It is recommended that DoC develop a procedure for identifying the unpublished research reports so that a record of this research is retained.

All records in this class are of short term administrative value only. These files are recommended for destruction.

Eg: FIN 10 Finance - Business Planning Review Team
EST 126 Establishment - Nelson
OST 28 Overseas Travel - Hugh Logan Director-General to USA
SAD 174 Science Administration - S&R Boat "Taranui"
EQU 1 Equipment - Policy
OIA 105 Official Information Act - Trevor Mallard - Resignation of West Coast Regional Conservator

6.1.4 Land Management

This class consists of records which provide evidence of DoC's land management functions. This includes policy files documenting such statutory functions as land acquisition and disposal, the investigation of new national parks, and the granting of easements and other legal rights over conservation land; as well as files on individual land transactions, pastoral leases of Crown land, major roading proposals, and policy and planning files relating to fire fighting and fire prevention. However, by far the largest group of records in this class are the reserves files.

Reserves Files

These files were inherited from the Department of Lands & Survey in 1987. Most of the files have been top-numbered into DoC's filing system, although there are a substantial number that still retain their old L&S file numbers. There are approximately 4500 reserve files, each one covering a separate reserve. The files document the legal status of the land, the purpose for which it is held, and the history of the reserve. Some files also document the means of acquisition of the land, and its management by the Crown¹. The files date back to around the turn of the century.

This class also includes records of protected private land and conservation covenants, which provide for the protection of conservation values on privately owned land. Such mechanisms are legally binding in perpetuity, and so the ongoing legal value in these records is of a similar magnitude to the reserves files.

Concessions

¹ Most Recreation and Scenic reserves, although Crown land, were managed by a local council or a special board, and so files on these reserves contain little information on how they were managed. Other reserves, such as Nature reserves, were managed directly by the Lands & Survey Department, and so these files contain detailed information on the management of the reserve.

Also included in this class are files on the granting of concessions to organisations or individuals who want to undertake commercial activities (such as tourism, mining, or film production) on conservation land. The granting of specific concessions is documented at conservancy level, and so Head Office files tend to contain ministerials and other high level correspondence dealing with disputes or problems with the concession system.

Many records in this class (particularly the reserves files) have considerable legal value in providing evidence of the ownership and status of conservation lands. They protect a public property right, and provide evidence of DoC's management of the conservation estate. They are of ongoing administrative value to DoC, and are likely to be used by historians of land alienation and conservation, Waitangi Tribunal claimants, and others seeking to establish rights to land. Some files also contain information of value to local historians and business historians (in the case of concession files).

It should be noted that there is likely to be substantial duplication between the pastoral lease files and LINZ's records, as pastoral leases of Crown land are administered by LINZ. However, DoC is required to be consulted when a leaseholder applies for a consent to undertake non-pastoral activities, and is also involved in the process of tenure review, which may result in some leasehold land coming under the Department's control. This input is considered to be significant enough to warrant the retention of these files as evidence of DoC's role in the administration of pastoral leases.

All records in this class are recommended for retention as archives.

Eg: RES 1119 Reserves - Scenic - Shag Rock
AES 14 Access - Marginal Strips
INV 3 Investigations - Northland (Kauri) National Park
COC 25 Concessions - Wingnut Films - Lord of the Rings

6.1.5 Ecological Management

This class consists of records documenting DoC's role in protecting New Zealand species and ecosystems, and managing animal pests and weeds. One of the largest groups of records in this class are species and habitat management files, which document the management of a particular threatened species or ecosystem. These files contain information on the preparation of recovery plans for each species (which are later published), the prioritisation of research funding, the implementation of the plans, and their success or otherwise. There are also files on the management of protected species in captivity, the management of offshore islands (which play a crucial role in the protection of endangered species), the development and implementation of ecological surveys, the planning and prioritisation of DoC's scientific research programme, and the setting of Conservation Service Levies, which are levies paid by commercial fishermen to fund conservation work with marine mammals and seabirds. There is also a substantial group of files on the control of

animal pests and weeds, including policy setting, fund allocation, methods used in pest control, and useful summaries of pest control operations.

These files are strong in evidential and accountability value, as they provide evidence of DoC's role in the protection of endangered species and ecosystems, thereby holding the government accountable for its stewardship of New Zealand's unique biological resources. There is likely to be significant historical interest in this aspect of DoC's work, and a knowledge of how recovery plans and pest control operations have worked in the past will also be important for DoC in the future. Issues such as the use of 1080 poison, and the culling of the Kaimanawa wild horse herd, have often been the subject of considerable media attention and public controversy, and so are likely to continue to attract interest from researchers. The records are also of informational value to ecologists in that they document population numbers and distribution of New Zealand's unique species over time. All records in this class are recommended for retention as archives.

Included within this class are several groups of files of more marginal value. The first, and smallest, is a file sub-series on Wild Animal Control [WAC] which has been used very inconsistently. Most WAC files are very thin, and contain papers from around 1996-97 only. Issues covered by the WAC files are more consistently documented in the Animals files [ANI]. However, it is considered necessary to retain all WAC files, as this sub-series may be more regularly used in the future, and there is no logical basis for excluding these files from this class.

Management of Protected Species in Captivity

These files are also of more marginal value, as most of the files consist of permits allowing zoos, wildlife centres, or private enthusiasts to hold protected species for captive breeding and/or educational purposes. These permits are quite routine in nature. However, the same files usually also contain information on the planning of captive breeding programmes, including the purpose of holding protected species in captivity. For this reason, the files are considered worth retaining.

Scientific Advice

The other marginal group in this class is the scientific advice files. These files document scientific advice provided by Science & Research staff to other sections of DoC (such as conservancies or policy makers in Head Office), or to outside organisations. Such advice does not usually involve undertaking any original scientific research, as it is based on the scientist's specialist knowledge of their field. However, the files are also used as an information source on a particular topic, so that research proposals, reports and raw data can sometimes be found on the files.

This is quite a large group of records, and one where the appraisal decision is far from clear cut. The files do provide evidence of DoC's scientific research activities, and how this research affected conservation policies. However, there is also substantial duplication between these files, and other file series recommended for retention. For example, SAV 0 is a file on Antarctica, which runs to about 30 parts. Many of the papers on this file would be duplicated in the ANT series of files, which document

DoC's Antarctic policies. The difference between the two groups of files is that the Scientific Advice files provide evidence of the scientific basis for a particular decision or policy, whereas the other files provide evidence of how the policies were implemented by DoC, and of the decision making process. While it is acknowledged that there is some duplication between these files, it is felt that it is necessary to keep both groups of records. The advice files provide evidence of the way in which DoC's scientific research affected their management of the conservation estate and their recovery programmes for endangered species. As these are key functions for the Department, it is worth keeping this level of evidence. The files also contain some scientific research data, which may not be duplicated elsewhere.

Eg: BJE 4 Birds - Black Stilt
ISL 10 Islands - Kermadec Islands
ANI 56 Animals - Pest Control - Financial Bids
PNA 7 Protected Natural Areas Programme - Survey Reports
SAV 42 Science Advice - Invertebrates - General

6.1.6 Coastal & Marine Management

This class consists of records documenting DoC's role in managing the New Zealand coastline, and marine protected areas. DoC's coastal responsibilities are outlined in the Resource Management Act 1991. They include preparing the NZ Coastal Policy Statement, approving regional coastal plans, and approving permits to undertake restricted coastal activities (ie large scale coastal developments such as land reclamations, sea walls, marinas, and sewerage outlets). Files on marine protected areas document the creation and management of marine reserves, maritime parks, and other marine protected areas.

These files are high in evidential and legal value. They provide evidence of policy development relating to coastal management, and of the legal framework for coastal activities. The coastal permits in particular are of ongoing legal value, as they prove that a certain activity was authorised by the Minister and show whether any conditions were attached. This will enable future governments to determine, for example, whether a particular wharf or jetty is a legal structure. They are also likely to be of informational value to local historians, and social and environmental historians. The marine protected area files also have legal value in that they document the reasons for the establishment of particular protected areas, their status and boundaries, and their subsequent management by the Crown. All files are recommended for retention as archives.

Eg: COA 93 Coastal - Ballast Water
CPA 1205 Coastal Permit Applications - Reclamation - South Bay Kaikoura
MPA 110 Marine Protected Areas - Auckland Conservancy

6.1.7 Historic Heritage

This comparatively small class consists of records documenting the historic heritage responsibilities of the Department of Conservation. These include files on high level advocacy by the Minister and the Department on historic heritage issues, appeals to

the Minister against decisions by the Historic Places Trust, and DoC policies and planning for the management of historic resources on DoC lands. Some files document the review of historic heritage management within government and the subsequent transfer of this function to the Ministry of Culture and Heritage. This class does not include records relating to the administration of the Historic Places Trust by DoC. The Trust is a separate agency with its own records system, and is really the key agency in preserving New Zealand's historic heritage.

These records provide evidence of the role of the Department in high level historic heritage advocacy, and in advising the Minister on historic places appeals. They are also of considerable informational value to local historians, architectural and archaeological researchers, and those involved in restoring historic buildings. All files are recommended for retention as archives.

Eg: HIS 18 Historic - Percy Burn Viaduct
BDG 7 Buildings - Educational/Historic

6.1.8 Public Services Policy & Planning

This class consists of files documenting DoC policies and strategies for the provision of services to the public, including walkways, huts, visitor centres, and recreational opportunities. They include files on tourism, nationally funded re-development projects for visitor centres, public safety policies and procedures, and accidents and fatalities involving members of the public (notably Cave Creek). Files on the management of freshwater fisheries and recreational hunting areas, and the regulation of game bird hunting, are also included in this class, as these are resources maintained primarily for recreational, rather than conservational, purposes.

These files document DoC's function of providing recreational facilities for the public. In some instances, tensions can exist between the Department's conservation goals and the needs of recreational users. The files provide evidence of how this conflict was managed by the Department. They also contain information of value to social historians interested in recreation and attitudes to nature, and local historians, as they often document particular areas (such as the Lake Taupo fisheries).

Being Head Office files, they tend to have greater evidential value than the equivalent regional office or conservancy files, even though most public services are delivered at conservancy level. Even files on apparently bland subjects tend to consist of ministerial correspondence, discussion of policy issues, and development of policies and strategies. The evidential and informational value in these Head Office files is much greater than what would be found at the conservancy level, where it would probably not be worth retaining such files.

Some of the files relating to public safety could be considered to be fairly low in evidential value (eg SAF 5 Safety - Danger Warnings Information, which concerns methods of communicating safety information to the public). However, the likely research interest in the Cave Creek fatality means that even seemingly innocuous files may be of research value. All files on public safety have been included in this class.

All files in this class are recommended for retention as archives.

Eg: AVT 13 Activities - Bicycles
TSM 5 Tourism - Research Reports
FAC 7 Facilities - Toilets/Sewerage
RER 14 Recreation - Hunting - North West Nelson
SAF 11 Safety - Health & Safety in Employment Act: Visitors to Conservation Areas & Walkways

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.

6.1.9 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. A substantial group of files in this class relate to the Resource Management Act, as DoC often makes submissions on district plans, resource consents and water conservation orders issued under this Act. As these are Head Office files the resource consents documented here tend to be those of national significance or of strong local interest (eg the wind farm at Baring Head) which have resulted in ministerials, media interest or pressure group involvement. 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.

These records provide evidence of DoC's advocacy work, which often involves tackling conservation issues outside the narrow bounds of the conservation estate. They are also of informational value to historians studying environmental issues or public attitudes to conservation. The files on resource consents are likely to be of value to local historians, and to public policy researchers interested in the implementation of the Resource Management Act.

In some cases, there will be overlap with the files of other government agencies, such as the Ministry of Forestry or the Ministry of Fisheries. However, DoC often has a different stance on such issues than these other agencies, and the DoC files will contain internal DoC correspondence not found elsewhere. Some DoC staff interviewed indicated that marine conservation was likely to be an increasingly contentious and controversial issue, so that the retention of a DoC viewpoint would be quite important.

Finally, it should be noted that the sponsorship files are being kept primarily to cater for a likely research interest in corporate sponsorship of conservation projects, from a public policy perspective. The files themselves often contain a high proportion of administrative papers, and tend to involve comparatively small sums of money. However, they also include correspondence outlining the aims of the sponsorship arrangement, and the outcomes of the project.

All files in this class are recommended for retention as archives.

Eg: RML 1111 Resource Management Law - District Planning - West Coast
FSH 230 Fisheries - Rock Lobster Working Group
FOT 6 Forest - Private Native Forest
CPJ 28 Community Projects - International Volunteers
SPS 39 Sponsorship - Lever Rexona

6.1.10 Treaty of Waitangi

This class consists of records relating to DoC's implementation of Section 4 of the Conservation Act, which requires the Department to work in accordance with the principles of the Treaty of Waitangi. Many files document Maori land claims affecting conservation land, and the settlement of those claims.

These files are high in evidential value, as they document the Department's response to a major contemporary issue, that of aligning the work of government with the Treaty of Waitangi. DoC has been subject to some highly publicised criticism from Maori groups for excluding them from the management of the conservation estate, while conservation lands have been particularly affected by Waitangi Tribunal claims. The files demonstrate how Treaty claims were settled, DoC's involvement in this process, and how the settlements were implemented. They are highly likely to be of value to future researchers interested in the Treaty settlement process, or in the event of any legal challenge or re-litigation of a particular settlement.

It should be noted that this is a surprisingly large group of files - there are over 150 files on the Ngai Tahu settlement alone. These files are also likely to contain a substantial quantity of material which is duplicated in the records of other agencies, such as the Office of Treaty Settlements, Crown Law, Te Ohu Kai Moana, and the Tribunal itself. However, they are an invaluable record of DoC's response to the Treaty, and so all files are recommended for retention as archives.

Eg: MAO 5 Maori Liaison - Freshwater Fisheries
NGT 95 Ngai Tahu Claim - Coastal Provisions

6.1.11 International Issues

Files in this class document the implementation of international conservation agreements, such as the Convention on Biological Diversity, by DoC; they provide evidence of DoC's relationship with international conservation organisations, such as the International Union for the Conservation of Nature (IUCN); and they document overseas assistance programmes involving DoC.

These files are provide valuable evidence of DoC's contribution to international conservation initiatives. In some cases there will be duplication with MFAT records, but as this class focuses on conservation issues, DoC's involvement is significant enough to warrant the retention of their records. All files are recommended for retention as archives.

Eg: BDY 8 Biodiversity - Steering Committee
WHC 11 World Heritage Convention - World Heritage Indicative List Cultural

Files on international agreements which are of interest to DoC, but where another NZ government agency is responsible for implementing the agreement, are not included in this class. These files generally consist of information received from the overseas body or the relevant NZ government agency, and so are part of the Information Received class.

6.1.12 Administration of Trusts & Boards

This class consists of records relating to DoC's administration of various trusts and boards, including the NZ Conservation Authority, conservation boards, the Queen Elizabeth II National Trust, Fish and Game Councils, and (until recently) the Historic Places Trust. Most of these agencies maintain their own record keeping systems. Files in this class document the process of appointing directors, structural reviews of the trusts and boards, and their funding levels.

The appointment files are a good source of information for biographical researchers, as members of these trusts and boards tended to be high profile individuals. The trusts and boards also play an important role in conservation management, especially the NZ Conservation Authority, which is a form of public watchdog for DoC. Hence there is evidential value in retaining a record of who was on these committees and why. The files I viewed revealed that there were often disagreements about the membership of the committees, as certain stakeholder groups were able to nominate their representatives, but the Minister of Conservation could veto these nominations. The finance and structure files are also of evidential value as they reveal high level decision making on the funding and role of the trusts and boards. For these reasons all files are recommended for retention as archives.

Eg: CAB 18 Conservation Authority & Boards - Appointments - North Canterbury
QET 3 Queen Elizabeth II National Trust - Finance

6.1.13 Ombudsman

This class concerns complaints to the Ombudsman by DoC clients. There will be significant duplication between these files, and the Ombudsman's case files, which could indicate that these files could be destroyed. However, in one case sighted, an independent expert was brought in to resolve the dispute, and so there are significant papers that would not be held on the Ombudsman's case file. It is felt that the evidential value of these files in demonstrating significant disputes between the Department and the public, and in documenting the extent of the Department's compliance with the Official Information Act, outweighs the potential for duplication. All files are recommended for retention as archives.

Eg: OMB 9 Ombudsman - C. Barnes "MV Renown"

6.1.14 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. The value of the files varies somewhat, as there is a considerable amount of routine correspondence, and information received from the outside agency on an FYI basis. However, the files can also contain evidence of significant consultation between DoC and the outside agency. Hence all files are recommended for retention as archives.

Eg: ASS 11 Associations - Acclimatisation Societies - General
LIA 5 Liaison - General - NZ Tourism Forum

6.1.15 Internal Liaison

This class consists of a small group of files which originate from the Tory Street sections of DoC, and contain correspondence with other sections of DoC, including other sections of Head Office, Regional Offices and Conservancies. These file series are not heavily used, as correspondence on a particular issue or species is usually filed on the file relating to that species or issue. The evidential value of these files is marginal, as they tend to contain a variety of miscellaneous correspondence on no particular topic. All files are recommended for destruction.

Eg: SCL 10 Science Conservancy Liaison - East Coast Conservancy

6.1.16 Information Received

This class consists of files consisting primarily of information received from outside agencies or other sections within DoC. All files are recommended for destruction. Records in this class include, for example, files on international organisations or agreements which do not have a conservation focus. In these cases another NZ government agency (such as MFAT or the Ministry for the Environment) is likely to have a better record of New Zealand's involvement.

6.1.17 Operational Administration

This class consists of records which, although related to DoC's core functions, are essentially low level operational records, and so are not worth retaining permanently. The class contains several distinct groups of records, most of which are comparatively small (apart from the science investigation files). These are outlined below.

Science Investigations

These are the administration files for scientific research projects funded by DoC. The files contain research proposals, contract details, progress reports, referees' comments, and correspondence with the researcher. As these files are primarily administrative, and each project usually results in a published report, it is not necessary to retain these files in order to document the scientific research activities of DoC.

Permit Applications

These files document individual applications for permits relating to wildlife management under various Acts administered by DoC (eg whale watching permits issued under the Marine Mammals Protection Act 1978). The individual application files are routine in nature and have low evidential value as they only document one particular case. Some files do include appeals to the Minister of Conservation against the Department's decision. However, any policy changes which result from such appeals would be duplicated on the relevant policy files, which are part of Class 5: Ecological Management.

Operational Management Records for Visitor Services and Public Awareness

These files document Head Office oversight of DoC's visitor services and public awareness programmes, which are delivered at conservancy level. The files describe the management of visitor centres, sales of merchandise, methods of communication with visitors, departmental advertising, media liaison, educational liaison with conservancies and outside organisations, distribution of trees to community tree planting schemes, and particular educational projects.

Mapping

These files document the preparation of maps of the conservation estate, either for public sale or for DoC's own internal use.

Forests Amendment Act

Under the 1993 Forests Amendment Act owners of indigenous forests must apply to the Ministry of Forestry (now Agriculture & Forestry) for a Sustainable Forest Management Permit to log timber. The Ministry in turn must consult DoC about each application. Head Office hold a Forests Amendment Act file for each conservancy, which document all applications in that area. The information on these files would be duplicated in its entirety by the Ministry of Forestry/MAF.

Conservation Service Levy Observer Programmes

DoC charges conservation service levies to commercial fishing operators, which in turn funds research into the impact of commercial fishing on marine ecosystems. Part of this research is to collect data through observers on commercial fishing boats. These observers are also collecting data on catch numbers for the Ministry of Fisheries, and so their reports and data are duplicated in the Ministry's records. This class includes data and reports collected by observers, as well as records relating to the administration of observer programmes.

Fire Protection Operations

These files consist of operational records relating to fire protection. The files cover such subjects as the purchase and testing of fire fighting equipment, the collection of data on rainfall and temperature in order to assess fire hazards, minutes of various regional rural fire committees (chaired by the Fire Service), and detailed financial claims for recovering fire fighting costs from the Rural Fire Fighting Fund.

This class also includes a small number of other files on issues which are peripheral to the Department's core functions. Often these issues were the responsibility of another government agency, such as the Ministry for the Environment, and the files consist primarily of referrals to other departments or ministers.

While the records in this class do contain some evidential value, it is felt that these activities can be better documented by keeping the policy, planning and research files which are part of the other classes. All records in this class are recommended for destruction.

Eg: SIN 2341 Science Investigation - Legume Weed Invasion of Northern
Gumland Soils
LIC 6 Licences - Noxious Fish Permits
VCS 75 Visitor Centres Services - Decor & Layout
TKK 19 Tu Kakariki - NZ Tree Programme - Wellington
FIE 12 Fire Protection - General - Hokitika

6.2 Personnel Files

<i>Date Range:</i>	1987-2000
<i>Quantity:</i>	c.50 lm
<i>System of Arrangement:</i>	Alphabetical by surname
<i>Physical Format:</i>	Split pin files
<i>Function:</i>	Personnel
<i>Value:</i>	Legal record of employment of staff; information source for biographical and genealogical researchers
<i>Recommendation:</i>	Retain files on top two tiers of management; retain file covers only for remaining personnel files

These are standard departmental personnel files. The file covers record summary details of each person's employment, such as dates of employment and position held. Keeping the file covers and destroying the rest of the file is therefore a convenient means of retaining a summary of employment details for genealogists and biographical researchers. For the top two tiers of management, it is recommended that the whole file is retained due to the higher profile of these people. The individual employment contracts and performance plans likely to be found on such files would also be of interest to people researching public sector accountability.

7.0 ACCESS PROVISIONS

[Have Been Removed]

8.0 TRANSFER CONDITIONS

[Have Been Removed]

9.0 RETENTION AND DISPOSAL PERIODS

A standard 10 year retention period is suggested for material recommended for retention. Most of the files recommended for destruction have a 7 year retention period, but those in Class 17: Operational Administration have a 10 year retention period. This provides an extra safety margin for those files dealing with permit applications.

10.0 SUMMARY OF DISPOSAL RECOMMENDATIONS

Quantity recommended for transfer as public archives: c.333 linear metres (73 %)

Quantity recommended for destruction: c.121 linear metres (27 %)

Signed:

[Name Removed]
Archivist
Appraisal Section
National Archives
(04) 499-5595