

# InterPARES Trust Project Report

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## Executive Summary

The overwhelming majority of public records are never transferred to archival custody, rather they remain in the custody of their creating or controlling agencies. Often these records are required to be retained by the creating or controlling agency for many decades. AA05 aimed to determine whether government archives had a leadership role to play in ensuring that access systems put in place for holdings within their institutional repositories could be extended to encompass digital records that remain in the custody of government agencies.

Our first research question was: do government archives have an obligation to make digital public documents that are kept in the creating agency's custody accessible to the public? After a thorough literature search, the answer to this question was overwhelmingly yes. This led us to two different questions: how can we facilitate this access in a way that is trustworthy and user-friendly? And what are the associated concerns and risks?

The two main factors that needed to be considered in this study were the technical dimensions – the practical elements or the actual technology for enabling access – and the cultural elements – the cultural barriers largely concerning the protective nature of records custodians and getting governments to take open government seriously. There were several motivations for this study, including proactive access, preservation for the sake of access, and Freedom of Information.

Our team completed a literature review in September 2016 (Appendix I) which explored the current thoughts on this topic. Our conclusions were that there was a surplus of information detailing why we need access to digital public records held in creator custody, but very little surrounding a practical system to enable such access. We were able to conclude that open and transparent government, regardless of where the records exist, is essential to public well-being and good governance and that collaboration between records professionals and other facets of government is essential to success in this area. We finished our literature review with the concept of a “one-stop-shop” model for information and decided to pursue this idea further.

Working off the “one-stop-shop” model for access to public records, we connected with two different governments that were engaged in similar models: the Queensland State Archives and Archives New Zealand. Through consultation and interview procedures, we were able to gather information regarding the ideal type of system to provide access to digital public records held in distributed custody. We were able to conclude that the technology for this type of access is not exactly where it needs to be for full success, but there are ideas and systems in development that are working to make access to digital public records held in creator custody a reality. These systems and ideas paired with governments' willingness to adapt push models for information and appropriate metadata creation are some of the main steps towards increased access to digital public records held outside of archival custody.

## **Trusted Online Access to Distributed Holdings of Digital Public Records (AA05 Trusted Access Distributed Holdings)**

### **Research team**

Lead Researcher: Gillian Oliver

Project Researchers: Adrian Cunningham, Mark Crookston

Graduate Research Assistants: Michelle Spelay Jan 2016-Jan 2018

### **Background**

Public records institutions are busy implementing institutional repositories for preserving and providing access to digital records that are transferred to their custody. The overwhelming majority of public records, however, are never transferred to archival custody, but remain in the custody of their creating or controlling agencies – and often these records are required to be retained for many decades. In an era where open government and easy online access to public sector information is expected, do government archives have a leadership role to play in ensuring that access systems that are put in place for the holdings in their institutional repositories can be extended to encompass distributed holdings of digital public records in the custody of government agencies? Ultimately, citizens are entitled to expect easy search, discovery and access to all appropriate public sector information regardless of where that information might reside – they should not be expected to have to search the websites of a multitude of individual agencies in the hope of finding what they are looking for.

If the answer to the above question is yes, how can regimes of federated access to distributed digital holdings be made to work in sustainable and user-friendly ways and in ways that can encourage uptake by custodial agencies and trust by citizens that the access regimes can be relied upon? Success in achieving this vision will rely on the use of standardised metadata, a commitment to proactive release of public sector information, consistent approaches to redaction and rendering of records for public use, and the creation and maintenance of search and discovery systems that can harvest metadata and resources from a wide variety of online locations across governments.

## Research questions

- Does government<sup>1</sup> have an obligation to make digital public documents that are kept in the creating agency's custody accessible to the public?
- How can government make digital public documents that are kept in the creating agency's custody available in a trustworthy and user-friendly manner?
- How can government deal with privacy and ethical concerns that come with making public records available online?

## Aims and Objectives

This project aimed to survey existing approaches to providing online access to distributed repositories of public sector information in digital form and identify best practices and the potential for public records institutions to play lead roles in the development and delivery of suitable systems and solutions. The study also aimed to identify barriers to achieving successful outcomes in this area and assess alternative strategies for overcoming these barriers.

## Methodology

Interviews using pre-set questions were conducted by email with two participants.

## Findings

Our study found that there are high expectations for how quickly and easily government-held information can be located. Citizens think of government information similarly to the way they think of an online search engine that can produce results immediately. Accessing government information is challenging in the first place, but especially when you consider that records are often dispersed across several different ministries. A person could have records in multiple places and have no idea where to begin their search for information.

### Queensland State Archives

At QSA, access to government-held information is achieved through an agency's website and publications (push model) or formal applications (pull model). Difficulties arise as there are often mismatches between the public's beliefs where information is and how its stored. Our data from QSA, largely drawn from a report done by Data 61 and CSIRO in 2016 is that a unified

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<sup>1</sup> In this specific context, the term "government" is used as a comprehensive term for all levels of government.

access approach (one-stop-shop model) might be appropriate, with certain mechanisms in place to ensure privacy, confidentiality, security, and integrity are preserved.

The goal would be that requests could pull relevant public records which requesters have a right to view from wherever they are held, and requests requiring specific handling for issues related to privacy, security, or confidentiality would be directed towards experts in the relevant agencies for processing.

Based on the Data 61/CSIRO report, we found that the various agencies within the QSA use different systems to provide access. EDRMSs are used to store many different types of public records, as well as specialized public records management software, traditional databases, and some systems that are either obsolete or not specifically designed to manage public records.<sup>2</sup>

The major difficulty for requesters looking for information from the QSA was that they do not know who holds the data they want to access and often have trouble articulating their requests. The biggest challenges for agencies receiving these requests are the large number of heterogeneous repositories and a lack of corporate memory.<sup>3</sup> Poor metadata is another critical challenge agencies face when making information accessible.

QSA and government agencies have developed solutions to some of these problems. Using regular audits and implementing on-demand connectivity to the central records management system on staff portable devices, QSA staff has been able to reduce the amount of ad hoc folder systems, prevent inappropriate and consuming names and ensure that records are stored in a centralised location. These are essential conditions in order to make digital records accessible.

### **Archives New Zealand**

Our interviews with Archives NZ found that sometimes, the creating government agency is the best place for records to live. Section 43 of the Public Records Act 2005 states that an access status must be set for any records once they reach the age of 25 or are transferred to Archives NZ. Some public offices are setting their own access status in consultation with Archives NZ. These types of approved repositories have to be approved by the Chief Archivist and have special instructions regarding storage, control, identification, and security.

Archives NZ is not regularly receiving digital records, but are “working on a case-by-case basis with public offices to explore their readiness to transfer digital records.”<sup>4</sup>

Archives NZ finding aid, Archway, was of particular interest in this study. Archway is designed to be a central place for discovery that then points people to other websites for access. The IT has

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<sup>2</sup> Gaya K. Jayasinghe, Cecile Paris and Alexander Krumpholz, “Digital Public Sector Records and their Public Access,” *Data 61, CSIRO*, (2016).

<sup>3</sup> Ibid.

<sup>4</sup> Senior Advisors (Archives New Zealand), interviewed by Michelle Spelay via email correspondence, July 7, 2017.



not been fully developed at this point, but the idea behind the system works within a “one-stop-shop” model for records storage and access.

For Archives NZ, keeping shared metadata up to date and accessible, particularly metadata about access status and conditions over time and on disposal status of records can be a challenge. (interviews) The biggest risks in this kind of endeavor are security, personal privacy, and being able to “provide assurance on record integrity and what disposal status the record has.”<sup>5</sup>

### **Ideal System**

The last major finding of this study was what would be the ideal system for providing access to digital public records kept in the creating agency’s custody.

Based on the Data 61 / CSIRO report, QSA describes the following elements as necessary to provide this type of access:

1. The system should provide a single point of access – Public and government agency staff should be able to search public records held at all agencies from a single interface. Results of a search should be presented in such a way as to be easily interpretable by the searcher
2. The system should enable any requester to search for public records which are free of privacy concerns and whose release is not contrary to the public interest, and for the subset of public records the requester has the right to view (e.g., the requester’s own medical reports, property details, etc.).
3. The search system must respect security and privacy concerns. In some cases, the system should not even provide clues on the existence of some public records, as doing so would already breach security or privacy concerns. This requirement is paramount.
4. The system should consist of dedicated search engines for different types of public records. For example, there should be separate search engines for text, image, map, and video search.
5. Search customisability or parameterisation should be possible.
6. Should also search analog records.

Our interview with Archives NZ identified automated updating of content and metadata from linked systems, the ability to clearly indicate access status, disposal status, ownership status, and access/enquiry arrangements as essential features for an access system.

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<sup>5</sup> Ibid.

Archives NZ also noted that Archway was originally designed to provide a complete picture of records held across government. This would be ideal for guiding information seekers to the records they seek, but the technology and resourcing for such an initiative is not currently at that level.

## Conclusions

This study was able to shed some light on digital records kept in distributed custody, both in terms of current practices and the ideal systems of the future. We learned that many agencies are required to keep records in their custody after creation, sometimes for several years, and that governments are actively working to provide access to these records in the interest of public well-being and transparency.

This study also reaffirmed the idea that the public expects more from their government and wants to access information via a centralised system that is easy to use – the “one-stop-shop” model. While this concept may have seemed unachievable at a time, this study has proved that the one-stop-shop model can potentially be a reality, particularly through future development of systems like Archives NZ’s Archway. This study aimed to determine the ideal features in order to make this type of centralised, unified information system a reality.

## Products

Literature Review (Appendix I)

Contextual Analysis – Queensland State Archives (Appendix II)

Contextual Analysis – Archives New Zealand (Appendix III)

## References

See bibliographies of study products.

## Appendix I – Literature Review

Study Name:	Trusted online access to distributed holdings of digital public records
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Research domain:	Access
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Author:	InterPARES Trust
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## Introduction

This literature review will examine existing literature on the topic of trusted online access to digital public records, specifically, those that are not in archival custody and are distributed across various creating agencies of government. The three main questions the literature review aims to address are:

- Does government<sup>6</sup> have an obligation to make digital public documents that are kept in the creating agency's custody accessible to the public?
- How can government make digital public documents that are kept in the creating agency's custody available in a trustworthy and user-friendly manner?
- How can government deal with privacy and ethical concerns that come with making public records available online?

Working off of these questions, the literature review aims to provide a survey of literature with the intention of informing researchers whether or not governments have an obligation to make digital records that are not in archival custody accessible to the public, how governments can make these records accessible and the potential issues/risks of making online government documents available to the public. It is important to note that the literature consulted in this review addresses many different geographies and that legislation, policies and attitudes will vary.

### *Other sources of information:*

This literature review focuses mainly on how government can provide access to digital public records that have not been transferred to archival custody. There are other InterPARES

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<sup>6</sup> In this specific context, the term “government” is used as a comprehensive term for all levels of government.

Trust projects that have covered similar issues and whose research should be consulted in conjunction with this project. Relevant projects and their available documents include:

NA06 – Retention and Disposition in a Cloud Environment

- [Literature review v1](#)
- [Literature review v2](#)
- [Executive summary of user survey](#)
- [Functional requirements](#)

NA08 – The Implications of Open Government, Open Data, and Big Data on the Management of Digital Records in an Online Environment

- [Summary report](#)

EU02 – Open Government Data

- [Literature review](#)

Additionally, CSIRO/Data 61 has produced a report (publication forthcoming) for the Queensland State Archives in which similar questions regarding access to records held in government agencies are addressed.

*Literature search:*

The literature review surveys published works related to the scope of the project AA05: Trusted online access to distributed holdings of digital public records. The search strategy included searches of the following databases:

- Google and Google Scholar
- University of British Columbia Library catalogue
- Library and Information Science Abstracts (LISA)
- MLA International Bibliography

The following search terms were used in each:

- Open government
- Government records + access
- Government records + archive
- Public records + access
- Digital + government records
- Digital + government records + access
- Open data + archives
- Open data + government
- Open government + archives
- Open date + archives

The literature surveyed has been broken down into five main areas of importance followed by investigative case studies. The following areas are not listed in any particular order:

- Government responsibilities and obligations to citizens
- Ethical ramifications
- Execution and mechanics of making digital records available
- Risks and challenges
- The role of information professionals - libraries, archives and records management
- Investigative case studies

### **Government responsibilities and obligations to citizens**

Public records are the documents produced by a government during the course of business and are available to society to view.<sup>7</sup> These can range from budgetary or legal matters to real estate transactions. Essentially, any contact with government generates a public record.

Government, at all levels, has an obligation to citizens and must ensure that public records are accessible, regardless of where they are located. As government becomes increasingly more reliant on technology and more and more documents exist in digital form, providing access can become complicated. In their article “Internet Information-seeking and its Relation to Support for Access to Government Records,” David Cuillier and Suzanne Piotrowski explain that public access to government records is “essential for democratic self-governance, and attitudes toward that right can facilitate or hinder public policy regarding transparency.”<sup>8</sup> Citizens should be allowed access to public records such as sex-offender locations, road plans, budget information and restaurant inspections. By providing access to these types of records, government can increase citizens’ knowledge and safety.

According to former British Columbia Privacy Commissioner Elizabeth Denham, this type of effective record keeping and the proper maintenance of government records is an important public good and is essential to good governance.<sup>9</sup> Government has a great deal of responsibility to maintain and provide access to public records in the interest of ensuring

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<sup>7</sup> David S. Byrne, “Access to Online Local Government Public Records: The Privacy Paradox,” *Legal Reference Services Quarterly* 29.1 (2010): 1-21, DOI: [10.1080/02703190903554934](https://doi.org/10.1080/02703190903554934).

<sup>8</sup> David Cuillier and Suzanne J. Piotrowski, “Internet Information-seeking and its Relation to Support for Access to Government Records,” *Government Information Quarterly* 26.3 (2009): 441, DOI:[10.1016/j.giq.2009.03.001](https://doi.org/10.1016/j.giq.2009.03.001).

<sup>9</sup> Elizabeth Denham, British Columbia Government EBook Collection, and British Columbia. Office of the Information and Privacy Commissioner, *A Failure to Archive: Recommendations to Modernize Government Records Management*. Office of the Information & Privacy Commissioner for British Columbia, 2014, [http://www.llbc.leg.bc.ca/public/pubdocs/bcdocs2014\\_2/543674/special%20report%20failure%20to%20archive%20\(22july2014\)%20final.pdf](http://www.llbc.leg.bc.ca/public/pubdocs/bcdocs2014_2/543674/special%20report%20failure%20to%20archive%20(22july2014)%20final.pdf).

institutional memory, making sure that appropriate information is available to decision-makers, retaining evidence and accountability and ensuring that legal requirements are met.

Denham draws attention to the fact that the majority of government documents are now produced in electronic form and that these cannot be dealt with in the same way as paper records. Ideally, an important historical record can be created and organized so that it can be easily accessed by government officials, historians, journalists and citizens. It is government's responsibility to ensure that its electronic records do not grow obsolete. Denham insists that a trusted digital repository should address long-term data preservation and provide secure access to digital records.

Email is a particularly challenging issue in the context of access to digital public records. In the article "The Impact of Information Culture on Information/Records Management: a Case Study of a Municipality in Belgium," Svard notes that failure to accept email as an official record is problematic as many facets of government work exist in an entirely digital environment.<sup>10</sup> Alistair Tough also discusses the challenges of email and writes that important decisions that the public should have access to are often made in emails.<sup>11</sup> There is cause for concern if emails are not being properly preserved and allowed access to.

### **Ethical ramifications**

The general consensus among the literature consulted is that governments do indeed have an obligation to provide the public access to digital records that are not in direct archival

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<sup>10</sup> Proscovia Svard, "The Impact of Information Culture on Information/Records Management: a Case Study of a Municipality in Belgium," *Records Management Journal* 24.1 (2014): 5-21, DOI: [10.1108/RMJ-04-2013-0007](https://doi.org/10.1108/RMJ-04-2013-0007).

<sup>11</sup> Alistair Tough, "Accountability, Open Government and Record Keeping: Time to Think again?" *Records Management Journal* 21.3 (2011): 225-36, <http://search.proquest.com.ezproxy.library.ubc.ca/docview/904954589?pq-origsite=summon&accountid=14656>.



custody. One of the major themes in the literature on this topic is the ethics in providing such access. Barata et al. agree that open government is essential to good government and write that in an environment where information is withheld, there will be inevitable tensions and mistrust.<sup>12</sup> The article advocates for the involvement of citizens in open government, but for that to work, citizens must be well informed and have access to the facts about government activities. A free flow of information about what the government is doing on behalf of its citizens and how taxes collected from citizens are spent is essential for accountable government. This type of access to information is a basic human right as stated in the Universal Declaration of Human Rights.<sup>13</sup>

Barata et al. note that some have argued that since government acts on citizens' behalf and is funded from taxes paid by citizens, the records created by government agencies actually belong to the people. Thus, the presumption ought to be that government should make its records available to the public unless they can show good cause why they should be withheld (for example, matters of national security).

While this might seem reasonable in certain contexts, the ethics of access differ around the world. Barata et al. draw attention to the fact that asking for information in African societies, especially where there is a large social distance between the person seeking information and the government official, can sometimes be construed as impertinence.

In a survey facilitated by Luis Luna-Reyes and Soon Ae Chunn, participants expressed that if government data was to be open and searchable, it is ethical to conduct programs to

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<sup>12</sup> Kimberly Barata, Piers Cain, Dawn Routledge and Justus Wamukoya, "Information for Accountability Workshops: Their Role in Promoting Access to Information," in *Archives and the Public Good: Accountability and Records in Modern Society*. Ed. Richard J. Cox and David A. Wallace. 2002. Westport, US: Greenwood Press. ProQuest ebrary. 67-89, <http://site.ebrary.com/lib/ubc/reader.action?docID=10023340>.

<sup>13</sup> The United Nations, "The Universal Declaration of Human Rights," *www.un.org*, 1948, <http://www.un.org/en/universal-declaration-human-rights/>.

educate the public and create awareness about public data.<sup>14</sup> Luna-Reyes and Chunb note that new technologies and new opportunities for accessing public records constitute new opportunities to rethink traditional trade-offs between conflicting values such as privacy and transparency.

### **Execution and mechanics of making digital records available**

The major question addressed by literature in this area is *how* governments can actually make distributed digital public records available to citizens. Many researchers grapple with the huge amount of data that needs to be controlled and how to find a stable enough system that can preserve record integrity and privacy while also providing access to millions of people.

The literature makes it apparent that citizens need access to digital records and that the current system for doing so is ineffective and inadequate. According to Denham, government simply cannot stash away electronic records indefinitely on ministry servers without any appraisal for archival value. Much like how paper records require evaluation and preservation, electronic records either need to be destroyed or archived depending on their value to government and to citizens.<sup>15</sup> Currently, the British Columbia government's policy for transferring electronic records to the BC Archives is to print the records and transfer the paper records to microfilm. Denham notes that this is method is impractical and expensive.

How then, can government make digital records public? This question appears to still be in its infancy. Though many writers have proposed suggestions for solutions to this question, there does not seem to be any universally agreed upon approach for online access to government

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<sup>14</sup> Luis F. Luna-Reyes and Soon Ae Chunb, "Open Government and Public Participation: Issues and Challenges in Creating Public Value," *Information Polity* 17 (2012): 77-81, [DOI: 10.3233/IP-2012-0274](https://doi.org/10.3233/IP-2012-0274).

<sup>15</sup> Denham, *A Failure to Archive...*, 4.

records residing outside of archival custody and even fewer resources outlining a practical, working system.

One suggestion from Maria Jose Vicentini Jorente is the idea of digital vaults as discussed in the article "Archives Information Publishing New Design in Post-Custodial Regime: The National Archives Experience Digital Vaults."<sup>16</sup> While vaults may initially be associated with keeping people out and away from the materials inside, the Foundation for the National Archives in partnership US National Archives aims to change this with the Digital Vaults Experience. The Experience is a database that will provide a large number of visitors with access to valuable archival documents. The database provides access to about 1200 chosen documents which are linked by "design software, based on a digital system of relationships between keywords, translated into a convergence of visual experiences presentations."<sup>17</sup> A government system would certainly need to be able to accommodate more records, but The Digital Vaults Experience offers a good foundation.

Barata et al. also discuss a practical reality to the issue of providing access to online government records. They describe how the International Records Management Trust, Rights and Records Institute in collaboration with Transparency International developed the Information for Accountability Workshops. This project aimed to encourage improved public access to government information in order to develop a more informed civil society. The Workshops were designed to "encourage the public sector to educate citizens about what is publicly available and

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<sup>16</sup> Maria Jose Vicentini Jorente, "Archives Information Publishing New Design in Post-Custodial Regime: The National Archives Experience Digital Vaults," *Information Services & Use* 31.3-4 (2011): 147-155, [DOI: 10.3233/ISU-2012-0644](https://doi.org/10.3233/ISU-2012-0644).

<sup>17</sup> *Ibid.*, 150.

what is not and why not”<sup>18</sup> in order to create an environment where citizens feel comfortable requesting information.

While not everyone had an answer to the question of how to provide public access to digital government documents still held in creating agencies’ custody, there were many suggestions for what would need to be included in an ideal system. According to Nathan Mnjama and Justus Wamukoya in the article "E-Government and Records Management: An Assessment Tool for e-Records Readiness in Government," a system that provides access to government records must have the following characteristics:

- Comprehensiveness: the system should be able to show who, what, where, when, why and who was involved in the transaction that resulted in the record being created.
- Authenticity: a reflection of the activities and transactions that have been carried out concerning the record. (ie. an audit trail)
- Fixity: E-records should be tamper proof. Nobody should be able to alter the record.<sup>19</sup>

Another crucial point that Mnjama and Wamukoya make is that you cannot implement an electronic records system without first having a solid paper records system in place. It is important to ensure that there is a good record keeping foundation before proceeding to automate. While these are excellent points, this article does not discuss how to create access to digital records.

Similar to the above, Byrne does not particularly address issues of access, but presents several options for how to protect citizen privacy when making records accessible. He suggests

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<sup>18</sup> Barata et al., “Information for Accountability Workshops...,” 67.

<sup>19</sup> Nathan Mnjama and Justus Wamukoya, "E-Government and Records Management: An Assessment Tool for e-Records Readiness in Government," *The Electronic Library* 25.3 (2007): 274-84, DOI: [10.1108/02640470710754797](https://doi.org/10.1108/02640470710754797).

some options for partially sealed records or using verification on websites to allow access (ex. WebCivil and WebCrim databases are off limits to anyone mining or selling. In addition to agreeing with terms and conditions, users must pass a further security barrier to gain access by typing characters.) Byrne's final solution to prevent the misappropriation of data is by forcing users to pay for searches. This brings up all sorts of ethical issues, namely, that it is against the greater public good and citizens' rights to information.

Cuiller and Piotowski also have suggestions for how governments can deal with providing access to online public records. They note that, in order for this to be a successful project, government must show the public what they can gain from the online information available to them. Public information such as road plans, neighborhood crime information, airport noise maps, emergency response time maps and construction proposals could all be very useful to citizens. They also stress the need for an increase in support and funding for e-government and, much like the Workshops discussed by Barata et al., Cuillier urges government to train and educate the public on how to use the tools available to them. Reducing the knowledge gap is a key element in empowering citizens and connecting them with the information available to them.

Government can also use social media to engage with citizens about open data. InterPARES Trust researcher Dr. Patricia C. Franks has conducted extensive research in this area and explains that multiple levels of government, from police forces to elected officials, can use social media to provide data to the public and actively engage with citizens.<sup>20</sup> Franks notes that all governments, both repressive and progressive, "must redefine their commitments between

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<sup>20</sup> Patricia C. Franks, "Transforming Interactions Between Government and Communities Through Social Media," (PowerPoint presentation CAIS 2014, Memories, Identities, and Communities, Dundee, Scotland, April 24, 2014).

citizens and governments” and that this commitment should involve social media participation and the open data it produces.<sup>21</sup> Not only does the use of social media and other forms of e-government result in better communication with the public, it also fosters better communication within government internal departments by “challenging ‘traditional bureaucratic models’ whereby power flows vertically and communications between departments is prone to compartmentalization.”<sup>22</sup> Franks’ research is careful to cite that open government does not necessarily mean complete transparency in every single action. Rather, open government means that government should “not make policy in secret or behind closed doors.”<sup>23</sup>

### **Risks and challenges**

There are many risks and challenges to providing access to digital public records. Beverly Hart points out that inconsistent record keeping and a lack of standardization can be a struggle when trying to put records online and notes that government records should be facilitated by a “professional, career-oriented staff.”<sup>24</sup> Byrne agrees that professional staff are needed to manage government records because it requires a great deal of understanding to “find the right balance between the public’s right to know and the individual’s privacy rights.”<sup>25</sup> Professionally trained staff would understand how to care for records out of archival custody and would be strong assets in creating access to records in a distributed state.

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<sup>21</sup> Patricia C. Franks and Alison Weck, “Literature Review for Social Media and Trust in Government - Version 2,” *InterPARESTrust*, 2015, 12, [www.interparestrust.org](http://www.interparestrust.org).

<sup>22</sup> *Ibid.*, 12.

<sup>23</sup> *Ibid.*, 13.

<sup>24</sup> Beverly Hart, Stephen Ellis and Ian Pritchard, “The Appraisal and Scheduling of Government Records: A New Approach by the Australian Archives,” *The American Archivist* 50.4 (1987): 594, <http://www.jstor.org/stable/40293169>.

<sup>25</sup> Byrne, “Access to Online Local Government Public Records...,” 2.

Similar to Hart and Byrne, Adrian Cunningham and Margaret Phillips acknowledge that lack of standardization and lack of professional staff are some of the biggest issues when it comes to making records available online. Much like Cuillier and Piotowski, Cunningham and Phillips also insist that lack of funding inhibits the process of making government records not in archival custody available online. Perhaps the biggest challenge this article draws attention to is that information creators, particularly government agencies and politicians, still do not recognize the importance of keeping online information accessible for the future. They note that government changes all the time and information that might embarrass a government could easily be changed “accidentally, intentionally, even maliciously.”<sup>26</sup> For example, Indiana Governor Mike Pence removed citizens’ comments from a post he made on his social media account.<sup>27</sup> The backlash of this action resulted in thousands more comments from the public and serious questions regarding censorship. An online system for records remaining with their creating agency that is open and accessible to citizens may help prevent these quiet, and not so quiet, alterations to information and increase government accountability.

The other major issue that comes up in the literature is how to deal with big data. According to Nguyen et al., big data is often unorganized and lacks context. This can cause a “data rich, information poor”<sup>28</sup> scenario which makes it difficult to give the public access to the

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<sup>26</sup> Adrian Cunningham and Margaret Phillips, “Accountability and Accessibility: Ensuring the Evidence of E-Governance in Australia,” *Aslib Proceedings* 57.4 (2005): 308, <http://search.proquest.com.ezproxy.library.ubc.ca/docview/217748056?pq-origsite=summon&accountid=14656>.

<sup>27</sup> Franks, “Transforming Interactions Between Government and Communities Through Social Media.”

<sup>28</sup> Chinh Nguyen, Rosemary Stockdale, Helena Scheepers, and Jason Sargent, “Electronic Records Management – An Old Solution to a New Problem: Governments Providing Usable Information to Stakeholders,” *International Journal of Electronic Government Research* 10.4 (2014): 94-116.

information that they truly need. Many sources in this review stress that it is not enough to just make records available. Records must be available in plain language whenever possible so that citizens can understand the information available to them. To add to this, March and Dibbens hypothesize that user-friendly human-computer interfaces lead to better trust in the overall system.<sup>29</sup> Citizens should not have to wade through an unmanageable amount of data available through an incomprehensible platform to access information that they have the right to view. Regardless of where and in what form public data exists, the public should be able to access it relatively easily.

Privacy is a tremendous risk when it comes to open data. Krotoski<sup>30</sup> notes that it is possible to reverse engineer and identify anonymized data, but as Byrne explains, this can often be a lengthy and expensive process. The ideal public record system would be some type of hybrid of public access and privacy acts which promote access to public information and also protect the integrity of individuals.<sup>31</sup>

Additional risks outlined by Decman and Vintar in “A Possible Solution for Digital Preservation of E-Government: A Centralised Repository Within a Cloud Computing Framework” include security issues, dependency on network connections for access to documents, dependency on the availability and quality of services provided and bandwidth bottleneck problems.<sup>32</sup> In response to these potential risks, Decman and Vintar make a strong

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<sup>29</sup> S. March & M.R. Dibbens, “The Role of Trust in Information Science and Technology,” *Annual Review of Information Science and Technology* 37.1 (2003): 465–498, [DOI: 10.1002/aris.1440370111](https://doi.org/10.1002/aris.1440370111).

<sup>30</sup> A. K. Krotoski, “Data-driven Research: Open Data Opportunities for Growing Knowledge and Ethical Issues that Arise,” *Insights* 25.1 (2012): 28-32, [DOI: 10.1629/2048-7754.25.1.28](https://doi.org/10.1629/2048-7754.25.1.28).

<sup>31</sup> Svard, “The Impact of Information Culture...,” 6.

<sup>32</sup> Mitja Decman and Mirko Vintar, “A Possible Solution for Digital Preservation of E-Government: A Centralised Repository Within a Cloud Computing Framework,” *Aslib*



point that a risk management program should be an essential part of the government IT environment.

### **Role of information professionals - libraries, archives and records management**

Another common theme in the literature is what role information professionals like archivists, librarians and records managers can play in the challenge of making digital government records available to the public. [InterPARES Trust project EU02](#) provides extensive research in this area.

Robertson and Cunningham suggest that information professionals can assist with assessing the technological options for administering web-based records and help explore storage and preservation issues concerning online records.<sup>33</sup> Cunningham and Phillips narrow this idea and specifically describe the role of the archives as a body that can help protect the rights and entitlements of the governed by providing democratic accountability and empowering citizens against maladministration. In order to do this, information professionals need to be involved early on in the records process in order to minimize complexity and costs.

The common thought among the literature is that information professionals cannot solve this problem alone and must collaborate with other departments, such as IT and the individual government agencies to find a solution. Information professionals can provide expert advice on standards, classification, indexing and retrieval of records, but each institution or agency must decide for themselves what is appropriate for its own needs.

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*Proceedings: New Information Perspectives* 65.4 (2013): 406-424, [DOI: 10.1108/AP-05-2012-0049](https://doi.org/10.1108/AP-05-2012-0049).

<sup>33</sup> Anne Robertson and Adrian Cunningham, "Documenting the Business of Government – Archival Issues in the Digital Age," *Australian Academic & Research Libraries* 31.4 (2000): 188-201, <http://dx.doi.org/10.1080/00048623.2000.10755134>.

## Investigative case studies

Cunningham and Phillips highlight a few case studies that show governments successfully navigating the realm of digital public records. Sweden has been making digital public records available since 2002 when the government issued a decree authorizing the National Library to collect Swedish websites and allow public access to them on library premises. New Zealand has also engaged in similar practices for many years, first with the passing of the National Library of New Zealand Act in 2003 that extended legal deposit to include electronic publications and websites and in 2004 when the New Zealand Government granted the National Library \$24 million to ward off “digital amnesia” and implement plans for a trusted digital repository.<sup>34</sup>

A more recent example of government taking active steps towards making digital public records available can be found in Canada. In June 2016, the Canadian Government released a draft of Canada’s New Plan on Open Government 2016-2018<sup>35</sup> and sought the public’s feedback on the document. In addition to advocating for more openness and transparency in government, the document was structured into four priority areas:

- a. Open by Default: Canadians can easily access government data and information in open, standardized formats. Citizens have the tools and information they need to hold government to account, which builds trust in public institutions;
- b. Fiscal Transparency: Government of Canada financial and budget information is available and easy to understand, allowing Canadians to track how their tax dollars are spent and understand how government fiscal decisions are made, and enabling Parliament to review and approve government spending;

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<sup>34</sup> Cunningham and Phillips, “Accountability and Accessibility...,” 306.

<sup>35</sup> Government of Canada, “Canada’s New Plan on Open Government 2016-2018,” *open.canada.ca*, June 2016, <http://open.canada.ca/en/consultations/canadas-new-plan-open-government-2016-2018>.

- c. Innovation, Prosperity, and Sustainable Development: Government data and information can be used in innovative ways by Canadians to improve their lives, their businesses, and their country; and to create sustainable, inclusive social and economic progress worldwide; and
- d. Engaging Canadians and the World: Canadians have the information they need to meaningfully interact with and participate in their democracy. They have the opportunity to make their voices heard on government policy and programs from the start. Canada demonstrates leadership by championing open government principles and initiatives around the world.

These priority areas were then broken down further into 22 commitments. This is not an extensive list, but some commitments include:

- Enhance access to information
- Streamline requests for personal information (making it easier for Canadians to access their own personal information held by the the Government of Canada)
- Expand and improve open data (increasing the quality and visibility of government data holdings)
- Provide and preserve access to information (with the help of Library and Archives Canada)
- Enhance openness of information on Government spending and procurement
- Improve public information on Canadian corporations (provide searchable information on Canadian businesses that is held in business registries at the federal, provincial and territorial level)
- Open Data Canada (an initiative working towards standardization of data between provinces, territories and municipal partners)

Similar to Canada, the United States and the United Kingdom are committed to open data initiatives. Both countries provide access to large datasets of public information in the interest of providing a growing volume of meaningful data to citizens.<sup>36</sup> In the US, the web portal data.gov uses standardized metadata templates for searching and retrieving information for users ranging from individual citizens to large corporations operating at the international level. In the UK, the Office of Public Sector Information, which operates from within the National Archives, sets standards, delivers access and encourages the re-use of public sector information. Issues of data quality, accuracy and integrity are still present, but both countries rely on strong records management programs to establish trustworthy and reliable datasets.

## **Conclusion**

There is a great amount of literature about open data and open government, and although many have written about the unquestionable need for open information and the ethics and risks involved in the process, there is little information about how to execute such an initiative.

The literature generally points in the same direction, namely that open and transparent government, regardless of where records are in custody, is essential to public well being and good governance. The public has a right to know how they are being governed and in our current world of technology, most of the governing process takes place online. Implementation of a type of ERM system is the general agreement across the literature, though there is no consensus on a particular form or provider, only that such a system might need to be custom built. The literature does an excellent job exploring the potential risks involved in making digital public records outside of archival custody accessible and also highlights the role of information professionals in

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<sup>36</sup> Anne Thurston, "Trustworthy Records and Open Data," *The Journal of Community Informatics* 8.2 (2012): np., <http://ci-journal.net/index.php/ciej/article/view/951/952>.

libraries, archives and records management settings. We can look to governments of Canada, the United States and the United Kingdom for positive examples, but the literature acknowledges that these systems are by no means perfect and that the process of implementing open government and providing reliable and easy access to digital public records is still ongoing. All sources included in the literature review acknowledge the seriousness of this issue and urge governments to act now and to act quickly.

Barata, Kimberly, Piers Cain, Dawn Routledge and Justus Wamukoya. "Information for Accountability Workshops: Their Role in Promoting Access to Information." in *Archives and the Public Good: Accountability and Records in Modern Society*. Ed. Richard J. Cox and David A. Wallace. 2002. Westport, US: Greenwood Press. ProQuest ebrary. 67-89. <http://site.ebrary.com/lib/ubc/reader.action?docID=10023340>.

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[http://www.llbc.leg.bc.ca/public/pubdocs/bcdocs2014\\_2/543674/special%20report%20failure%20to%20archive%20\(22july2014\)%20final.pdf](http://www.llbc.leg.bc.ca/public/pubdocs/bcdocs2014_2/543674/special%20report%20failure%20to%20archive%20(22july2014)%20final.pdf)

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<http://search.proquest.com.ezproxy.library.ubc.ca/docview/904954589?pq-origsite=summon&accountid=14656>.



## Appendix II – Contextual Analysis: Queensland State Archives

### Section I: Organization

#### Name

- Official Name: Queensland State Archives
- Abbreviated Name: QSA

#### Location

- Queensland, Australia

#### Origins

- The QSA was established in 1959 and exists to support government integrity and maintain the corporate memory of government by overseeing the making and keeping of Queensland's public records. The QSA acts as the lead agency for government record keeping and offers practical record keeping advice and tools to over 500 Queensland authorities.<sup>37</sup>

#### Legal Status

- Legal Status: Public body
- Relevant Laws: Public Records Act 2002, Queensland's Right to Information Act 2009 (RTI Act).

#### Norms

- **Discretionary standards, methodologies, codes or regulations:** Public records are kept in accordance with a Retention and Disposal schedule authorized by the State Archivist. No records can be disposed of without the permission of the State Archivist according to the Public Records Act (2002). Agencies must maintain disposal logs for disposing public records.

#### Business purpose

*Business Sector:* Department of Housing and Public Works<sup>38</sup>

#### *Purpose/functions:*

- Issuing standards regulating the creation, management, disposal, storage, and preservation of government records
- Conducting research and providing advice to public authorities about the making, managing and preserving of public records
- Issuing policies, guidelines and tools to help public authorities make, keep and manage their public records

<sup>37</sup> Queensland Government, "Queensland State Archives," *The State of Queensland (Department of Science, Information Technology and Innovation)*, 29 Aug 2017, <https://www.qld.gov.au/dsiti/about-us/business-areas/digital-productivity/qld-state-archives>.

<sup>38</sup> The QSA was recently moved back from the now defunct Department of Science, Information Technology and Innovation to the Department of Housing and Public Works, a result of a general election late last year and the formation of a new Government.

- Ensuring archival government records are accessible to government and Queenslanders
- Identifying and preserving public records of permanent value as the state's archives
- Providing an appropriate storage environment for permanent archival records
- Authorising the display of public records

*Main Sources of Revenue:* Queensland State Archives' full financial statements are incorporated into the Department of Science, Information Technology and Innovation's Annual Report. Copies of the department's annual report can be found online at [www.qld.gov.au/dsiti](http://www.qld.gov.au/dsiti).

#### Mission/Mandate

The State Library of Queensland and the Queensland State Archives have a particular responsibility for collecting, preserving and disseminating material of Queensland significance. Together we are the key organisations responsible for capturing the essence and distinctiveness of Queensland as it changes, enabling today's environment to be interpreted in a wider context.<sup>39</sup>

#### *Vision/Goals Statement:*

To connect people with public records that increase understanding of Queensland's past and support efficient and accountable government.<sup>40</sup>

#### Governance

*Governance Structure:* QSA is a business unit within its parent government department, Department of Housing and Public Works. The head of QSA is the Executive Director and State Archivist, who reports to an Assistant Director-General and then a Director-General (and then a Minister).

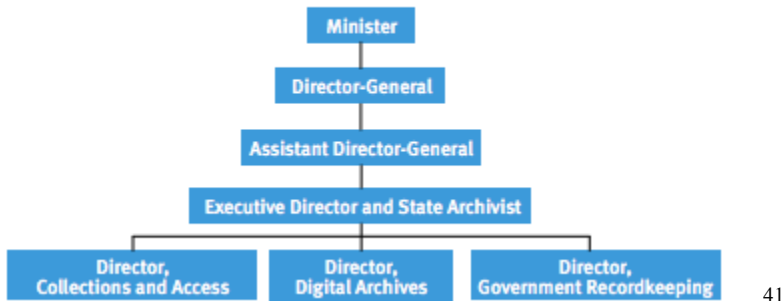
Day to day operations and strategic priorities are controlled by the State Archivist, with input from staff, but the State Archivist/State Archives can also be directed to do things by more senior officials. The State Archivist has some independent statutory powers under the Public Records Act, to issues standards/guidelines for recordkeeping and on records disposal authorization, but in all other matters he/she is subject to direction.

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<sup>39</sup> "Towards a Queensland Digital Content Strategy: A Statement of Intent By State Library of Queensland and Queensland State Archives," Feb 2010,

[http://www.slq.qld.gov.au/data/assets/pdf\\_file/0020/164414/QSA\\_Statement\\_of\\_Intent\\_170210.pdf](http://www.slq.qld.gov.au/data/assets/pdf_file/0020/164414/QSA_Statement_of_Intent_170210.pdf)

<sup>40</sup> "Annual Report," 2016, <https://publications.qld.gov.au/dataset/b6ed8930-fb63-48e7-8ef8-9b14d18cdfaf/resource/ab46d14a-f8a5-4854-9d86-8c1102c98a6d/download/annualreport2015-16.pdf>

*Chain of Authority / Organizational Chart:***Organisational structure**

- 86 employees
- Also maintains a Public Records Review Committee
- Partnership with Queensland State Library

**OUR WORKFORCE****Gender**

Female	Male
59	27

**Classifications**

Ao1	Ao3	Ao4	Ao5	Ao6	Ao7	Ao8	Po2	Po3	Po4	To3	To5	SO	SES3
12	8	3	7	14	10	8	7	6	3	1	1	5	1

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*Internal policies or regulations:*<sup>43</sup>

- IS40 – Record Keeping
- IS31 – Retention and Disposal of Public Records
- Digitisation Disposal Policy
- Disposal Freeze Policy
- Collection Management Policy

**Functions**

Administration

Research

Preservation

Access

<sup>41</sup> “Queensland State Archives Strategic Plan 2016-2020,” 2016, <https://www.qld.gov.au/dsiti/assets/documents/qa-strategic-plan-2016-20.pdf>.

<sup>42</sup> “Queensland State Archives Strategic Plan 2016-2010.”

<sup>43</sup> “Our Policies,” 15 Dec 2017, <https://www.qld.gov.au/dsiti/right-to-information/publication-scheme/our-policies>.

Training  
Exhibition  
Records Management



## Section II: Records creation

This section gathers information about the administrative and managerial framework within which the relevant digital records are created, and information about the records themselves.

### General description

Research conducted for this project focused on providing access to digital public records kept outside of archival custody. In this context, record creation takes place in the state government agency over the course of standard business, operational and administrative processes.

### Type of activities

The data our research consulted did not disclose which types of ministries were interviewed and therefore we are unable to comment on the specific activities. Some activities that we can comment on based on the documents discussed below are general population status tracking (births, deaths, marriages), Government activities, running of the Government, including Cabinet and Executive council processes, Government buildings and employment of civil servants, public surveillance, family history, immigration, legal matters, education, land sales and activities of the government.

### Documents resulting from activities<sup>44</sup>

- Public records on births, marriages and deaths
- Cabinet minutes
- Matters requiring formal approval
- Government building records
- State electoral rolls
- Records from the Colonial Secretary's Office
- Gazettes
- Indexes of Civil servants (1865-1987)
- Indexes of Imperial pensions
- Personal records, ex: driver's license
- Government records
- Maps
- Land orders
- Land sales
- Mining records
- Court dispositions
- School records
- Lists of immigrant ships and passengers

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<sup>44</sup> Explore our Collection," 26 Jun 2017, <https://www.qld.gov.au/recreation/arts/heritage/archives/collection> and "Government," 25 May 2017, <https://www.qld.gov.au/recreation/arts/heritage/archives/government>.

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## Existence of a records management program

The Queensland State Archives is the record keeping authority in its jurisdiction. It is the state's lead agency for government record keeping and offers practical record keeping advice and tools to over 500 Queensland public authorities.

The QSA considers public records to form the cornerstone of government accountability. They provide unique evidence and context of the actions and decisions taken by governments over time. Using the Public Records Act (2002), the QSA supports democracy and government integrity; maintaining the corporate memory of government by overseeing the making and keeping of Queensland's public records.

Other guiding legislation includes:<sup>45</sup>

- o Information Standard 31: Retention and Disposal of Public records
- o Civil Liability Act 2003
- o Electronic Transactions (Queensland) Act 2001
- o Evidence Act 1977
- o Financial Accountability Act 2009
- o Financial and Performance Management Standard 2009
- o Information Privacy Act 2009
- o Judicial Review Act 1991
- o Public Records Act 2002
- o Public Sector Ethics Act 1994
- o Public Service Act 2008
- o Right to Information Act 2009

## Individuals responsible for records maintenance

Senior management responsible overall for records management: Mike Summerell Executive Director & State Archivist

The QSA also has a Public Records Review Committee. The members of the QSA Public Records Review Committee include:

Mr Don MacKenzie – Chair  
Dr David Hamill AM  
Ms Kate Blackford-Slack  
Ms Julie Steel  
Ms Linda O'Brien  
Dr David Solomon AM  
Mr David Reed  
Ms Jennifer Clark<sup>46</sup>

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<sup>45</sup> "Recordkeeping IS40," 31 Oct 2017, <https://www.forgov.qld.gov.au/recordkeeping-%E2%80%93-is40>.

<sup>46</sup> "Queensland State Archives," <https://www.qld.gov.au/dsiti/about-us/business-areas/digital-productivity/qld-state-archives>.

*Information about the relationship of the individuals responsible for maintenance to the creation of the records:* This study did not yield specific information about standard records creation procedures. Below is information about how records are transferred, stored and access to the QSA.

The main focus of this study examined the QSA's use of distributed custody in regard to records access. In addition to storing records on the premises, QSA archivists may make special arrangements with public authorities regarding the storage of their records. The archivist may arrange with a public authority that the authority will store its electronic records at its premises rather than the QSA. The archivist may make an arrangement with a public authority that creates its own permanent archives that the authority may store its public records in the authority's archives rather than the archives.<sup>47</sup>

#### Existence of maintenance strategies

*Where are records kept:* The following is an excerpt from QSA's storage standards and reflect the storage maintenance practices used at QSA:<sup>48</sup>

The storage standard is based on 9 principles covering physical, administrative and systemic controls.

1. Location–storage facilities are conveniently located and away from known hazards.
2. Facility design and construction–storage facilities are specifically designed to protect and preserve records.
3. Environmental control–storage facilities provide environmental conditions that are appropriate to records' formats and retention periods.
4. Shelving and packaging–records are protected from damage and slow deterioration.
5. Accessibility–records can be easily identified, located and retrieved.
6. Handling–records are retrieved, handled and used in a manner that prevents damage and slows deterioration.
7. Privacy and security–storage conditions ensure the privacy and security of the records.
8. Protection from disaster–disaster management programs are established and maintained to minimize risks.
9. Monitoring and maintenance–storage facilities are monitored, managed and maintained to ensure records' safety.

*In what medium are records kept:*

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<sup>47</sup> Public Records Act 2002 <<https://www.legislation.qld.gov.au/view/pdf/inforce/current/act-2002-011>> (15 Nov 2017).

<sup>48</sup> "Select Storage," 21 Nov 2017, <https://www.forgov.qld.gov.au/select-storage>.

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In addition to paper, some types of storage media that QSA encounters are solid state media (portable hard drives, USB flash drives), magnetic media (floppy disks, magnetic tape) and optical media (CDs, DVDs).

*How are records organized (e.g. records are subject to classification, retention & disposition schedules; paper and digital records systems are integrated):*

Records are subject to classification, retention & disposition schedules and follow the standards set by the Public Records Act 2002, Information Standard 40: Recordkeeping and Information Standard 31: Retention and Disposal of Public Records.

*Provide a brief description of any methods used to attempt to avoid technological obsolescence while the records are still active or semi-active:*

The QSA is fully aware of the risks of technological obsolescence and takes the necessary steps to protect information. Formats that the QSA have identified as at risk of obsolescence are older forms of optical media and magnetic hard disks, tapes, cartridges and proprietary flexible disks (Bernoulli, Zip or Jaz disks).<sup>49</sup>

## Legal Requirements and Constraints

The Public Records Act 2002 governs recordkeeping in the Queensland public sector.

In accordance with the Public Records Act 2002, Section 7 Making and Keeping of Public Records:

(1) A public authority must— (a) make and keep full and accurate records of its activities; and (b) have regard to any relevant policy, standards and guidelines made by the archivist about the making and keeping of public records.<sup>50</sup>

At the QSA, the relevant laws influence all aspects of recordkeeping:

Full and accurate records are a combination of processes (such as the creation and capture of records) and essential attributes of records (such as being meaningful, inviolate and complete) which combine to provide necessary accountability. They must be made and kept for as long as they are required for business, legislative, accountability and cultural purposes. Full and accurate records are:

- created
- captured
- retained
- preserved
- adequate
- complete

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<sup>49</sup> “Store and Preserve Records,” 13 Jul 2017, <https://www.forgov.qld.gov.au/store-and-preserve-records>.

<sup>50</sup> Public Records Act 2002.



- meaningful
- accurate
- authentic
- inviolate
- accessible, and
- usable.<sup>51</sup>

## Normative Requirements and Constraints

### Ethical requirements and constraints

The most significant ethical matter relating to the QSA and recordkeeping practices involve the public's right to information. The Right to Information Act 2009 —formerly Freedom of Information Act protect the public's right to information. The Right to Information Act 2009 and the Information Privacy Act 2009 (IP Act), replaced the Freedom of Information Act 1992 on July 1, 2009. These laws ensure that information held by the Government is available. They ensure that there is equal access to information and that an individual's personal privacy is protected.

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<sup>51</sup> "Recordkeeping IS40," <https://www.forgov.qld.gov.au/recordkeeping-%E2%80%93-is40>.

### Section 3

#### Institutional readiness for information governance and records management

- Level 1 – information governance and recordkeeping are non-existent, minimal, or ad hoc (*Awareness*)
- Level 2 – developing awareness of the need (*Aware-Act*)
- Level 3 – the essential, or minimum requirements are met (*Consolidate*)
- Level 4 – has an established program with continuous improvement (*Consolidate-Internal*)
- Level 5 – information governance has been implemented into its overall corporate structure (*Internal*)<sup>52</sup>

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<sup>52</sup> See ARMA International and the GARP maturity model

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## Appendix III – Contextual Analysis: Archives New Zealand

### Section I: Organization

#### Name

- Official Name: Archives New Zealand, Te Rua Mahara o te Kāwanatanga
- Abbreviated Name: Archives New Zealand, ANZ or Archives NZ

#### Location

- Wellington, New Zealand
- Auckland, New Zealand
- Christchurch, New Zealand
- Dunedin, New Zealand

#### Origins

- Archives NZ was founded in 1957 as a response to the Hope Gibbons Building fire (1952) in central Wellington that resulted in the loss and severe damage to many government records.<sup>53</sup>

#### Legal Status

- Legal status: Public body
- Relevant Laws: Public Records Act 2005

#### Norms

- **Discretionary standards, methodologies, codes or regulations:** Archives New Zealand is the official guardian of New Zealand’s public archives.

The Public Records Act 2005 sets the framework for contemporary recordkeeping across government and Archives New Zealand works with government agencies to administer the Act.<sup>54</sup>

Under Section 18 (i) of the Public Records Act 2005 a public record or local authority protected record cannot be destroyed without the authorisation of the Chief Archivist. When public office and local authority organisations destroy information and records, they must ensure they meet all of their responsibilities.<sup>55</sup>

#### Business purpose

*Business Sector:* Department of Internal Affairs under Information and Knowledge Services (IKS).

#### *Purpose/functions:*

- manage the storage, preservation, and conservation of knowledge, information, heritage collections and taonga

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<sup>53</sup> Archives New Zealand, “Timeline,” *Department of Internal Affairs, New Zealand Government*, 2017, <http://archives.govt.nz/about/timeline>.

<sup>54</sup> “About,” 2017, <http://archives.govt.nz/about>.

<sup>55</sup> “Methods of Destruction,” 2017, <https://records.archives.govt.nz/resources-and-guides/methods-of-destruction/>.

- promote efficient and innovative access to those collections for the benefit of government and New Zealanders<sup>56</sup>

The Information and Knowledge Service branch includes the following groups and functions:<sup>57</sup>

*National Library of New Zealand, Te Puna Mātauranga o Aotearoa*

- develops and maintains the Crown’s documentary heritage collections, principally the Alexander Turnbull Library
- makes the National Library’s collections accessible in order to provide for the most advantageous use of those collections and resources
- supplements and furthers the work of other libraries in New Zealand
- works collaboratively with other institutions having similar purposes, including those forming part of the international library community
- provides other services that include access to information resources and bibliographic and school services
- promotes cooperation and work collaboratively with others on library matters within New Zealand and overseas

*Archives New Zealand, Te Rua Mahara o te Kāwanatanga*

- manages the Public Records Act 2005 and works with government agencies to administer the Act
- makes sure records of government decision making are created and those of long-term value, including digital, are transferred into its care
- provides record keeping advice and information to government agencies
- makes public archives accessible to government departments, other organisations and the public
- manages the public archives in a protected and secure environment
- provides leadership and support for archival activities across New Zealand.

*Main Sources of Revenue:* Archives NZ’s full financial statements are incorporated into the Information and Knowledge Service branch’s Annual Report. Copies of the branch’s annual report can be found online at: [https://www.dia.govt.nz/diawebsite.nsf/Files/DIA-Annual-Report-2016-17/\\$file/DIA-Annual-Report-2016-17-b.pdf](https://www.dia.govt.nz/diawebsite.nsf/Files/DIA-Annual-Report-2016-17/$file/DIA-Annual-Report-2016-17-b.pdf).

*Mission/Mandate*

Among the functions of the Chief Archivist, in achieving the purposes of the Public Records Act 2005, are, in relation to public archives:

- To control and administer public archives; and
- To ensure the preservation of public archives; and

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<sup>56</sup> “Our Organisation,” 2017, <https://www.dia.govt.nz/About-Internal-Affairs---Department-structure---Business-units#iks>.

<sup>57</sup> “Our Organisation,” <https://www.dia.govt.nz/About-Internal-Affairs---Department-structure---Business-units#iks>.

- To facilitate public access to, and promote the use of, public archives.<sup>58</sup>

#### *Vision/Goals Statement:*

In the wider archiving community, the department's goal is to provide leadership in all aspects of archiving from advice on recordkeeping for individual organisations to developing cross-agency services through, for example, the seamless online access to New Zealand's culture and heritage.<sup>59</sup>

#### *Governance*

*Governance Structure:* The Department of Internal Affairs' governance structure consists of a six-member Executive Leadership Team, which includes the Chief Executive and five Deputy Chief Executives, four Governance Committees, and a Management Board.

Archives New Zealand is headed by the General Manager who also serves as the Chief Archivist. The current General Manager and Chief Archivist is Richard Foy (acting). According to the Public Records Act 2005, the Chief Archivist sets the standards for creating and maintaining records and to carry out audits to ensure this is achieved. There is also a Māori consultative group, Te Pae Whakawairua, to provide the Chief Archivist with advice to ensure all our services meet the needs of Māori.

Archives NZ also consists of an Archives Council that advises the Minister responsible for Archives NZ on recordkeeping and archives matters.<sup>60</sup>

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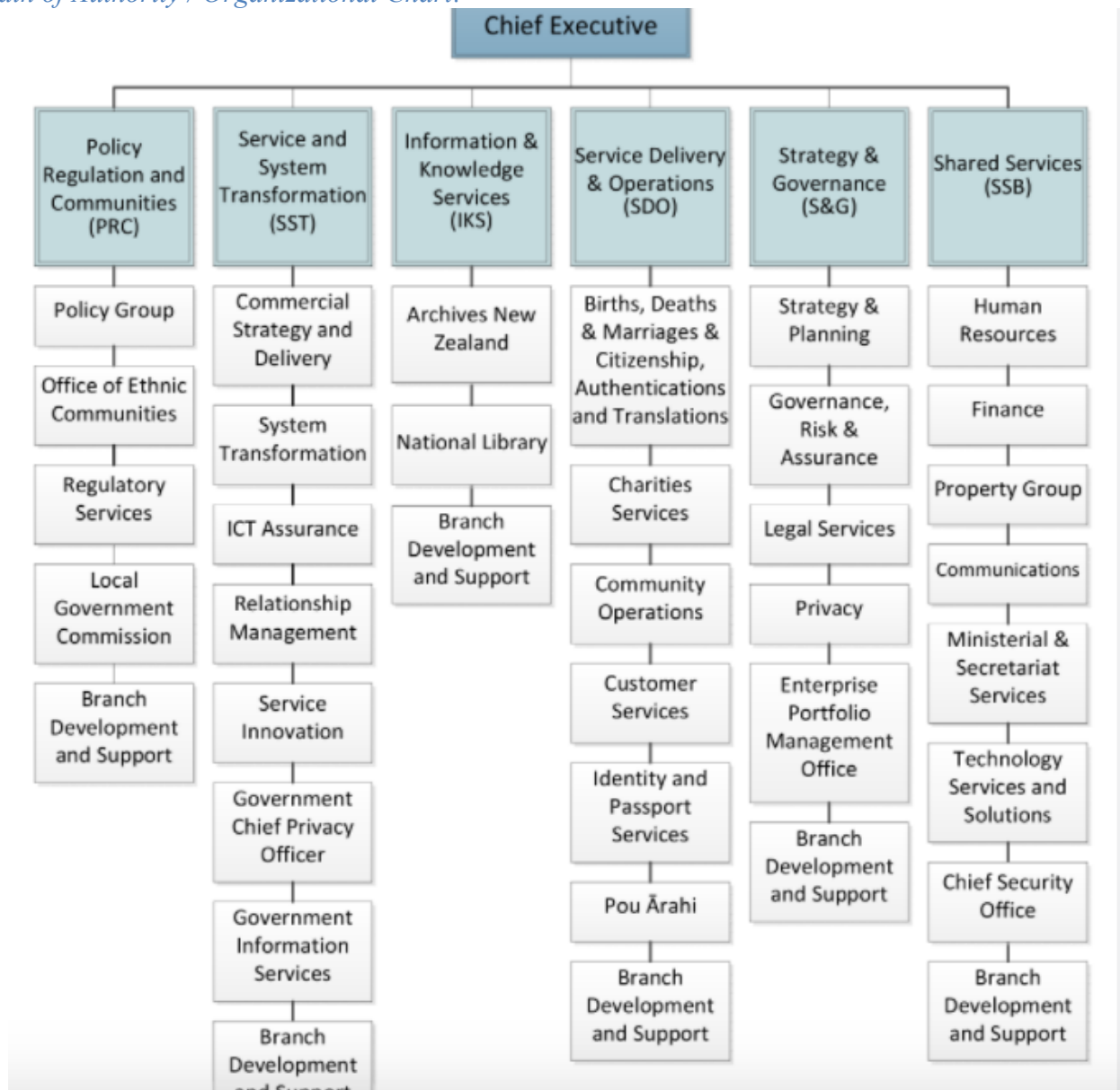
<sup>58</sup> "Digital Preservation Strategy," 2017, <http://archives.govt.nz/advice/government-digital-archive-programme/digital-preservation-strategy/digital-preservation-strat>.

<sup>59</sup> "2010-2013 Statement of Intent," 2010, <http://archives.govt.nz/about/publications-media/statements-intent/statement-intent-2010-2013>.

<sup>60</sup> "Statement of Intent 2011-2014," 2011, <https://www.dia.govt.nz/SOI/2011/nature-and-scope.htm#organisational-structure-and-governance>.

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Chain of Authority / Organizational Chart:



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*Internal policies or regulations:*

Information and Records Management Standard<sup>62</sup>

<sup>61</sup> Department of Internal Affairs, Government of New Zealand. "Organisational Chart." 2017, *Department of Internal Affairs, Government of New Zealand*, <https://www.dia.govt.nz/About-Internal-Affairs---Department-structure---Organisation-chart>.

<sup>62</sup> "Information and Records Management Standard," 2016, <https://records.archives.govt.nz/assets/Guidance-new-standard/16-S1-Information-and-records-management-standard-Pdf.pdf>.



Functions

Administration

Research

Preservation

Access

Training

Exhibition

Records Management



## Section II: Records creation

This section gathers information about the administrative and managerial framework within which the relevant digital records are created, and information about the records themselves.

### General description

Research conducted for this project focused on providing access to digital public records kept outside of archival custody. In this context, record creation takes place in the state government agency over the course of standard business, operational and administrative processes.

### Type of activities

Archives NZ has over 6,000,000 records that relate to almost every aspect of New Zealand life, and to the individual lives of New Zealanders, from the beginning of British Government in 1840 to the present day. They cover a wide range of subjects, a lengthy time period, and a variety of different media.<sup>63</sup>

### Documents resulting from activities<sup>64</sup>

- Government records
- Immigration records
- Probate records
- Coroner's reports
- Intentions to marry
- Military service records
- Maps, plans and other cartographic archives
- photographs and negatives
- Ministry records
  - The five most common requests for records include:
    - Probate files
    - Coroner's Inquests files
    - WW1 personnel files
    - Naturalisation/Alien registration files
    - Film requests<sup>65</sup>

### Existence of a records management program

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<sup>63</sup> "Over 6,000,000 Records," 2017, <http://archives.govt.nz/has/over-6000000-records>.

<sup>64</sup> "Over 6,000,000 Records," <http://archives.govt.nz/has/over-6000000-records>.

<sup>65</sup> Senior Advisors (Archives New Zealand), interviewed by Michelle Spelay via email correspondence, July 7, 2017.

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Archives NZ has a formal records management program governed by the Public Records Act 2005 and the Archives NZ Information and Records Management Standard (created under S 27 of the Public Records Act 2005). The major focus of the Standard is “to support effective information and records practices in complex business and government environments.”<sup>66</sup>

The Standard requires that public offices, including state and integrated schools and local authorities, including council-controlled organisations be compliant. General activities related to records management fall under the Standard’s three main principles:

Principle 1 - Organisations are responsible for managing information and records

- develop strategies and policies to direct how information and records will be managed
- assign responsibilities and allocate resources
- establish provisions for information and records management in outsourcing and service delivery arrangements
- monitor information and records management activities, systems and processes.

Principle 2 - Information and records management supports business

- ensure creation, usability, maintenance, and sustainability of information and records needed for business operations
- ensure that business operations meet government and community expectations
- define key information requirements

Principle 3 - Information and records are well managed

- ensure records and information are trustworthy, reliable, accessible, usable, shareable and maintained

#### Individuals responsible for records maintenance

Senior management responsible overall for records management: Richard Foy – Acting General Manager and Chief Archivist.

Archives NZ also has an Archives Council that advises the Minister responsible for Archives NZ on recordkeeping and archives matters. The current members of the Archives Council include:

Ms Sandi Beatie (Chair) - Term Expires May 2019

Dr Aroha Harris - Term Expires May 2019

Dougal McKechnie - Term Expires May 2020

Mr David Reeves - Term Expires May 2019

Dr Angela Wanhalla - Term Expires March 2018

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<sup>66</sup> “Information and Records Management Standard,” 2016,  
<https://records.archives.govt.nz/assets/Guidance-new-standard/16-S1-Information-and-records-management-standard-Pdf.pdf>.

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Anna Blackman - Term Expires March 2018  
Thomas Norcliffe - Term Expires March 2018<sup>67</sup>

*Information about the relationship of the individuals responsible for maintenance to the creation of the records:* This study did not yield specific information about standard records creation procedures. This study focussed extensively on the distributed custody model that Archives NZ currently uses. Section 43 of the Public Records Act 2005 states that an access status must be set for any records once they reach the age of 25 or are transferred to Archives NZ.

Public offices are setting their own access status in consultation with Archives NZ. There are approved repositories that can receive transfers of public records – these have to be approved by the Chief Archivist and have special instruction regarding identification and control, facilities, protection against disaster, security, shelving and packaging, and environmental control.

Archives NZ has acknowledged that sometimes the agencies are the best place for the records to live. There are provisions in the Public Records Act to ensure that key information is held in agencies for as long as it is needed. Archives NZ explains that “It’s useful because the agency may be the best place to manage specialised information, meaning specialised databases are not duplicated across the system. Also, it may have benefits for providing a temporal dimension to an existing dataset or information corpus, for example, the geo data in our environmental and land management agencies. [For example,] agencies, like landonline, and complex datasets held in the Statistics NZ Integrated data initiative.”<sup>68 69</sup>

Existence of maintenance strategies

*Where are records kept:*

- Regional Offices in Wellington, Auckland, Christchurch and Dunedin

Below are the required storage rules for archives as determined by the Archives NZ Maintenance of Public Archives Guide:<sup>70</sup>

- Archives must be stored in a dedicated storage area.
- Storage areas must allow ongoing access to archives by authorised users.

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<sup>67</sup> “Archives New Zealand,” 2017, <https://www.dia.govt.nz/About-Internal-Affairs---Department-structure---Archives-New-Zealand>.

<sup>68</sup> Senior Advisors (Archives New Zealand), interviewed by Michelle Spelay via email correspondence, July 7, 2017.

<sup>69</sup> Stats New Zealand, “Integrated Data Infrastructure,” 2017, *New Zealand Government*, <https://www.stats.govt.nz/integrated-data/integrated-data-infrastructure/>.

<sup>70</sup> “Maintenance of Public Archives: Instruction to Approved Repositories,” 2014, <https://records.archives.govt.nz/assets/Guidance-new-standard/16-Sp2-Maintenance-of-public-archives-Instruction-to-approved-repositories-Pdf.pdf>.

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- Archives must be stored in locations which reflect the characteristics of their format and their retention period.
- The building in which archives are stored must comply with the New Zealand Building Code that applied at the time of construction and associated codes and standards, and be appropriate for use in storing archives.
- The building in which archives are stored must have adequate drainage systems to prevent flooding.
- Dedicated storage areas for archives must be insulated from the climate outside.
- Dedicated storage areas for archives must be protected against internal hazards e.g. vermin or fire caused by an electrical fault.
- A building maintenance programme must be in place.
- Archives must be stored away from sunlight and artificial light.
- Magnetic media must be stored away from magnetic fields.
- Dedicated storage areas for archives must be kept clean and free of insects, with no food or drink permitted.
- Archives must be stored in conditions where the relative humidity is never above 60% RH or below 30% RH.
- Archives must be stored in conditions where the temperature is never above 25 degrees Celsius.
- Archives must be stored in conditions where relative humidity does not fluctuate by more than  $\pm 5\%$  RH in a 24 hr period, and seasonal variations are not more than  $\pm 10\%$  RH over a year. Maintenance of public archives (Instruction to approved repositories).
- Archives must be stored in conditions where temperature does not fluctuate by more than  $\pm 2$  degrees Celsius in a 24 hr period, and seasonal variations are not more than  $\pm 5$  degrees Celsius over a year.
- Environmental conditions for archives must be regularly monitored, and records of monitoring must be kept.

*In what medium are records kept:*

Records are kept in a variety of different mediums at Archives NZ, including:

- Paper
- Photographs and negatives
- Motion pictures
- Video (mostly 35mm and 16mm film as well as video tape and digital video)
- Audio tapes
- Artefacts

For more information, refer to the guide to best practice in storage:

[http://archives.govt.nz/sites/default/files/uide\\_to\\_best\\_practice\\_in\\_storage\\_publication\\_1\\_14.pdf](http://archives.govt.nz/sites/default/files/uide_to_best_practice_in_storage_publication_1_14.pdf)

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### *How are records organized*

- Records are subject to classification, retention & disposition schedules.
- Archives NZ uses the GAIMS (Government Archives Integrated Management System) classification standard. GAIMS was developed in 1985 as an alternative to the record group system, commonly referred to as "series lists".<sup>71</sup>
- Archives NZ collects descriptive, administrative, technical, structural and file metadata. For born digital records they use the Rosetta METS schema (<http://www.loc.gov/standards/mets/profiles/00000042.xml>). Capture is semi-automated and combines descriptive and file metadata provided by the government organisation with technical and file metadata that Archives NZ can extract and create a metadata package for importing into the finding aid and digital repository. Archives NZ's current descriptive schema doesn't accommodate the metadata required for born digital records, so they have to store some in the digital repository for use in a future improved finding aid system.<sup>72</sup>

### *Provide a brief description of any methods used to attempt to avoid technological obsolescence while the records are still active or semi-active*

- Archives NZ is fully aware of the risks of technological obsolescence and takes the necessary steps to protect information. Archives NZ acknowledges that "Systems have to ensure interoperability across platforms and domains and over time" and that "digital evidence, in the form of records, often has operational or juridical requirements for persistence over periods of time that may exceed the lifespan of the hardware or software that created it." As a result, Archives NZ ensure that record information is able to be presented in a manner that can be "modified, if necessary, for migration to other technology platforms."<sup>73</sup>

### **Legal Requirements and Constraints**

The Public Records Act 2005 governs recordkeeping in the New Zealand Public Sector.

In accordance with the Public Record Act 2005: 17: Requirement to create and maintain records:

(1) Every public office and local authority must create and maintain full and accurate records of its affairs, in accordance with normal, prudent business practice, including the records of any matter that is contracted out to an independent contractor.

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<sup>71</sup> "About Archway, 2017, <http://archives.govt.nz/has/about-archway/archival-system>.

<sup>72</sup> Senior Advisors (Archives New Zealand), interviewed by Michelle Spelay via email correspondence, July 7, 2017.

<sup>73</sup> "Digital Record Keeping Standard," 2010, [http://archives.govt.nz/sites/default/files/S5\\_Digital\\_Recordkeeping\\_Standard.pdf](http://archives.govt.nz/sites/default/files/S5_Digital_Recordkeeping_Standard.pdf).

(2) Every public office must maintain in an accessible form, so as to be able to be used for subsequent reference, all public records that are in its control, until their disposal is authorised by or under this Act or required by or under another Act.

(3) Every local authority must maintain in an accessible form, so as to be able to be used for subsequent reference, all protected records that are in its control, until their disposal is authorised by or under this Act.<sup>74</sup>

### Normative Requirements and Constraints

#### Ethical requirements and constraints

The most significant ethical matter relating to Archives NZ and record keeping practices involved the public's right to information. In 1982, the Official Information Act passed, bringing 'freedom of information' to New Zealand. The Act established the principle that government information should be made available unless there were good reasons not to do so.

#### Technological Requirements and Constraints

Archway is an Archives NZ system that acts primarily an archival management system but also as the online finding aid. Archway is "designed to be a central place for discovery, that then points people to another website for access."<sup>75</sup> The original goal was for Archway to provide a complete picture of records held across government<sup>76</sup> in attempts to create a "one-stop-shop" model for government information. The technology has not been fully developed at this time, but at this point, Archway contains descriptions of over six million records that have been transferred from government agencies to the four Archives NZ offices.<sup>77</sup>

## Section 3

### Institutional readiness for information governance and records management

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<sup>74</sup> Public Records Act 2005 <<http://www.legislation.govt.nz/act/public/2005/0040/31.0/DLM345529.html>> (15 Nov 2017).

<sup>75</sup> Senior Advisors (Archives New Zealand), interviewed by Michelle Spelay via email correspondence, July 7, 2017.

<sup>76</sup> Senior Advisors (Archives New Zealand), interviewed by Michelle Spelay via email correspondence, July 7, 2017.

<sup>77</sup> "About Archway," 2017, <http://archives.govt.nz/has/about-archway>.

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- Level 1 – information governance and recordkeeping are non-existent, minimal, or ad hoc (*Awareness*)
- Level 2 – developing awareness of the need (*Aware-Act*)
- Level 3 – the essential, or minimum requirements are met (*Consolidate*)
- Level 4 – has an established program with continuous improvement (*Consolidate-Internal*)
- Level 5 – information governance has been implemented into its overall corporate structure (*Internal*)<sup>78</sup>

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<sup>78</sup> See ARMA International and the GARP maturity model

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Public Records Act 2005

<<http://www.legislation.govt.nz/act/public/2005/0040/31.0/DLM345529.html>> (15 Nov 2017.)

Senior Advisors (Archives New Zealand), interviewed by Michelle Spelay via email correspondence, July 7, 2017.

Stats New Zealand. “Integrated Data Infrastructure.” 2017. *New Zealand Government*. <https://www.stats.govt.nz/integrated-data/integrated-data-infrastructure/>.



## **Trusted Online Access to Distributed Holdings of Digital Public Records**

### **Interview Protocol**

These questions are given to participants prior to the interview.

#### **(1) Information gathering phase**

This is for us to better understand the context of your records management and archival practices. No identifying information will be used in any publication or presentation of research results, unless authorized by your express consent.

1. Participant information, to be answered by all participants:
  - a. Name:
  - b. Job Title:
  - c. Years working in the position:
  - d. Other positions held in the agency:

#### **(2) Interview phase**

These three sections will help us understand how your organization facilitates access to digital public records outside of their custody. No preparation is necessary – these questions are provided for your convenience only.

##### *Section I: Your Experience*

This is to better understand what types of information your organization maintains and how you provide access to this information.

1. What types of information requests do you receive? Who requests information from you?
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2. What types of resources and budget do you have to respond to requests?
3. How does your organization manage paper records held in distributed custody?  
What are the access procedures for those records?
4. How often does your organization transfer paper records (or receive transferred records) to a central archival repository? Digital records?
5. Approximately what percentage of your holdings are digital?
6. How many requests for digital content does your organization receive per month?
7. How does your organization provide access to digital records **in** its custody?
8. How does your organization provide access to digital records not held in its custody?
9. What kind of obligation does government have to provide access to digital public records outside of their custody?
10. What are other systems you have heard of (if any) that provide access to digital records in distributed custody?
11. What are the biggest challenges of providing access to digital records not held in your custody?
12. What are the biggest risks of proving access to digital records not held in your custody? (Security? Record integrity? Personal privacy?)
13. What types of metadata do you collect? How do you characterize it? Is it automated or manual?
14. How important is metadata in locating and providing access to records?

*Section II: Perceptions*

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This section is intended to gather your perceptions of the desirable qualities, whether currently in existence or theoretical, for a system that provides access to digital holdings outside archival custody and how to best engage with those who would use this system.

15. What does an ideal system for providing access to digital holdings outside archival custody look like? What are the mandatory features?
  16. What are your thoughts on a “one stop shop” model for citizens to gain access to digital public records?
  17. How could we better inform citizens about the types of digital records available to them?
  18. What kind of training would be needed for employees to successfully facilitate access to digital distributed holdings?
  19. Do you think that ‘Open by Default’ government is achievable? Why or why not? What are the challenges of this type of initiative?
  20. As an information professional, what do you see your role being in making distributed digital holdings available?
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