# NEW ZEALAND DEFENCE FORCE
## Te Ope Kaatua o Aotearoa

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## APPRAISAL REPORT:  NEW ZEALAND ARMY
## DISPOSAL SCHEDULE

**FILE NO:**

**AGENCY:**          New Zealand Army

**CONTACT:**         [Name Removed]
                     Supervisor HQ Document Management Services
                     HQ New Zealand Defence Force
                     Private Bag
                     WELLINGTON                                              (04)

**DISPOSAL TYPE:**    Disposal Schedule.

**AGENCY COVERAGE:**  Army General Staff, Formation Headquarters and New Zealand Army Units.

**SCOPE:**            New Zealand Army Standard Defence Filing System Paper System

## 1.  EXECUTIVE SUMMARY

This report covers the updating of a disposal authority (hereafter DA) for the New Zealand Army (hereafter NZ Army) classified and unclassified records[1] in the Standard Defence Filing System (hereafter SDFS). The previous DA's for Army General Staff (hereafter AGS) and the camps & bases has now expired. We now wish to combine these into one DA.  The SDFS is a standard block series classification system used throughout the Armed Forces. SDFS files and Military Personal files are excluded from the General Disposal Authorities (hereafter GDA's) signed between Archives New Zealand and the New Zealand Defence Force on 17 June 2004.[2]

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[1] *Classified* records contain sensitive information, which requires the files to be stored at a higher level of security than normal routine *unclassified* records.
[2] See Job File 2004/0384. Objective file reference A68009.

A combination of precedent and analysis of file lists, supported by records examination, has been the principal method of appraisal. The principal criteria for appraisal have been identification of those records for transfer that give accountability and evidence of NZ Army's organisation, functions and transactions.

The organisational structure of the Army has had a significant influence on the type and quantity of records retained. There is a relatively high level of retention of AGS files.

Taking into account the differing levels of documentation within the Army and for purposes of convenience, the schedule has been divided into three parts. Part one of the schedule deals with AGS files. Part two covers records created at the Formation Headquarters level. Part three are those records generated by the Army Camps and other New Zealand Army units. Part four covers records at all command levels which are covered by another DA or GDA's that are not part of the SDFS files. Approximately 740 NZ Army SDFS files, or c. 20 lm, in total are generated per year.

Annual accretion rate:  c. 20 lm per year                    40% Retention

Quantity recommended for transfer as public archives per year:    c. 8 lm (40%)
Quantity recommended for destruction per year:                    c. 12 lm (60%)

We currently are holding about 60 lm of Army General Staff records awaiting transfer to Archives NZ.  After this one off transfer has taken place, there will be very little to transfer as the NZDF are rolling out their INFORM electronic records system 2011/2012, and the NZDF moving towards gaining compliance with the Electronic Recordkeeping Standard.

## 2.  APPRAISAL CIRCUMSTANCES

In 1997 Archives NZ were asked to create a disposal schedule for files generated by the AGS, Defence HQ, Wellington. This schedule was drafted by [Name Removed] of the Christchurch Regional office of the then National Archives and on the 13th March 1998 the AGS Disposal Schedule was signed off by [Name Removed], the Chief Archivist. Then during the year 2000, Archives NZ were asked to create a disposal schedule for files created at Land Force Command/Land Command level, Formation Headquarters level and finally for the Camp/Unit level, which was signed off about July 2000.
The AGS disposal schedule expired in December 2008, while the Formation HQ & Unit level disposal schedule expired in July 2010. The Supervisor HQ Document Management Services is now updating the Army Disposal Schedules into one combined schedule and to reformat the schedules to the new disposal template as required by Archives NZ, and preparing the Appraisal Report ready for signing by the Chief Archivist.

## 3.  AGENCY INFORMATION

The administrative history of the NZDF HQ and AGS is well documented in the following Agency documentation, attached in Appendix One.

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

The New Zealand Army has existed as a formal entity only since the passage of the New Zealand Army Act 1950. This legislation formalised the situation that had existed since 1937, when the RNZAF had been separated from the New Zealand Military Forces and an Army Board established.

The Army Board's membership was comprised of:
- Minister of Defence as chairperson
- Chief of Staff
- Two or three senior officers from the Service
- Civilian Secretary of the Department

### *Ministry of Defence*

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

A Defence Council was established which consisted of:
- Minister of Defence
- Chief of Defence Staff
- Secretary of Defence
- Chiefs of Staff from the three Services
- Co-opted members if required (especially the Secretaries of External Affairs and Treasury)

The Defence Council was responsible for:
- Administering and commanding the Services
- Advising the Minister on defence policy
- Integrating common functions where desirable and practical

The boards for each service continued to exist, but they acted under delegated power from the Defence Council.  Also the Chiefs of Staff Committee was retained, but as a committee of the Defence Council. (The Defence Council was later abolished under the Defence Act 1990).

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

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

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

In 1989 Defence was separated into two separate bodies – the Ministry of Defence headed by the Secretary of Defence, the senior civilian officer and the NZ Defence Force headed by the Chief of Defence Force (CDF) the senior military officer. Both are equally answerable to the Minister of Defence for their individual elements. Under the CDF are the three service chiefs who, as the senior officers of their individual services, act as advisors to CDF and provide forces as required.

The Chief of Army (CA) (formerly known as Chief of General Staff(CGS)) commands the NZ Army. AGS , which is his immediate support staff, provides support for CA and is *"primarily an Executive, policy making and planning organisation, assisted by, and providing Army input to, the various branches of Defence Headquarters."*

The mission of the NZ Army is: "To provide world-class, operationally focused land forces that are lead, trained, and equipped to win".


## 4. METHODOLOGY


This disposal schedule has been duplicated from the recently signed off Royal New Zealand Navy (hereafter RNZN) schedule (DA196) dated 9 Sep 2005 and amended to reflect the requirements for the NZ Army. This schedule was updated in consultation with the Director Army Corporate Services, AGS, Wellington.
This schedule has been arranged into several parts to reflect the various sections within the NZ Army. Part one deals with the disposal of SDFS files within AGS. Part two deals with files at the Formation HQ level, part three deals with unit levels within the camps. Part four deals with non file material, like unit histories, financial records and other material sometimes not placed onto an official SDFS file. The Headquarters Third Land Force Group file index at Burnham Army Camp was used to provide a sample of files for the Formation level & 2/1 Royal NZ Infantry Regiment file index was used for the Unit level within the NZ Army in the transfer and destruction sections.

Land Command/Land Force Command has been absorbed into Headquarters Joint Force New Zealand (HQJFNZ), a headquarters that answers direct to HQ NZ Defence Force and accordingly these have now been removed from this schedule. Additionally, Headquarters Support Command (HQ Spt Comd), a formation headquarters, absorbed elements of AGS and was renamed Logistic Executive (Log Exec). Log Exec has in turn been absorbed back into AGS.

With assistance from Archives New Zealand Appraisal staff, the Supervisor HQ Document Management Services completed much of the redrafting of the original schedule. Authorship of the Appraisal Report was undertaken in conjunction with Archives New Zealand Appraisal Section. Once completed, the draft schedule and report will be submitted to the review process.

## 5. PRECEDENT

Precedent was influential in relation to disposal recommendations for defence type records. This was especially so in regards to records concerning specialised equipment. The current disposal schedules for the HQNZDF and Navy all have a similar format and layout, which are structured on the SDFS classification system. The Navy template in particular was utilised as a template for the draft Army disposal schedule.[3] The following current NZDF disposal schedules were utilised during the original appraisal:

- Navy Disposal Schedule DA196 (approved 9 Sep 2005) for Naval Staff, Maritime Command and Naval Base Unit records (including Navy SDFS registered files).

- HQ NZ Defence Force Disposal Schedule (Op 01/52) (expires 1 April 2012) for HQ NZ Defence Force, records (including HQ SDFS registered files).

- Royal New Zealand Air Force Disposal Schedule (DA357) (approved Dec 2008) for Air Staff & Camps/Bases, records (including Air Force SDFS registered files).

These Single Service Staff Headquarters disposal schedules provided a generic guide to records types that should be retained.

## 6. DESCRIPTION, EVALUATION and DISPOSAL RECOMMENDATIONS

### 6.1 Appraisal Criteria

The specific disposal criteria employed in this appraisal are specified for the record series in Section 6.2. The generic criteria are:[4]

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[3] See Job File DA196
[4] Criteria are based on the Archives New Zealand Appraisal Standard.

**Recommend for transfer are records that cover:**

a. **Accountability**
- Process and input into the development of legislation.
- Evidence of legal rights.
- Policy development and review.
- Strategic level meetings, reports and monitoring.
- Decision-making input and formation.
- Major ministerial reports, advice, decisions, etc.

b. **Evidential**
- Organisational structure, development and reviews.
- Summary of policy implementation.
- Overview of operational activities.
- Major ministerial correspondence and ombudsman cases.
- Major management and financial reviews and audits.

c. **Legal**
- A statutory requirement to be created and retained.

d. **Informational**
- Historical, heritage and social value information.
- Specialised research information.

**Recommend for destruction are records that cover:**

- Low-level, routine and repetitive operational, administrative and financial transactions.
- Routine low-level ministerial correspondence and ombudsman enquiries.
- Published and newspaper material readily available from other sources.
- Copies of documents where the primary copy is readily available elsewhere.
- Transactions where the most complete records are held by another agency.
- General reference and information-only material.

## 6.2 NZ Army – Standard Defence Filing System (SDFS)

The SDFS records classification structure is a standard system used through the NZDF for registering manual records. The SDFS is based on a system used within the Canadian federal public service, and was introduced within the NZDF between 1982-1988. Implementation of the SDFS started in the then Defence Headquarters, and then was gradually introduced throughout the Armed Services.

The SDFS classification structure is organised on a block series method. The blocks are divided by hundreds or thousands. Thereafter, the blocks are arranged by series of

primary numbers, primary subjects and sub-subjects. The systems classification structure is broadly by function, then by subject categories. The Defence Manual (DM) 17 which is published by HQNZDF, documents the SDFS in detail.[5]

## File Classification List - Primary Number Blocks

| | |
|---|---|
| 1000-1999 | General Administration, Organisation and Management |
| 2000-2099 | Intelligence |
| 2100-2199 | Security |
| 2200-2499 | Not Allocated |
| 2500-2599 | Standardisation |
| 2600-2699 | Not Allocated |
| 2700-2899 | Communications - Electronics |
| 2900-2999 | Publications |
| 3000-3599 | Plans, Operations and Readiness |
| 3600-3999 | Science and Technology |
| 4000-4499 | Not Allocated |
| 4500-4999 | Training |
| 5000-5999 | Personnel |
| 6000-6599 | Not Allocated |
| 6600-6899 | Medical Services |
| 6900-6999 | Dental Services |
| 7000-7499 | Finance and Accounting |
| 7500-7599 | Transportation |
| 7600-7999 | Works and Real Estate |
| 8000-8999 | Not Allocated |
| 9000-9999 | Not Allocated |
| 10000-19999 | Equipment and Supplies Phases |

Although the SDFS system of arrangement is primarily numerically based, there is provision for the inclusion of alpha codes to denote organisation entities.

Recommended disposal actions in the schedule are intended to be as precise as practical to facilitate easy implementation, but in a number of instances disposal actions require the NZ Army to make decisions based on experience and knowledge of its staff.

*Series Title:*      NZ Army Standard Defence Filing System.

*Date Range:*      1980 – Current.

*Accretion Rate:*      c.20 lm per year.

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[5] A copy of DM 17 is held by Archives New Zealand, see file OP 99/19.

| | |
|---|---|
| *System of Arrangement:* | Opened files are classified and stored in a block number subject system. Closed files are classified in a block number subject system, but are assigned a unique running number when closed for storage purposes. |
| *Physical Format:* | Split-pin files. |
| *Function:* | To document the functions and operations of the NZ Army. (See Section 2 Agency Information). |
| *Value:* | See below. |
| *Recommendation:* | Records for transfer should be sent to Archives New Zealand after the specified time stated in the various sections of the NZ Army Disposal Schedule from date of the last paper on file or similar. Records for destruction can be destroyed after the specified time stated in the various sections of the NZ Army Disposal Schedule from date of the last paper on file or similar. |

## 1000-1999 General Administration, Organisation and Management

These records relates to organization, establishments & disestablishments, CA's directives, staffing procedures, ceremonial, matters of an administrative nature such as accidents, charitable campaigns, office procedures, management advisory services projects, and any subjects that are not covered by the other primary blocks. The block covers a wide range of varied and miscellaneous subjects, and relates to activities across the whole of the NZ Army.

Recommended for Retention

Strategic and significant records relating to management, organisational and defence operations issues, such as:

- Policy development and implementation.
- Relationships with external organisations.
- Chief of Army's Directives.
- Regional political and security issues.
- Historical research.
- International defence cooperation and discussions.
- Major and unique ceremonial and celebratory events.
- Public relations media releases.
- Development and application of legislation.
- Circulars and newsletters.
- Reports and returns from NZ Army Personnel overseas.
- Audit reports, and management and planning reviews.
- Summary and update reports to Minister on Army activities.
- Organisational structures and reorganisations.

For example:

Army General Staff:

| | |
|---|---|
| 1001/1 | Defence Matters – Strategic Studies |
| 1200/1 | Cooperation and Liaison |
| 1243/1 | Directives and Delegations of Authority - General |
| 1325/2 | Historical Matters – Search for Boeing One |
| 1540/1 | Ministerial Enquiries - General |
| 1604/1 | Defence Force Orders |
| 1901/3/1 | Organisation – NZ Defence Support Unit |
| 1910/1/1 | Reorganisation – Army 2005 Implementation Project |
| 1920/2 | Establishments – Army & Defence Headquarters |

Formation Headquarters:

| | |
|---|---|
| 1180/7 | Chief of Army/Commanders Advisory Board |
| 1243/3 | Directives – 3 Land Force Group |
| 1325/2 | Historical Matters – Unit History (3LFG) |
| 1610/2 | Standing Orders – 3 Land Force Group |

Camps - Unit Level: No files recommended for permanent retention in this block.


Recommended for Destruction

Records that cover:

• Low-level routine administrative services and transactions.
• Copies of cabinet papers from Cabinet Office.
• Records management.
• Information available through the Parliamentary record.
• External publications and circulars.
• External information from other agencies.
• Visit arrangements and administration.

For example:

Army General Staff:

| | |
|---|---|
| 1113/1 | Ceremonial and Celebrations – Special Days |
| 1180/2 | Conferences and Meetings – Chief of General Staffs' Conference |
| 1325/2 | Historical Matters – Unit History (3LFG) |
| 1778/2 | Visits – Within NZ – Governor General |
| 1860/1 | Accommodation – General |

Formation Headquarters:

| | |
|---|---|
| 1000/3 | Duty Rosters |
| 1006/1 | Accidents – Prevention & Safety – General |
| 1170/1 | Complaints & Irregularities - General |
| 1475/1 | Newsletters - Services |
| 1540/1 | Ministerial Inquiries – General |
| 1778/1 | Visits within NZ – General |
| 1780/1 | Visits – VIP – General |

1920/4/2          Establishments – 3 Land Force Group Establishments

Camps - Unit Level: No files recommended for permanent retention in this block.

## 2000-2099 Intelligence

These files relate to intelligence activities involving the gathering, evaluating and disseminating of information of military value. It is recommended that all AGS files generated in this series be retained as Public Archives. Transfer will be subject to declassification. But files created at Formation and Base/Unit level may be destroyed as any information of importance will filter through to AGS.

## 2100-2199 Security

These files are concerned with: personnel security investigations; physical security and protection of facilities and installations; control and issuing of instructions concerning the safekeeping of classified information; and the system for classification, re-grading, and declassification.

Recommended for Retention

Records dealing with substantial security policies and issues, such as:

- Policy files.
- International defence security agreements with other countries.
- Significant security relationships with other countries.
- NZ Army instructions, circulars, orders, etc., on security.
- Contents of NZ Army security publications.
- Terrorism and terrorist activity.
- Assessment of threats to NZ Armed Forces and civilian targets.
- Espionage issues.
- Major criminal activity.
- Major security breaches and compromises of documents.
- Security exercise reports.

For example:

Army General Staff:

2100/1          Security - General
2137/1          Security – Security of Information, Documents & Returns – General
2140            Security – Clearances & Passes – Policy
2141/1          Security – Security of Conferences & Exercises
2142/1          Security – Subversive Material

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Low-level, routine and minor security records, such as:

- Information only material (e.g. material from industry associations and VIP visitors programmes).
- Routine physical security of NZ Army installations (e.g. hireage of physical security and alarm monitoring).
- Minor lower-level security equipment.
- Standard public service security measures.
- Low-level information requests.
- Standard contractor access to defence establishments.

For example:

Army General Staff:

| | |
|---|---|
| 2101/1 | Security - Security Officers, Unit/Base/Command – General |
| 2115/1 | Security – Physical Safeguards – General |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.


## 2500-2599 Standardisation

These files relate to the programme to provide standardisation of supplies, equipment, and material within the New Zealand Forces and with allied nations. Files recommended for retention in this series would normally be generated at AGS level.


Recommended for Retention

Files documenting significant New Zealand cooperation and relationships with other countries on military logistic issue, and NZ Army involvement with local industry on defence production matters, such as:

- NZ Army relationships with other countries on military cooperation, interoperability and sustainability.
- International agreements and arrangements.


For example:

Army General Staff:

| | |
|---|---|
| 2510/5/1 | Army Standardisation – Quadripartite – Standardisation Agreements |
| 2513/7/1 | Army Standardisation – Engineer – "C" Vehicles & Plant – General |
| 2528/4 | Army Standardisation – Quadripartite Working Group – ABCA & EOD Working Group |

Formation Headquarters: No files recommended for permanent retention in this block

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Low-level administrative and information-only records (e.g. NZ Standards Association membership list), and files relating to purchase and support of minor military equipment.

For example:

Army General Staff:

| | |
|---|---|
| 2510/2 | Army Standardisation – Administration |
| 2510/3 | Army Standardisation – Document Requests & Amendments |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

## 2700-2899 Communications – Electronics

Files relating to signal communication activities involving: planning, programming, evaluating, and developing strategic and non-tactical communication facilities; the use and maintenance of signal communications equipment; and the operation of the NZ Forces Communications System.

Recommended for Retention

Records that provide evidence of NZ Army's role, within the defence communication network, identifying and acquiring operational electronic and communication equipment needs and maintaining links with other countries and organisations. The type of records recommended for transfer, include:

- Communications and electronics policies.
- Identification, evaluation and procurement of operational electronic and communication equipment and systems.
- Relationships with government agencies.
- Service liaison, meetings and conferences on communications and electronics.
- Major security violations and compromises.
- Major evaluations and audits of operational and strategic management software, hardware and systems.
- Manuals, instructions and working aids produced by NZ Army.
- Cooperation agreements and arrangements with overseas armies.
- Assessment and development of NZ Army satellite communication and command and control systems.
- Strategic reviews and studies of NZ Army communications systems.

- Strategic information planning.

For example:

Army General Staff:

| | |
|---|---|
| 2710 | Communications – Cryptography & COMSEC - Policy |
| 2721/1 | Counter Terrorism Communications – General |
| 2728/1 | Defence Alternative Communications System - General |
| 2742/5 | Communications – Land Tactical – Global Positioning Systems |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Low-level, routine and minor records, such as:

- Basic administration (e.g. access to buildings, equipment loans).
- Routine security testing and procedures (e.g. transfer and receipting of classified documents).
- Routine technical installation, maintenance and management of telephone/communication/data networks (e.g. telephone installation and routine technical reports).
- Staff appointments and postings.
- Reference only information, published material and vendor data (e.g. pamphlets).
- Duplicates of single Service documents (e.g. monthly unit proceeding reports).
- Administrative projects.
- Standard software agreements.
- Routine frequency planning and allocation.

For example:

Army General Staff:

| | |
|---|---|
| 2710/1 | Communications – Cryptography & COMSEC – General |
| 2722/1 | Defence Telegraph Network – General |
| 2723/1 | Defence Telephone Network – General |
| 2731/6/126 | Combined Communications Electronic Bureau |
| 2840/1 | Communications – Frequencies – General |
| 2880/1 | Communications – Knowledge Management |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

## 2900-2999 Publications

This block relates to the preparation, co-ordination, issuance, and maintenance of official publications produced by NZ Army. These include Defence Force Orders (Army) (DFO (A)) Manuals, internal handbooks and contributions to external publications.

Recommended for Retention

Policy files and any files containing NZ Army-produced strategic and operational publications.

For example:

Army General Staff:

| | |
|---|---|
| 2900 | Publications – Policy |
| 2900/15 | Unit History Books & Publications |
| 2900/P | Publications – NZ P Series |
| 2900/P1E | Publications – NZ DFO(A) Vol 6 – Mobilization |
| 2900/P6 | Publications – NZ P6 NZ Army Drill Manual |
| 2950/3 | Publications – Signals Technical Manuals |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Files that relate solely to routine production administration, low-level NZ Army publications, copies of external reference material, contributions to external publications and publication distribution within NZ Army. There are very few files under this series marked for destruction at both AGS and Unit level, hence the small number of examples provided.

For example:

Army General Staff:

| | |
|---|---|
| 2900/2 | Telephone Directories |
| 2900/16 | Navy Publications |
| 2900/17 | Air Force Publications |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

**3000-3599 Plans, Operations and Readiness**

Includes files relating to such matters as: strategic concepts and force objectives; elaboration of policies and plans; warfare techniques; forces' readiness; operational doctrine and training; combat development studies; applied and operational research.

Recommended for Retention

Most of the files in this block have been recommended for retention as they cover the Armed Forces' core activities of practicing and planning for military action, and participation in operational deployments and peacekeeping activities. The main categories of records recommend for retention in this block cover:

- Exercise instructions and post evaluation reports.
- Military operational and contingency planning.
- Key NZ Army corporate documents (e.g. purchase agreements; CDF command directives).
- Deployment of NZ Army forces in military operations and United Nations peacekeeping activities.
- Sovereignty surveillance and fishery protection.
- Studies and proposals evaluating force structure and equipment needs.
- NZ Army role in civil defence, assisting civil authorities, supporting Antarctic operations and giving assistance in other countries.
- Treaties, agreements, arrangements and cooperation with other countries.

For example:

Army General Staff:

| | |
|---|---|
| 3010 | Air Defence – Policy |
| 3120/4 | Civil Defence - Capital Disaster |
| 3185/3/4 | Force Development – Anti Armour |
| 3205/1 | Land Operations – General |
| 3301/2/2 | Assistance – Civil Organisations – Local Government Bodies – Chatham Islands |
| 3305/1 | Assistance – Operation Deep Freeze |
| 3450/2/4 | United Nations – Multi National Forces of Observers (MFO, Sinai) |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Low-level, routine and minor records, such as:

- Individual exercise files that do not contain both exercise instructions and post-exercise reports.
- Administrative EDP planning files (e.g. office automation and microcomputers).
- Files containing only reference information or published material.
- NZ Army internal low level and routine administrative civil defence planning (e.g. building emergency planning/procedures and staffing lists).
- Administrative arrangements for visits.
- Travel, movement and leave arrangements for NZ Army seconded staff.
- Low-level administrative and financial activities (e.g. allocation of output/account codes; travel insurance).

For example:

Army General Staff:

| | |
|---|---|
| 3000/6/1 | Combat Development – Australia |
| 3195/2 | Gunnery & Firing Exercises – Danger Areas for Live Firing Practices |
| 3250/2 | Maritime Operations – Fleet Programme |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

## 3600-3999 Science and Technology

This series includes matters on research, development, testing and evaluation on Defence Science projects and services. There are only a couple of files in this block and they are recommended for retention at AGS level. Any files at Formation or Unit level that may hold any information of any value will be found on the AGS files.

Recommended for Retention

The files in this block have been recommended for retention as they cover the NZ Army's requirements for:

- Technology Monitoring.
- Structural and Capability Deficiencies.
- Equipment Acquisition.
- Weapons, Computer and Information, Electronics & Electrical, Transport and Aerospace Systems.
- Materials and Structures.
- Reports and Evaluations.


For example:

Army General Staff:

3600/1        Science & Technology - General

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level – no files are generated in this block.

Recommended for Destruction

Provision is made in the schedule to destroy files of a routine and/or low-level administrative nature. At present the NZ Army don't have any files under this category.


## 4500-4999 Training

These files include subjects such as: training of officers and men and special training for civilians; training standards; and individual training plans to support the introduction of new equipment, concepts, doctrine and policy.

Recommended for Retention

Strategic level files that give evidence of the NZ Army role in training, covering areas such as:

- Policy development.
- Significant training reports and studies.
- Overseas Travel Group Programmes.
- Post study award reports.
- Post overseas training and course reports.
- Operational training exercises with other countries.
- Mutual Assistance Programme (aid to other countries).
- Inspection reports.

For example:

Army General Staff:

| | |
|---|---|
| 4500 | Training - Policy |
| 4572 | Cadets – Regular Force - Policy |
| 4800 | Operational Training Exercises – Policy |

Formation Headquarters:

| | |
|---|---|
| 4500 | Training – Policy |

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Low-level and routine administration covering matters such as: course administration, nominations; basic training; course information; etc. In keeping with precedents of previous appraisals[6], files for specific courses have not been recommended for retention.

For example:

Army General Staff:

| | |
|---|---|
| 4500/1 | Training – General |
| 4508/1 | Academic Training – General |
| 4640/2/17 | Courses – School of Administration |
| 4642/4 | Courses – Overseas – United Kingdom |
| 4730/1 | Medical Training – General |

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[6] See appraisal reports DA196 & OP 98/45 and OP 01/52.

| 4760/1 | Mutual Assistance Programme – General |
|---|---|
| 4799/1 | Officer Promotion Training – Non Regular Force – General |
| 4800/7/1 | Operational Training – Exercises – LOGEX - Australia |
| 4975/2/Admin | Trade Training – Administrator |
| 4989/1 | Operational simulation Systems – General |

Formation Headquarters:

| 4500/1/1 | Training Areas & Ranges – General |
|---|---|
| 4523/1 | Air Support – General |
| 4640//1/1 | Courses – Service – The Army Depot |

Camps - Unit Level: No files recommended for permanent retention in this block.

## 5000-5999 Personnel

These files pertain to the functions of obtaining, managing, and providing personnel services for the members of NZ Army. They also include correspondence relating to civilian personnel.

NZDF HQ develops the broad strategic human resource management policy for both service and civilian staff, within which the individual Services manage personnel matters.

Personal Files of military and civilian staff are not covered by this disposal authority. Military personal files should be sent to NZDF Archives once they leave the service. Civilian personal files should be disposed in accordance with part 4 of the Army disposal authority.

Recommended for Retention

The level of personnel records recommended for retention is higher than that for most government agencies, due to the uniqueness of the structural nature of the Armed Forces and the extent of the conditions of service for personnel. The range of service conditions encompass, for example: special employment circumstances; compulsory superannuation; provision of accommodation and service; medical treatment; welfare support for service people and their families; subjection to military law; etc.
Recommended for retention are records that give accountability and evidential detail of NZ Army's role in personnel management and policy development, such as:

• Policy.
• EEO and Gender Integration.
• Agreements and contracts with ACC.
• Senior staff appointments.
• Casualties and deaths.
• Condition of service.
• Military discipline and courts martial.
• Honours and awards.
• Service housing and accommodation.
• Human resource planning and reviews.

- Reports and Returns.
- Organisational restructurings.

For example:

Army General Staff:

| | |
|---|---|
| 5000 | Personnel - Policy |
| 5090/1 | Casualties – General |
| 5202/2 | Discipline – Courts of Inquiry - General |
| 5250 | Dress Regulations - Policy |
| 5500 | Leave – Regular Force - Policy |
| 5720/1 | Reports and Returns – General |
| 5850 | Welfare - Policy |

Formation Headquarters:

| | |
|---|---|
| 5520/1 | Personnel – Nominal Rolls – General |

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Files relating to routine and low-level administrative functions (e.g. postings; security clearance), information held in electronic databases, individual competitions and sports, routine requests for information and data available in published sources.

For example:

Army General Staff:

| | |
|---|---|
| 5340/1 | Re-Engagements – Regular Force - General |
| 5500/2 | Leave - Regular Force – Leave Without Pay |
| 5591/1/1 | Sports – Rugby - Thailand |
| 5705/1 | Releases - Regular Force – General |

Formation Headquarters:

| | |
|---|---|
| 5051/1 | Bands – Regular Force – General |
| 5140/9 | Competitions & Trophies – Ex Cambrian Patrol |
| 5229/1 | Documentation & Records – Non Regular Force – General |
| 5500/1 | Leave – Regular Force – General |
| 5906/1 | Training & Education – General |
| 5910/1 | Hours of Work/Overtime/Attendance - General |

Camps - Unit Level: No files recommended for permanent retention in this block.

## 6600-6900 Medical and Dental Services

This block includes subjects relating to: medical policy matters; medical, dental care and health of all NZ Army personnel; and supervision and direction of preventive medicine.

Recommended for Retention

Records that document the key activities of NZ Army in medical services, such as:

- Entitlement to care (including service personnel and dependents, civilian personnel and dependents).
- Major evaluations, reviews and audits of NZ Army Medical Service.
- Psychologist project and study reports (e.g. mental health of deployed personnel)
- Evaluation and development of psychological and attitude tests.
- Medical reports, returns and statistics from Camps/Units (e.g. medical services utilisation levels).

For example:

Army General Staff:

6900            Dental Services – Policy

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Records that cover basic administration (e.g. stationery; arranging personnel selection; travel arrangements; reference and published material; and routine medical activities such as optical examinations and vaccinations).

For example:

Army General Staff

6600/1          Plans & Services (First Aid) – General
6635/1          Hygiene & Sanitation – General
6750/1          Reports & Returns & Statistics - General
6780/1          Vaccinations, Inoculations – Servicemen and Dependants – General

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

## 7000-7499 Finance and Accounts

Includes files relating to such matters as budgeting; disbursing and accounting; personnel pay administration; financial agreements; and statistical reporting.

Recommended for Retention

Joint Logistics Support Organisation (JLSO) from 2006 handles all financial matters for all the single services & HQ NZDF. The JLSO was renamed in about Aug 2010

to Defence Shared Services (DSS). DSS at the National Service Centre in Trentham, Upper Hutt is the main headquarters for DSS where all the financial records are maintained for the entire NZDF. Therefore these records will be captured under the HQ NZDF Disposal Authority OP 01/0052. Therefore very few financial records are recommended for retention at AGS level and below.

- Finance and accounting policy.
- Corporate and strategic planning.
- Management control and financial delegations.
- Reports to Minister.
- Management of capital expenditure programmes.
- Setting and prioritising financial and capital expenditure.
- Internally produced financial and treasury instructions.
- Costing and charging for services.
- Audit and investigation reports.
- Organisational restructuring.
- Significant management reviews.
- Cost of operations and Force Development Proposals.
- Strategic level financial monitoring reports.
- Setting and reviewing salaries, various allowances and benefits, etc.

For example:

Army General Staff:

| | |
|------|------|
| 7000 | Finance - Policy |
| 7040 | Project Finance - Policy |
| 7100 | Imprest Accounts - Policy |
| 7310/1 | Non Public Funds – General |
| 7350 | Armed Forces Pay - Policy |
| 7390 | Superannuation – Policy |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Records that cover routine and low-level financial transactions, published material (e.g. annual reports; consolidated financial statements; and information on electronic databases such as asset registers, cost centre budgets and expenditure, consolidated accounts, etc). Most of the files listed for Formation Headquarters are either policy or general files, hence only the one file listed.

For example:

Army General Staff:

| | |
|---|---|
| 7000/2 | Finance – Management & Control – Devolution |
| 7020/2 | Finance – Planning & Programming – Forecast & Activity Changes |
| 7090/2 | Finance – Costing – Human Resource Accounting |
| 7100/2 | Imprest Accounts – Imprest Account of Fresco |
| 7130/3/2 | Expenditure/Payments – Transfer & Travel – Disturbance Grant & Land Agents Fees |
| 7310/3 | Army Non Public Funds – Personnel Loans |
| 7451/3 | Military Allowances & Charges – Credit Cards |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

## 7500-7599 Transportation

These files relate to: general traffic management; the management of administrative motor vehicles; and the movement of personnel and supplies by air, water, or rail or other land transportation. Generally only policy level files are recommended for retention.

Recommended for Retention

Files detailing transportation and movements policies.

For example:

Army General Staff:

| | |
|---|---|
| 7500 | Movements – Policy |
| 7519 | Movements – Personnel – NZ – Policy |
| 7521 | Movements – Personnel Overseas (Includes Dependants) – Policy |

Formation Headquarters: No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Records such as low-level routine travel claims, personnel and freight movements, vehicle allocation and use.

For example:

Army General Staff:

| | |
|---|---|
| 7500/2 | Movements – Complaints about Movement Arrangements |
| 7502/2 | Freight Movements – Loss or Damage |
| 7516/1 | Movements – Personnel – Passports & Visas - General |
| 7519/2 | Movements – Personnel – NZ – Indulgence Travel |
| 7521/3 | Movements – Personnel – Overseas (Includes Dependants) – Air Trooping Arrangements with Civilian Airlines |
| 7530/2 | Transportation – Rates/Tariffs – Hiring of Vehicles |

Formation Headquarters:  No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

## 7600-7999 Works and Real Estate

Acquisition, disposal, utilization, and management of real property or interest therein; design and construction of works projects; the maintenance of works and buildings; utilities services; and other similar subjects.

Since the 1st October 2006 the responsibility for this function has been passed onto Facilities Management Services units, based on each military camp/base in New Zealand.  These units are controlled by the Property Group based at Joint Logistic Support Organisation (JLSO) at Torrens House, Trentham (Old General Motors Building). About August 2010 the JLSO was renamed to Defence Shared Services (DSS). As DSS is an HQ NZDF unit, files that cover the period from Oct 2006 onwards the HQ NZDF Disposal Authority should be applied. Prior to Oct 2006 the single service disposal authorities should be applied.

Recommended for Retention

Records covering substantial management issues relating to NZ Army real estate policy.

• Accommodation policy scales & planning.
• Property acquisition and disposal.
• Construction & maintenance of buildings and facilities.

For example:

Army General Staff:

| | |
|---|---|
| 7600 | Works – Policy |
| 7602 | Accommodation – Policy Scales – Policy |
| 7605 | Accommodation – Planning - Policy |
| 7610 | Buildings, Registering, Naming, Numbering & Layout - Policy |
| 7625 | Construction, & Maintenance – Buildings & Facilities - Policy |

Formation Headquarters:  No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Records that relate to minor construction and maintenance work, routine facilities management and low-level leasing and rentals arrangements by NZ Army.

For example:

Army General Staff:

| | |
|---|---|
| 7666/1 | Fire Protection - General |

| 7696/1 | Heating & Ventilation – General |
|--------|--------------------------------|
| 7715/1 | Cleaning Services – General |

Formation Headquarters:  No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.


## 10000-20000 Equipment and Supplies

This block of files relates to all aspects concerning the furnishing of equipment and supplies, including: the development of equipment and material; procurement; distribution; storage; issue and disposition; maintenance programme; and equipment inspection reports.

Recommended for Retention

Records that relate to the purchase and modification of major military equipment and systems that NZ Army would deploy for use in military actions and peacekeeping activities. Also, files that cover NZ Army's relationship with industry, strategic logistics planning and the allocation of equipment.

Since the 1st December 2006 the responsibility for the NZ army minor contracts for equipment and ammunition and specialist equipment purchasing for the NZ Army, and goods & services for non operational items for NZDF has been passed onto Joint Logistic Support Organisation (JLSO) and managed by the Contracts Manager located at JLSO Torrens House, Trentham (Old General Motors Building).  Each of the single service camps/bases has a JLSO unit who deal with the single service As JLSO is an HQ NZDF unit, files that cover the period from Dec 2006 onwards, the HQ NZDF Disposal Authority should be applied. Prior to Dec 2006 the single service disposal authorities should be applied.

Examples include:

• Policy files.
• Contract standards and procedures used by NZ Army prior to Dec 2006.
• Major contracts/agreements with private companies.
• Agreements, arrangements and cooperation with other countries.
• Force Development Proposals for new major military equipment and systems (why needed, operational role, costs, etc.).
• Upgrades, life extensions, modifications and/or major overhauls to major operational military equipment and systems.
• Major defects/failures reports on major operational military equipment and systems.
• Significant testing, trailing and evaluation of operational military equipment and systems.
• Mobilisation and war reserves (e.g. contingency planning, strategic stock levels).
• Research and development.
For example:

Army General Staff:

| | |
|---|---|
| 10000 | Equipment and Supplies - Overall Policy |
| 10015 | Defects, Failures, Unsatisfactory Conditions Reports and Warranties - Policy |
| 11000/18 | Weapons – Disposal |
| 11410/1 | Guided Missiles - General |
| 15800/1 | Communication, Detection & Coherant Radiation Equipment – General |
| 18400/1 | Clothing - General |

Formation Headquarters:  No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

Recommended for Destruction

Records that relate to such items as routine correspondence, accounts and supply administration, purchasing and maintenance of non-major military equipment and supplies, low-level reports and returns, stationery and forms administration.

For example:

Army General Staff:

| | |
|---|---|
| 10003/2 | Accounting – Asset Register |
| 10012/1 | Controlled Stores – General |
| 10032/1 | Maintenance, Repairs & Overhaul – General |
| 10042/1 | Packing, Packaging & Preservation – General |
| 10065/1 | Scales & Tables – Equipment Issue – General |
| 13510/1 | Laundry & Dry Cleaning Equipment – General |
| 15430/1 | Storage Tanks – General |
| 16630/1 | Chemical Analysis Instruements – General |
| 17400/1 | Office Machines & Visible Record Equipment – General |
| 18010/1 | Paints, Dopes, Varnishes & Related Products |
| 19925/1 | Ecclesiastical Equipment, Furnishings & Supplies - General |

Formation Headquarters: Formation Headquarters:  No files recommended for permanent retention in this block.

Camps - Unit Level: No files recommended for permanent retention in this block.

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Please refer to the annotated schedule accompanying this report for specific recommendations.

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## 7. ACCESS PROVISION RECOMMENDATIONS

[Removed]

## 8. TRANSFER CONDITIONS

[Removed]

## 9. RETENTION AND DISPOSAL PERIODS

Records for transfer should be sent to Archives New Zealand after the specified time stated on the NZ Army Disposal Schedule from date of the last paper on file or similar. Records for destruction should be destroyed after the specified time stated on the NZ Army Disposal Schedule from date of the last paper on file or similar.

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.

## 10. SUMMARY OF DISPOSAL RECOMMENDATIONS

Refer to any sentencing guidelines accompanying this report for specific recommendations:
- Records must be kept for the minimum period specified prior to disposal
- Records may be destroyed at any point once the minimum retention periods have passed. Records do not have to be destroyed; the agency may keep them for longer if required.
- This authority is valid for a period of 15 years from date of signing, as agreed with the Chief Archivist.

Quantity recommended for <u>transfer as public archives</u>:    c.  8 lm per year   (40%)
Quantity recommended for <u>destruction</u>:    c.  12 lm per year   (60%)

Signed:

[Name Removed]
Supervisor HQ Document Management Services
HQ NZ Defence Force
Private Bag 39997
WELLINGTON

Appendix One: Copy of the New Zealand Army Order of Battle, which lists the various command levels and their responsibilities (from DFO (A) Volume 1, Part 3 Chapter 2 Annex A, as at 30 June 2008).

Appendix Two: Copy of the new proposed Royal New Zealand Army Disposal Schedule (Parts 1 – 4)

Appendix Three: Copy of Access Authority for series 7607, ABFK Accession W5531 Air Staff Standard Defence Filing System files dated 31 Jul 2006. (Also includes Accessions W5548 Defence HQ, W5561 Army, W5563 Defence/Joint Service Organisation.

Appendix Four: Copy of the AGS Disposal Schedule dated 13 Mar 1998.

Appendix Five: Copy of the NZ Army Disposal Schedules for Land Force Command, Formation Headquarters & Unit level dated 1 August 2000.