11 March 2019

File Ref: OIA 38735

Tēnā koe ▮▮▮

Official Information Act request

Thank you for your information request dated 8 March 2019. You asked for the following information:

> "A copy of your organisation's policy on information and record management. This is the document that is required by Archives NZ to comply with their Information and Records Management Standard"

Your request has been considered in accordance with the Official Information Act 1982 (the Act).

Three documents have been identified in scope of your request. The documents and my decisions with regard to the release of the information are set out in the table attached as Appendix A.

I trust my response satisfies your request.

You have the right to seek an investigation and review by the Ombudsman of this response. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

Please note that Te Puni Kōkiri publishes some of its OIA responses on its website, after the response is sent to the requester. The responses published are those that are considered to have a high level of public interest. We will not publish your name, address or contact details.

If you wish to discuss any aspect of your request with us, including this decision, please feel free to contact Greg Duncum, Chief Information Officer, at greg.duncum@tpk.govt.nz.

Ngā mihi

Fiona McBeath
Manahautū Tuarua Te Puni Tautoko | Deputy Chief Executive, Organisational Support

Appendix A – documents OIA request from Rosie Brown dated 8 March 2019

Item	Date	Document description	Decision
1.	8 Poutū-te-rangi 2019	DA646 Disposal Schedule – the Te Puni Kōkiri disposal schedule, as agreed with Archives	*Release in full*
2.	8 Poutū-te-rangi 2019	Te Puni Kōkiri Appraisal Report – Appraisal report outlining our disposal authority	Version provided has personal information redacted in accordance with section 9(2)(a) of the Act
3.	8 Poutū-te-rangi 2019	Te Puni Kōkiri Records Management policy	Release in full
4.	Further information	http://www.archway.archives.govt.nz/ViewEntity.do?code=ABJZ	

		Record Details		Retention Details			Metadata Access	Content Access				
Class Number	Reference Number	Class Title	Description	Trigger Point for becoming non-current	Minimum Retention Period	Final Disposal Action	Access Status	Access Status	Applies From	Reason for Restriction	Restriction Duration (in years)	Restriction Justification
1		**ACCOUNTABILITY, GOVERNANCE AND STRATEGIC MANAGEMENT** This class covers the function of providing overall governance, oversight, strategic decision-making and accountability for Te Puni Kōkiri. Some records are included in this class because they fall outside the scope of GDA 6 classes concerning accountability.										
	1.1	**Governance, Planning and Strategic Management Records** - records associated with the governance roles of the Audit and Risk Committee, the Executive Team (ET), and other ET-mandated governance groups in relation to the activities of Te Puni Kōkiri										
	1.1.1	Audit and Risk Committee and other ET-mandated governance group records	These records document the meetings and decisions of the Audit and Risk Committee and other governance groups, and may include: • Agendas • Meeting minutes • Papers presented	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to any legally privileged records will be restricted	Date Closed	Legal Privilege	Indefinite until released	Required to protect legal professional privilege
	1.1.2	Executive Team and Senior Management Team meeting records	These records document the senior management/leadership team decision-making processes and development of high-level organisational policy in all areas of substantive functions at both national and regional decision-making levels, including: • Papers, briefings, high-level correspondence, and reports provided to the group • Final agreed agendas and minutes • Finalised action points and notes on decisions	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to any legally privileged records will be restricted	Date Closed	Legal Privilege	Indefinite until released	Required to protect legal professional privilege
	1.1.3	Routine and Administration Records	Records of the routine day-to-day administration of senior leadership and advisory groups, such as: • Preliminary records that are superseded by the substantive records • Meeting arrangements • Room bookings • Travel arrangements • Low-level administrative and routine correspondence	date last version added	5 years	Destroy	Open					
	1.2	**Toihautū | Chief Executive Papers** - records relating to papers created and received by the Chief Executive										
	1.2.1	Advice to the Toihautū | Chief Executive	These records document advice advice provided specifically to the Toihautū | Chief Executive, covering topics ranging from policy advice, relationship management, organisational strategy, or a briefing on a particular event, person or issue. Records may include: briefings, reports, and minutes.	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to any legally privileged records will be restricted	Date Closed	Legal Privilege	Indefinite until released	Required to protect legal professional privilege
	1.2.2	Strategic Relationship Management	These records document high-level relationship management activities between the Toihautū | Chief Executive and primary stakeholders not covered by other classes of records. Records may include: • Memoranda of Understanding • Relationship management meeting records	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				
	1.2.3	Toihautū | Chief Executive significant correspondence	Includes significant correspondence to and from members of the public expressing their view of the agency or a particular piece of government policy and its impact on Māori development.	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				

Record Details				Retention Details			Metadata Access	Content Access				
Class Number	Reference Number	Class Title	Description	Trigger Point for becoming non-current	Minimum Retention Period	Final Disposal Action	Access Status	Access Status	Applies From	Reason for Restriction	Restriction Duration (in years)	Restriction Justification
	1.2.4	Administrative support to the Toihautū | Chief Executive	Records documenting the administrative support to the Toihautū | Chief Executive. Records may include: • Diary Records • Itineraries • Copies of information supplied for reference purposes • Invitations • Congratulations and condolence messages • Low-level administrative and routine correspondence including OIA and Privacy Act requests	date last version added	5 years	Destroy						

		Record Details		Retention Details			Metadata Access	Content Access				
Class Number	Reference Number	Class Title	Description	Trigger Point for becoming non-current	Minimum Retention Period	Final Disposal Action	Access Status	Access Status	Applies From	Reason for Restriction	Restriction Duration (in years)	Restriction Justification
2		**PROGRAMMES AND SERVICES**										
		This class covers records that describe a broad range of initiatives administered by Te Puni Kōkiri designed to benefit Māori										
2.1		**Provision of Programmes and Services** - records relating to the provision of services to Māori through a range of initiatives and interventions										
	2.1.1	Programme strategic planning	Strategic planning records concerning the establishment and development of programmes/services, including: • All minutes and background papers from, and provided to, the Governance Group • Regular periodic reporting and returns about programme progress, outcomes, and statistics • Strategic plans and action plans for programmes • Proposals for new programmes • Business cases • Background research • Risk evaluation • Benchmarking • Programme evaluation • Position papers	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				
	2.1.2	Contract and agreement management	These records include: • Establishment of requirements and specifications • Negotiation documentation • Successful funding applications, contract, MOU, and agreement documentation • Monitoring and reporting records including all forms of: contract reporting; audits; and contract meeting records	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to any legally privileged records, and/or commercially sensitive, and/or personal information will be restricted	Date Closed	Privacy - sensitive / Commercially sensitive / ==== / Legal Privilege	70 years / ==== / Indefinite until released	Applications for financial assistance, and Matauranga Māori considerations / ==== / Required to protect legal professional privilege
	2.1.3	Māori Business Facilitation Service (MBFS)	Records concerning the provision of mentoring and advice to a wide range of Māori business clients. These include; • Regular periodic reporting and returns about programme progress, outcomes, and statistics • Strategic plans and action plans • Background research, Business cases, Proposals for new programmes, Programme evaluation • Briefing Papers and Position papers • Monitoring and reporting records including; All forms of contract reporting; All forms of audits; Contract meeting records	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to client records will be restricted	Date Closed	Privacy - sensitive / Commercially sensitive	70 years	To prevent the disclosure of sensitive personal information
	2.1.4	Māori Wardens Project	Records concerning the functions and governance of Māori Wardens, and the delivery of programmes for Māori Wardens. These include; • All minutes and background papers from, and provided to, the Governance Group; Briefing Papers and Position papers • Regular periodic reporting and returns about programme progress, outcomes, statistics, and Programme evaluation • Strategic plans, action plans, and funding records	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				

	Record Details			Retention Details			Metadata Access	Content Access				
Class Number	Reference Number	Class Title	Description	Trigger Point for becoming non-current	Minimum Retention Period	Final Disposal Action	Access Status	Access Status	Applies From	Reason for Restriction	Restriction Duration (in years)	Restriction Justification
	2.1.5	Māori Housing Network	Records concerning the functions and governance of the Māori Housing Network, and the delivery of housing initiatives for Māori. These include; • Briefing Papers and Position papers; minutes and background papers from, and provided to, the Governance Group • Regular periodic reporting and returns about programme progress, outcomes, and statistics • Strategic plans and action plans • Background research, Business cases, Proposals for new programmes, Programme evaluation • Monitoring and reporting records including: All forms of contract reporting; All forms of audits; Contract meeting records	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				
	2.1.6	Raw research data, interview transcripts	Records include anonymised raw data and interview transcripts from research reports and Action Research assessments	date last version added	30 years	Destroy						
	2.1.7	Routine and Administration Records	Records of the routine day-to-day administration of managing programmes, relationships with stakeholders, and the procurement and contract process. Includes: • Advertising • Meeting arrangements • Travel requests • Other operational records concerned with programme delivery • Low-level administrative and routine correspondence	date last version added	5 years	Destroy						
	2.1.8	Client Files for all programmes that Te Puni Kōkiri administers	Records include: • Financial information • Contact Details • Private whānau information	date last version added	10 years	Destroy						

		Record Details		Retention Details			Metadata Access	Content Access				
Class Number	Reference Number	Class Title	Description	Trigger Point for becoming non-current	Minimum Retention Period	Final Disposal Action	Access Status	Access Status	Applies From	Reason for Restriction	Restriction Duration (in years)	Restriction Justification
	2.2	Whānau Ora Programme - records relating to this innovative, precedent-setting and high-profile programme delivering services to Māori.										
	2.2.1	Whānau Ora Programme management and strategic planning	Records concerning the management, planning, research and reporting related to the Whānau Ora Programme. Includes: • All minutes and background papers from, and provided to, the Governance Group and Regional Leadership Groups • All Action Research contracts, reports and assessments • All Whānau Transformation data including A3 reports developed • Te Puni Kōkiri's interactions with the Whānau Ora Commissioning Agencies • Strategic plans and action plans • All Quarterly reports	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				
	2.2.1	Contract and agreement management	These records include: • Establishment of requirements and specifications • Negotiation documentation • Contract, MOU, and agreement documentation • Monitoring and reporting records including: all forms of contract reporting; all forms of audits; contract meeting records	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to any legally privileged records, and/or commercially sensitive, and/or personal information will be restricted	Date Closed	Privacy - sensitive Commercially sensitive ==== Legal Privilege	70 years ==== Indefinite until released	To prevent the disclosure of sensitive information
	2.2.3	Raw research data, interview transcripts	Records include anonymised raw data and interview transcripts from research reports and Action Research assessments	date last version added	30 years	Destroy						
	2.2.4	Routine and Administration Records	Records of the routine administration of the procurement and contract process. Includes: • Advertising • Meeting arrangements • Travel requests • Other operational records concerned with programme delivery • Low-level administrative and routine correspondence	date last version added	5 years	Destroy						
	2.2.5	Whānau Integration Innovation and Engagement (WIIE) Fund client files	Records include: • Five year Whānau Plans • Private whānau information • Contact Details	date last version added	10 years	Destroy						
	3	MONITORING & EVALUATION Records describing the inputs and outputs of activities and transactions undertaken in the course of monitoring compliance, entities, State Sector outcomes, evaluating our programmes and outcomes, and maintaining an internal audit programme.										
	3.1	Audits, monitoring and evaluation - final reports and summaries	Summaries and final reporting of results for all audit, monitoring and evaluation programmes	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				
	3.2	Monitoring and evaluation programme development	Development of monitoring and evaluation programmes, and high-level strategy and policies	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				

Class Number	Reference Number	Class Title	Description	Trigger Point for becoming non-current	Minimum Retention Period	Final Disposal Action	Metadata Access — Access Status	Access Status	Applies From	Reason for Restriction	Restriction Duration (in years)	Restriction Justification
	3.3	Monitoring Crown Entities	High-level Briefings and Reports on the activities of the Crown Entities for which Te Puni Kōkiri holds budget responsibility. The agencies include: Te Māngai Pāho; Te Taura Whiri i te Reo; Māori Television Service; Te Tumu Paeroa; and Te Putataki Paoho.	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				
	3.4	Monitoring other agencies	High-level Briefings and Monitoring Reports on the activities of other Government agencies, and also Māori Trust Boards.	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				
	3.5	Monitoring and evaluation programme data, documentation and analyses	Data collected for the purposes of reviewing and evaluating programmes/services, including: • Anonymised surveys and questionnaires; interview transcripts, notes and schedules • Audio and video recordings of interviews • Data analyses • Discussion documents • Summaries of research	date last version added	30 years	Destroy						
	3.6	Routine and Administration records	Working records concerned with reviewing and evaluating programmes/services, including: • Preliminary statistical data • Literature reviews • Consultation drafts • Meeting minutes, low-level correspondence • Peer review documents and correspondence Administration of monitoring and evaluation programmes, including travel bookings, low-level administrative and routine correspondence.	date last version added	5 years	Destroy						
4		**POLICY DEVELOPMENT** This class includes activities where Te Puni Kōkiri is the lead agency for policy development work, the interactions and reports to the Minister of Māori Development about Māori policy, records of consultation carried out and the research and analysis undertaken during the formation of policy. Access to legally privileged records will be restricted.										
	4.1	Policy Development and Advice where Te Puni Kōkiri is the lead agency	Provision of policy advice to the portfolio Minister, other Ministers, and agencies. As the lead Government agency on Māori issues, Te Puni Kōkiri records in a number of areas have considerable archival significance. These include, but are not limited to: Crown Māori Treaty relationship, Housing, Māori Wardens, Māori Trust Boards, Te Ture Whenua, Marae, Mātauranga Māori, Te Reo Māori, Treaty Settlements and issues, and Whānau Ora.	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to any legally privileged records will be restricted	Date Closed	Legal Privilege	Indefinite until released	Required to protect legal professional privilege

Class Number	Reference Number	Class Title	Description	Trigger Point for becoming non-current	Minimum Retention Period	Final Disposal Action	Metadata Access – Access Status	Content Access – Access Status	Applies From	Reason for Restriction	Restriction Duration (in years)	Restriction Justification
	4.2	Policy Development and Advice providing a Māori perspective where Te Puni Kōkiri is not the lead agency	These records include, but are not limited to: Broadcasting, Constitutional issues, Environmental issues, Foreshore and Coastal Areas, Property Rights, and Sites of Significance.	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to any legally privileged records will be restricted	Date Closed	Legal Privilege	Indefinite until released	Required to protect legal professional privilege
	4.3	Te Puni Kōkiri Legislative Programme	Management of the legislative programme.	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to any legally privileged records will be restricted	Date Closed	Legal Privilege	Indefinite until released	Required to protect legal professional privilege
	4.4	Routine and Administration Records	Operational and routine day-to-day records relating to the administration of policy advice, and the legislative programme.	date last version added	5 years	Destroy						
5		RELATIONSHIP MANAGEMENT	This class of records documents the role of Te Puni Kōkiri in providing brokerage, facilitation, information and other support to state sector agencies, local government and non-government entities to engage with and support Māori inclusion and access to resources and services generally and to assist the Treaty settlement process in particular.									
	5.1	Consultation with Māori	This sub-class contains records documenting the engagement Te Puni Kōkiri has with Māori. Through its regional offices, Te Puni Kōkiri manages an extensive network of relationships which enable engagement and consultation with Māori communities.									
	5.1.1	Consultation with Māori	Summary high-level records and final reports on consultation with Māori. Records may include: • High-level Briefing Papers • High-level correspondence with external parties • Consultation and research reports	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to sensitive Matauranga Māori records will be restricted	Date Closed	Privacy - sensitive	70 years	To prevent the disclosure of sensitive information pertaining to Matauranga Māori
	5.1.2	Consultation - Support for other agencies	Support provided to other agencies to engage with Māori. Records may include: • High-level Briefing Papers • High-level correspondence with external parties	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				
	5.1.3	Routine and Administration Records	Administrative records of consultation with Māori. Includes: • Advertising • Meeting and travel arrangements • Non-summary consultation records • Low-level administrative and routine correspondence	date last version added	5 years	Destroy						
	5.1.4	Low-level consultation records	Low-level records of consultation with Māori	date last version added	30 years	Destroy						
	5.2	Nominations and Appointments - This sub-class contains summary records of Māori Warden appointments, and appointments to Government appointed boards and organisations including Crown Entities for which Te Puni Kōkiri has statutory responsibility										

Class Number	Reference Number	Class Title	Description	Retention Details — Trigger Point for becoming non-current	Minimum Retention Period	Final Disposal Action	Metadata Access — Access Status	Content Access — Access Status	Applies From	Reason for Restriction	Restriction Duration (in years)	Restriction Justification
	5.2.1	Appointments - Summary	Briefings, final reports and summary records of Māori Warden appointments, and appointments to Government-appointed boards and organisations for which Te Puni Kōkiri has statutory responsibility, or are of particular significance to Māori. Includes Māori Television Service, Te Tumu Paeroa, Te Māngai Pāho, Te Taura Whiri i te Reo, Māori Land Court, Waitangi Tribunal, and the Poutama Trust.	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Open				
	5.2.2	Information on successful appointees	These records could include any expression of interest, statutory declaration, applications details, and a copy of the warrant/s.	date last version added	30 years	Destroy						
	5.2.3	Nominations - Summary	Briefings, final reports and summary records of nominations to Government-appointed boards and organisations not of particular significance to Māori.	date last version added	5 years	Destroy						
	5.2.4	Information supplied by applicants	All CVs and related correspondence provided by applicants will be destroyed once this information is no longer required for the purpose for which it was first collected.	date last version added	when no longer required	Destroy						
	5.2.5	Routine and Administration Records	Operational and routine day-to-day records relating to the administration of appointments to Government appointed boards and organisations. Includes: • Meeting and travel arrangements • Low-level administrative and routine correspondence	date last version added	5 years	Destroy						
5.3			**Relationship Management Strategy** - This sub-class contains records documenting the development of internal strategies for managing relationships with iwi, other agencies and stakeholders									
	5.3.1	Relationship Management Strategy	The records within this sub-class provide high-level evidence of the relationship management strategy and are an example of how the Crown is meeting its Treaty of Waitangi obligations. Records may include: • Memoranda of Understanding • Relationship management meeting records • Briefing Papers • High-level correspondence with external parties	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to 'negotiation sensitive' or legally privileged records will be restricted	Date Closed	Legal Privilege === Privacy - sensitive	Indefinite until released === 70 Years	Required to protect legal professional privilege === To prevent the disclosure of negotiation sensitive information, and Matauranga Māori
	5.3.2	Routine and Administration Records	Records of the routine day-to-day administration of the relationship management strategy. Includes: • Meeting and travel arrangements • Low-level administrative and routine correspondence	date last version added	5 years	Destroy						
5.4			**Treaty of Waitangi claims and settlements** - This sub-class contains records documenting the involvement of Te Puni Kōkiri in the Treaty of Waitangi claims process including mandating, negotiations, implementation of settlements, and post-settlement processes. Many of these records may be either 'negotiation sensitive' or legally privileged.									

Record Details				Retention Details			Metadata Access	Content Access				
Class Number	Reference Number	Class Title	Description	Trigger Point for becoming non-current	Minimum Retention Period	Final Disposal Action	Access Status	Access Status	Applies From	Reason for Restriction	Restriction Duration (in years)	Restriction Justification
	5.4.1	Treaty of Waitangi claims and settlements	Management of the process of settlement claims. Includes working with Office of Treaty Settlements, negotiating parties, stakeholders in the claims and settlement process. The high-level records within this sub-class demonstrate Te Puni Kōkiri's involvement in the process of achieving settlements, and managing post-settlement relationships. *Access to these records is restricted because they are either 'negotiation sensitive', or contain information that has been provided to Te Puni Kōkiri by iwi and hapū as part of their negotiations, settlement, and post-settlement processes. These records are restricted for 70 years to protect cultural knowledge, after which time the restriction should be reviewed by the Chief Executive of Te Puni Kōkiri. This restriction may be extended after the review.*	date last version added	10 years	Transfer to control of the Chief Archivist as a public archive	Open	Access to 'negotiation sensitive' or legally privileged records will be restricted	Date Closed	Legal Privilege === Privacy - sensitive	Indefinite until released === 70 Years	Required to protect legal professional privilege === To prevent the disclosure of negotiation sensitive information, and Matauranga Māori
	5.4.2	Routine and Administration Records	Records of the routine day-to-day administration of settlement claims and negotiations, including meeting bookings, travel requests, and low-level administrative and routine correspondence.	date last version added	5 years	Destroy						

Te Puni Kōkiri
REALISING MĀORI POTENTIAL

Appraisal Report

Functions, activities and records evaluation

File/Document ID	
Agency	Te Puni Kōkiri Ministry of Māori Development
Contact Name and Details	[name removed] [name removed]
Date	7 April 2016

Purpose

This Report creates a Te Puni Kōkiri Disposal Authority and Schedule that can be applied to, and implemented with, both electronic and physical records to provide an effective and efficient records management framework. It replaces any previous Disposal Authorities. The Report will:

- ensure on-going coverage for the legal disposal of records created by Te Puni Kōkiri in alignment with the Public Records Act 2005;

- enable the identification of records of high value which will require permanent retention as archives;

- enable the identification of records of low archival value which may be destroyed once no longer required for on-going business;

- enable the implementation of management systems for electronic and hard-copy records; and

- support a culture of best practice for recordkeeping within the organisation.

Scope

This schedule covers records in all formats created by Te Puni Kōkiri in carrying out its functions.

The schedule excludes:
- Classes of records covered by the Archives NZ General Disposal Authorities (GDAs), except where there is a disposal recommendation that differs from the GDA recommendation; and

- Physical objects/artefacts as they are not records under the Public Records Act 2005.

Records Format

Records created by Te Puni Kōkiri are stored in physical and electronic formats. Physical records are mainly documents, together with maps, photographs, CDs, audio tapes, and video tapes. Electronic records are mainly documents, with some image files, video and/or audio recordings.

INTERNAL AFFAIRS
Te Tari Taiwhenua

Some records may be held in more than one format as either physical, and/or born-digital, and/or digitised records. In these instances, the format for retention is the one that contains the most comprehensive content. The format will be determined when the schedule is applied.

Where records have been recommended for destruction, all formats will be destroyed.

Agency and System Information

Agency code   ABJZ
Agency name: Te Puni Kōkiri - Ministry of Māori Development
Year established: 1992
Year dis-established: Current

Te Puni Kōkiri was formed under the provisions of the Ministry of Māori Development Act 1991 and began operation on 1 January 1992, taking over the functions and responsibilities of the Iwi Transition Agency and Ministry of Māori Affairs. Section 5 of the Act sets out the Ministry's responsibilities:

- Promoting increases in the levels of achievement attained by Māori with respect to -
  - education
  - training and employment
  - health
  - economic resource development
- Monitoring, and liaising with, each department and agency that provides or has a responsibility to provide services to, or for, Māori for the purpose of ensuring the adequacy of those services.

Te Puni Kōkiri administers a number of Acts of Parliament, and has responsibility for monitoring compliance, reviewing legislation, and enacting any required amendments. Refer to Archway for a list of relevant legislation: http://www.archway.archives.govt.nz/ViewEntity.do?code=ABJZ

Successive governments have progressively increased the scope of the responsibilities of Te Puni Kōkiri. In November 2013, Cabinet agreed that the substantive roles of Te Puni Kōkiri are:

- **Ārahitanga**: Provision of strategic leadership and guidance to Ministers and the State Sector on the Crown's ongoing and evolving partnership and relationship with iwi, hapū and whānau Māori.
- **Whakamaherehere**: Provision of advice to Ministers and agencies on achieving better results for whānau Māori.
- **Auahatanga**: Development and implementation of innovative trials and investments to test policy and programme models that promote better results for whānau Māori.

To give effect to these roles, Cabinet agreed that all departments would consider and support the principal role of providing a mix of advice and investment that is focussed on supporting positive Crown-iwi, hapū and whānau Māori partnerships and relationships, and State Sector effectiveness for Māori.

Our Outcome Areas and Strategic Direction

Our four outcomes reflect a change in thinking and a holistic approach to Māori development. Underpinning the framework is a determination to work collaboratively and cooperatively across the Ministry on our priority mahi that contribute to these outcomes.

- **Identity:** Māori language, culture and values holding a place at the centre of Māori and Aotearoa New Zealand identity. Within Identity, Te Puni Kōkiri recognises the importance of maintaining a leadership role in government efforts to support the revitalisation of Te Reo Māori and Māori culture, as well as promoting the rights and interests of hapū and iwi in regards to natural resources and the natural environment.

- **Wellbeing:** Māori New Zealanders being confident of enjoying both opportunities and outcomes that are equal to those of all New Zealanders. Wellbeing encompasses the situations of whānau Māori in the areas of health, education, housing and employment and the importance of positive outcomes in these areas to the welfare of Māori. The aspiration here is the improvement of livelihood and the immediate environment for Māori.

- **Prosperity:** High-performing people, assets and enterprises creating a thriving Māori economy. Prosperity is having the opportunity to make choices. A key way to achieve this is by way of the effective utilisation and deployment of skills and resources. Resilient whānau, thriving resources, and economic development contribute to whānau confidence and provide the opportunity to share equal outcomes with all New Zealanders.

- **Relationships:** The Crown and iwi Māori experiencing genuine engagement and productive, enduring relationships. Relationships recognises the importance of Te Tiriti o Waitangi, the partnership that it establishes between Māori and the Crown, and the reciprocal obligations of the Crown and Māori. To ensure the protection of Māori rights and interests, it is a relationship that requires active preservation through regular engagement and connection.

Success in these outcomes will see:

- Māori language, culture and values holding a place at the centre of Māori and Aotearoa New Zealand identity;

- Whānau Māori being confident of enjoying both opportunities and outcomes that support their aspirations and are equal to those of all New Zealanders;

- High-performing people, assets and enterprises creating a thriving Māori economy; and

- The Crown and iwi Māori experiencing genuine engagement and productive, enduring relationships.

Our Goals: Whānau, Whare, Whenua

Empowering whānau Māori means supporting whānau to find solutions for themselves. Whānau Māori who have the capacity to make their own decisions and who are connected to their language and culture are the more resilient among us. Confident and capable whānau can readily engage with the world and share equally in the outcomes and opportunities of all New Zealanders.

Ensuring that whānau live in functional and supportive environments is essential if whānau are to be strong, healthy and adaptable. The centre of this environment is the whare, which encompasses both the idea of a physical home as well as the wider community. It is a platform enabling whānau Māori to contribute valuably to their own wellbeing, which is critical in breaking the cycle of poverty.

Providing opportunities for the utilisation and protection of whenua Māori is essential to realising whānau, hapū, and iwi Māori success more widely. It is critical for Māori that they are able to realise the full economic potential of their tangible and intangible assets. Equally it is integral that the role as kaitiaki of the whenua is maintained to safeguard it for future generations.

How we carry this out

As a Policy Ministry we are committed to providing well-informed and strategic advice to address the needs and aspirations Māori hold: as hapū and iwi partners to the Treaty of Waitangi; as culturally distinct peoples; and as whānau members and citizens.

Through our national and regional network we are committed to facilitating effective relationships between Māori communities and stakeholders, and to assisting others to understand and respond to the needs and aspirations of iwi, hapū, and whānau Māori communities.

As an investment agency we are committed to smart and accountable investment to evidence new policy and programme approaches to support Māori-led development and better outcomes.

Our functions, and the mix of ways in which we apply them, are critical to how we deliver the best possible support to the Māori Development and Whānau Ora portfolios and priorities, and the diverse range of issues which sit across them.

- The Policy Partnership Te Puni works in partnership with Government agencies and Te Puni Kōkiri stakeholders, to design and deliver policies that have a significant impact on Māori.

    Our work involves policy leadership across a range of Māori-specific initiatives, and influencing policy advice across the State Sector to ensure that other agencies consider, and address, improving the quality of outcomes for iwi, hapū, and whānau Māori.

- The Regional Partnerships Te Puni manages relationships with, and investment in, iwi, hapū and whānau Māori at both a local and national level, including monitoring of the Whānau Ora approach.

  Te Puni Kōkiri has a network of regional offices and sub-offices across New Zealand. These offices provide a direct link to iwi, hapū, and whānau Māori; and allow Māori communities to provide feedback that strengthens the government's understanding of Māori views, aspirations and experience. Our regional staff provide facilitation and brokerage services to communities and government and non-government agencies, and develop and implement local initiatives to help build the capacity of Māori organisations.

- The Strategy and Organisational Performance Te Puni is responsible for strategy and planning; research and evaluation to support organisational policy and decision-making; risk management; reporting and monitoring to manage organisational performance; and organisational knowledge.

- The Organisational Support Te Puni provides the processes, systems and advice that enables the organisation to operate effectively.

Record-keeping systems used

Since 1 January 2003, Te Puni Kōkiri has used an electronic document and records management system, (OpenText Content Server), to store all electronic records.

Microsoft Office (including Outlook) has been integrated into Content Server and is used throughout the organisation. Other file formats include pdf, jpeg, and avi.

The key outputs from other business systems, including Finance, Contract Management, HR, and Ministerials records are all saved in Content Server.

The majority of electronic records created prior to 1 January 2008 have not been classified as they were managed on a shared drive or on the initial unstructured version of Content Server which contains approximately 588,000 items, (approximately 70GB).

Since 1 January 2008, all records saved into Content Server have had metadata applied at time of saving.

There are approximately 2,000,000 born-digital and digitised electronic records saved in Content Server. Counting only the most recent versions, these records take up about 405GB. A further 175,000 items are added annually.

Records are saved under one of six business functions:

- **Policy Development:** Contains all documentation created or received during activities and transactions relating to the development of policy. Sorted by work streams or programmes.

- **Relationship Management:** Activities relating to the development and management of relationships with Māori.

- **Investing & Intervening:** Contains all documentation created or received during activities and transactions relating to investments from the Māori Potential Fund (Non Departmental Output Expenses, NDOE); the Whānau Ora: Whānau Integration, Innovation and Engagement (WIIE) Fund; and other funding initiatives. Records cover the development and decisions of investment concepts and approved proposals, contracting, evaluation, and monitoring.

- **Monitoring & Evaluation:** Contains the inputs and outputs of activities and transactions undertaken in the course of monitoring compliance, entities, State Sector outcomes, evaluating our programmes and outcomes, and maintaining an internal audit programme.

- **Strategic Management & Accountability:** Records relating to Te Puni Kōkiri strategy and planning undertaken by the executive and senior management teams.

- **Te Puni Kōkiri Management:** Records relating to the ongoing administration and management of Te Puni Kōkiri including personnel, financial management, property and equipment management, information management, communications, Ministerial, and legal records.

Since December 2010, all new physical records have been created within this functional file structure. A significant number of existing physical records have been migrated to the functional file structure from the previous stand-alone alphanumeric structure.

The majority of physical records are paper-based. Other physical records include maps, photographs, CDs, audio tapes, and video tapes. There are 9,200 physical volumes (44%) created in the functional file structure. Over time, the balance of approximately 12,000 volumes (56%) remaining in the stand-alone alphanumeric structure will be appraised and migrated to the new structure or disposed of in accordance with the relevant Disposal Authority.

Approximately 835 linear metres of physical records are held onsite. Onsite storage and management of physical records is provided by the Records Team and consists of:

- A number of dedicated areas of file shelving for all centrally-managed physical records
- Dedicated secure storage onsite for management of physical records of a more sensitive nature

Approximately 1,245 linear metres of physical records are held offsite via an outsourcing agreement with a specialist records storage company.

Methodology

This report is based on a functional analysis of the business activities of Te Puni Kōkiri, with reference to other agencies' Disposal Authorities, and community expectations about permanent retention of those records. Throughout the process, there was regular communication with Archives New Zealand.

Definitions:

Disposal Trigger Point:
Identifies the point from when the retention period begins.
- *Electronic records = date last version added*
- *Physical records = date created for most recent volume*

Minimum Retention Period:
The <u>minimum</u> length of time that a record is retained after the disposal trigger point before the prescribed Disposal Action is undertaken. Where physical and electronic records are linked, the appraisal will be initiated after the minimum retention period from the earliest trigger point.

Current Records:
*All records that **have not** yet reached the end of the retention period.*

Non-Current Records:
*All records that **have** reached the end of the retention period. Once a record becomes Non-Current, it may be disposed of (either Retained as public archive or Destroyed).*

Records must be kept for the minimum period specified.

Once the minimum retention period has passed, records identified for destruction may be destroyed.

Disposal Criteria

Archives New Zealand's Appraisal Statement sets out six appraisal criteria against which to assess the value of records in terms of their relative contribution to the knowledge and understanding of New Zealand's history and communities:

- **Business value:** *Records that are fundamental to the ability of a public office or local authority to carry out its business and enable continuity of services to the Aotearoa New Zealand public.*

- **Accountability:** *Records that are fundamental to providing citizens with trust in government; providing evidence of the well-being of the community and the impact of government activities on them, in compliance with relevant legislation and regulations.*

- **Rights and entitlements:** *Records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups.*

- **Legitimacy of authority:** *Records that identify and document the source of authority and foundation of the machinery of government of Aotearoa New Zealand and its public sector bodies.*

- **Te Tiriti o Waitangi:** *Records that provide evidence of recognition and respect for, fulfilment of or aspirations to Te Tiriti o Waitangi /Treaty of Waitangi principles and the Crown's obligations, or in the absence of this, evidence of failure to fulfil obligations and/or principles.*

- **Knowledge:** *Records that will substantially contribute to knowledge and understanding of New Zealand, its history, geography, society, culture and achievements and New Zealanders' sense of their national identity.*

In addition to these criteria, Te Puni Kōkiri has taken Mātauranga Māori into account in recognising the value of records in the day to day life of Te Puni Kōkiri, and in identifying records of enduring archival value.

Records that do not meet one or more of these criteria are recommended for destruction. These include:

- Routine administrative or operational records where other records providing high-level overview or summary information are retained as archives such as:
  - Routine audits and reviews of programmes and processes
  - Records of the development of routine operational processes, tools, frameworks and programmes
  - Meeting arrangements, agendas, travel bookings, catering, communications
  - Low-level administrative and routine correspondence

- All records that are held subject to the requirements of the Privacy Act will be reviewed on a regular basis to check whether they are still required for the purpose for which they were first gathered. Records no longer required will be destroyed.

Consultation

Internal Consultation

The retention and disposal schedule was developed in consultation with staff covering a range of roles and levels of experience across Te Puni Kōkiri. A Draft Appraisal Report and Retention Schedule were circulated for further clarification and input. Generally no significant issues were raised. Gaps and ambiguities were identified and clarified, and descriptions checked for accuracy and relevance. Specific topics included:

- The importance of Mātauranga Māori in recognising the value of records.

- Clarification of coverage for records that are subject to the Privacy Act.

- Value of records created under Class 3: Monitoring and Evaluation and the importance of retaining raw data for future research. This resulted in the proposed 30 year minimum retention period to allow time to establish the value of these records.

Appendix 1 has a list of staff consulted.

External Consultation

Copies of the Draft Appraisal report and Retention Schedule were sent to a range of external stakeholders including iwi organisations and government agencies that might have an interest in Te Puni Kōkiri records. Generally no significant issues were raised. Specific feedback supporting the following issues was taken into account in finalising the report, including:

- The value of understanding processes around decision-making

- Retention of significant correspondence records to and from members of the public expressing their view of the agency or a particular piece of government policy and its impact on Māori development.

- Retention of interview notes of any evaluation materials, correspondence, audio and video recordings of interviews, and other data-sets where these contain richer data on topics that final reports based on these data.

- The importance of retaining Te Puni Kōkiri submissions on legislation and policy where Te Puni Kōkiri is not the lead agency. In many of these areas, Te Puni Kōkiri has an important monitoring and advisory role, and retention of these records together with the background work will remain solely within the Te Puni Kōkiri record.

- Retention of culturally sensitive records but with appropriate restrictions in place to ensure that such documents cannot be accessed without the consent of the holders of the culturally sensitive knowledge contained therein.

Appendix 2 contains the emails that were sent to external stakeholders.

Appendix 3 has a list of those organisations invited to take part in this process, and the roles of those representatives that responded.

Class 1: ACCOUNTABILITY, GOVERNANCE AND STRATEGIC MANAGEMENT

This class covers the function of providing overall governance, oversight, strategic decision-making and accountability for Te Puni Kōkiri. Some records are included in this class because they fall outside the scope of GDA 6 classes concerning accountability. This class includes sub-classes for:
- Governance, Planning, and Strategic Management
- Toihautū | Chief Executive Papers

Class 1.1 Governance, Planning and Strategic Management Records

Description

The records of leadership and governance provide summary information at a high level about the performance of Te Puni Kōkiri, and the information used to undertake functions and make decisions through the reports and papers presented.

The Audit and Risk Committee supports the decision–making processes of the Executive Team and its predecessors, and provides an additional level of governance with a specific focus on risk.

Both the Executive Team and the Audit and Risk Committee have formal documentation of their meetings that includes agendas, minutes, reports and papers presented.

Other governance groups may be established by the Executive Team (ET) to support decision-making and implementation of specific kaupapa as required.

Value statement

Over the years, significant changes have been made to the structures and approaches for supporting Māori, and these records provide an important perspective on Te Puni Kōkiri, its functions and operations.

The substantive records of leadership and advisory groups provide summary information at a high level about the performance of the functions of Te Puni Kōkiri. They provide evidence of, and information about, high-level decision-making through the minutes, and the information used to make those decisions, from the reports and papers presented. These records meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Strategic policy and planning records are evidence of how the machinery of government operates. They document the nature of the operations of Te Puni Kōkiri, the extent of its powers and how those powers were exercised.

The records will be invaluable for research into:
- what decisions were made about how services would be delivered
- how the decisions came about
- the changes in structure and policy directions over time, and/or
- what were the drivers for change

Records documenting the meetings and decisions of the Audit and Risk Committee and other governance groups and substantive records of leadership and advisory groups demonstrate the accountability of Te Puni Kōkiri, and provide evidence of what decisions were taken in relation to the development and implementation of government policy as it pertains to Māori, and the basis for these decisions. They meet the Archives New Zealand Appraisal Criteria of Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Preliminary records that are superseded by the substantive records together with records of the administration of the senior leadership and advisory groups are transitive and hold only Business value so are recommended for destruction.

Retention and disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
1.1.1	Audit and Risk Committee and other ET-mandated governance group records	These records document the meetings and decisions of the Audit and Risk Committee and other governance groups, and may include: • Agendas • Meeting minutes • Papers presented
1.1.2	Executive Team and Senior Management Team meeting records	These records document the senior management/leadership team decision-making processes and development of high-level organisational policy in all areas of substantive functions at both national and regional decision-making levels, including: • Papers, briefings, high-level correspondence, and reports provided to the group • Final agreed agendas and minutes • Finalised action points and notes on decisions

Records recommended for destruction:

Reference No	Record Class	Description
1.1.3	Routine and Administration Records	Records of the routine day-to-day administration of senior leadership and advisory groups, such as: • Preliminary records that are superseded by the substantive records • Meeting arrangements • Room bookings • Travel arrangements • Low-level administrative and routine correspondence

Class 1.2 Toihautū | Chief Executive Papers

Description

These records include documented advice provided specifically to the Toihautū | Chief Executive. Advice may be provided across a range of issues.

Records associated with strategic relationship management document the activities between the Toihautū | Chief Executive and primary stakeholders that may not be covered by other classes of records. *(Refer Class 2.1 Provision of Programmes and Services and Class 5.2 Relationship Management).*

Toihautū | Chief Executive correspondence records are communications from members of the public or other organisations where a response is required that is not a request for information. For example, correspondence from members of the public expressing their view of the agency or a particular piece of government policy.

Records documenting the administrative support to the Toihautū | Chief Executive consist of diary records, itineraries, copies of information supplied for reference purposes, invitations, congratulations and condolence messages.

Value statement

Advice to the Toihautū | Chief Executive records provide further evidence of strategic decision-making and planning in addition to the records of leadership and governance groups. They also provide an overview of the important or significant issues that Te Puni Kōkiri was dealing with at any given time. These records meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Strategic Relationship Management records provide high-level evidence of, and information about, strategic relationships and collaboration with external organisations in Aotearoa New Zealand and overseas, in particular, iwi, hapū, and whānau Māori. These records will assist external researchers to understand how Te Puni Kōkiri developed its strategic relationships and built partnerships with Māori. These records meet the Archives New Zealand Appraisal Criteria of Rights and entitlements; Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Significant correspondence between the Toihautū | Chief Executive and individuals, iwi, hapū and other Maori representative groups provides a broader perspective on policy and practice and its impact on Māori development. These records are of cultural and historical value, representing the perspectives of large interest groups as well as individuals. External feedback strongly supports this position. These records meet the Archives New Zealand Appraisal Criteria of Rights and entitlements; Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Toihautū | Chief Executive administrative support records, together with routine requests for information, including OIA and Privacy Act requests, and other low-level administrative and routine correspondence are transitive and hold only Business value so are recommended for destruction.

Retention and disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
1.2.1	Advice to the Toihautū | Chief Executive	These records document advice provided specifically to the Toihautū | Chief Executive, covering topics ranging from policy advice, relationship management, organisational strategy, or a briefing on a particular event, person or issue. Records may include: briefings, reports, and/or minutes.
1.2.2	Strategic Relationship Management	These records document high-level relationship management activities between the Toihautū | Chief Executive and primary stakeholders. Records may include: • Memoranda of Understanding • Relationship management meeting records

| 1.2.3 | Toihautū \| Chief Executive significant correspondence | Includes significant correspondence to and from members of the public expressing their view of the agency or a particular piece of government policy and its impact on Māori development. | |

Records recommended for destruction:

Reference No	Record Class	Description
1.2.4	Administrative support to the Toihautū | Chief Executive	Records documenting the administrative support to the Toihautū | Chief Executive. Records may include: • Diary Records • Itineraries • Invitations • Congratulations and condolence messages • Low-level administrative and routine correspondence including OIA and Privacy Act requests

CLASS 2: PROGRAMMES AND SERVICES

Development of new programmes is preceded by research, risk evaluation and the development of a business case. Once a programme is established, there is regular reporting to governance and leadership groups.

A discretionary class has been added to this schedule to cover the records of any contracts and agreements regarded as significant. For a programme, service or relationship to be considered significant, it must be either:
- innovative and/or
- precedent-setting and/or
- controversial and/or
- high-profile (e.g. national news coverage)

The nature of a discretionary class is that it is retrospective in that staff do not have to determine significance at the beginning of a contract. It exists to ensure that Te Puni Kōkiri has the ability through the Disposal Authority to retain records as public archives if they are identified as significant at the point of applying disposal actions. The primary intention is to gather records of significant programmes together on their own, rather than being included with the total range of programmes and services provided. There is no danger of these records being destroyed before significance has been established because the minimum retention period is long enough to ensure that the significant records are retained.

The Whānau Ora Programme meets these criteria of significance. The Programme has involved extensive consultation and dialogue with communities, interest groups, and organisations at local, regional, and national levels. This has included Regional Leadership Groups established to provide recommendations and high-quality advice to the Whānau Ora Governance Group, as well as providers, and more recently, the Whānau Ora Commissioning Agencies.

Over the ten year lifespan of this Disposal Authority, it is anticipated that other programmes will be established.

Class 2.1 Provision of Programmes and Services

Description

This sub-class covers records that describe a broad range of initiatives designed to benefit Māori communities through investments and interventions. The records also document relationships with organisations which have been contracted to deliver many of these initiatives.

In July 2006, the Māori Potential Fund replaced a number of discrete funding programmes: Capacity Assessment, Capacity Building, Direct Resourcing, Local Level Solutions, Strengthening Management and Governance, Whānau Development Action and Research, Whānau Development Sport and Culture and Whānau Development Enterprise.

Other programmes included in this sub-class include funding for community-based Whānau support workers through Kaitaki A Rohe, Kaitoko Whānau, Kapohia ngā Rawa, and Oranga Whānau; the Māori Women's Development Incorporation; Rangatiratanga Grants; Special Housing Action Zones (SHAZ); Maara Kai; Moving the Māori Nation; and Whānau Language Development.

The Māori Business Facilitation Service (MBFS) helps new and existing businesses with advice and guidance. MBFS records concern the provision of mentoring and advice to a wide range of Māori business clients. Much of the MBFS information belongs to the clients, and may be commercially sensitive.

The Māori Wardens Project involves two separate work streams:

▪ The first is operational in nature, and involves the delivery of a capacity and capability building programme for Māori Wardens; and

▪ The second involves policy development on the functions and governance of Māori Wardens, initially through advice to the Minister of Māori Development from an Advisory Group comprising key stakeholders.

In July 2015, Cabinet agreed that responsibilities relating to the administration of the Māori Housing funds and the location of the National Māori Housing Unit would transfer from the Ministry of Business, Innovation and Employment to Te Puni Kōkiri. (CAB Min (14) 36/14).

The function of the Māori Housing Network is to work with organisations that provide social and affordable housing, including, iwi, and private sector providers. It allocates funding and facilitates partnerships, including land transfers and sale or lease of surplus state housing stock; and administers the Kainga Whenua Infrastructure and Capability Grants, and Special Housing Action Zones (SHAZ).

Value statement

Programmes are at the heart of the delivery of services to Māori.

The programmes' planning records provide information about the changes in emphases of programmes over time, the reasons for the development of particular types of programmes and the planning for the development of a particular programme. The records have value for research into the evolution of Māori development, and are evidence of how Te Puni Kōkiri performs this core function and its approach to Māori development. These records meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Records concerning agreements, memoranda of understanding (MOU) and other forms of agreement with external providers to develop, deliver, and manage and co-ordinate programmes/services meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi are recommended for retention as public archives. Proposals and business cases for programmes are considered by the Executive Team and Senior Management Groups, and will be

included in the records generated by those groups. *(refer Class 1.1.1)* The rest of the programme planning documentation records meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

How the state has acted in relation to Māori economic development has been a particularly complex topic for historians working on nineteenth and twentieth century history and we consider that these types of records will be valuable to future historians. We also observe that because the organisations with which Te Puni Kōkiri is interacting are not state agencies, they have no particular obligations themselves to preserve these records. These may be the only copies which endure. Māori Business Facilitation Service records concerning the provision of mentoring and advice to a wide range of Māori business clients meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Māori Wardens operate under the provisions of the Māori Community Development Act 1962 which is administered by Te Puni Kōkiri. Records concerning the functions and governance of Māori Wardens meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Māori Housing Network records include the development, negotiation and management of contracts, agreements, memoranda of understanding (MOU) and other forms of agreement with external providers to develop, deliver, manage, and co-ordinate a broad range of housing initiatives. These records meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Records containing raw research data, and anonymised client information, will be stored securely, and held by Te Puni Kōkiri for a 30 year minimum retention period to be available for further research and evaluation. These records are facilitative and hold only Business value so are recommended for destruction.

Routine administration records across all programmes and services are transitive and hold only Business value so are recommended for destruction.

Client Files for all programmes that Te Puni Kōkiri administers are transitive and hold only Business value so are recommended for destruction.

Retention and disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
2.1.1	Programme strategic planning	Strategic planning records concerning the establishment and development of programmes/services, including: • All minutes and background papers from, and provided to, the Governance Group • Regular periodic reporting and returns about programme progress, outcomes, and statistics • Strategic plans and action plans for programmes • Proposals for new programmes • Business cases • Background research • Risk evaluation • Benchmarking • Programme evaluation • Position papers

2.1.2	Contract and agreement management	These records include:
		• Establishment of requirements and specifications
		• Negotiation documentation
		• Successful funding applications, contract, MOU, and agreement documentation
		• Monitoring and reporting records including:
		  ○ All forms of contract reporting
		  ○ All forms of audits
		  ○ Contract meeting records

2.1.3	Māori Business Facilitation Service (MBFS)	Records concerning the provision of mentoring and advice to a wide range of Māori business clients. These include;
		• Regular periodic reporting and returns about programme progress, outcomes, and statistics
		• Strategic plans and action plans
		• Background research, Business cases, Proposals for new programmes, Programme evaluation
		• Briefing Papers and Position papers
		• Monitoring and reporting records including:
		  ○ All forms of contract reporting
		  ○ All forms of audits
		  ○ Contract meeting records

2.1.4	Māori Wardens Project	Records concerning the functions and governance of Māori Wardens, and the delivery of programmes for Māori Wardens. These include; • All minutes and background papers from, and provided to, the Governance Group; Briefing Papers and Position papers • Regular periodic reporting and returns about programme progress, outcomes, statistics, and Programme evaluation • Strategic plans, action plans, and funding records

2.1.5	Māori Housing Network	Records concerning the functions and governance of the Māori Housing Network, and the delivery of housing initiatives for Māori. These include;
		• Briefing Papers and Position papers; minutes and background papers from, and provided to, the Governance Group
		• Regular periodic reporting and returns about programme progress, outcomes, and statistics
		• Strategic plans and action plans
		• Background research, Business cases, Proposals for new programmes, Programme evaluation
		• Monitoring and reporting records including:
		  ○ All forms of contract reporting
		  ○ All forms of audits
		  ○ Contract meeting records

Records recommended for destruction:

Reference No	Record Class	Description
2.1.6	Raw research data, interview transcripts	Records include anonymised raw data and interview transcripts from research reports and Action Research assessments
2.1.7	Routine and Administration Records	Records of the routine day-to-day administration of managing all programmes and services, relationships with stakeholders, and the procurement and contract process. Includes: • Advertising, meeting arrangements and travel requests • Other operational records concerned with programme delivery • Low-level administrative and routine correspondence
2.1.8	Client Files for all programmes that Te Puni Kōkiri administers	Records include: • Financial information • Contact Details • Private whānau information

Class 2.2 Whānau Ora Programme

Description

Whānau Ora is focused on re-empowering families to take responsibility for themselves. It is about the contribution that iwi, hapū, and whānau Māori make to family outcomes. Māori economic development contributes to Whānau Ora, as do the services associated with health, social services, housing, justice, the community and voluntary sector, and education.

Whānau Ora was set up as a result of the 2009 Taskforce on Whānau-Centred Initiatives, to create a policy framework for a new method of government interaction with Māori service providers and improve the responsiveness of social services to Māori through promoting whānau-centred service delivery.

Alongside the implementation of Whānau Ora services there was a demand for support for whānau planning and associated activities resourced from the Whānau Integration Innovation and Engagement (WIIE) Fund which was operational from the 2010/2011 financial year until the end of 2014.

Te Puni Kōkiri, in conjunction with the Ministry of Social Development and the Ministry of Health, developed a three-tiered outcomes framework to measure the effectiveness of the implementation of Whānau Ora approaches to service delivery. This framework includes indicators and outcomes for whānau, providers and government agencies. The key elements of Whānau Ora comprise:

- **Commissioning agencies** are non-government organisations contracted to fund and support initiatives which deliver the Government's Whānau Ora outcomes. They act as brokers in matching the needs and aspirations of whānau and families with initiatives that assist them to increase their capability.

- **Provider collectives** provide services, incorporating a Whānau Ora approach, to whānau and families in need within their communities. These comprise whānau-centred health, education, social and other services/programmes.

- **Navigators** are practitioners who work with whānau and families to identify their needs and aspirations, support their participation in education, primary health and employment, and link and co-ordinate access to specialist services.

Three Non-Government Organisation (NGO) Whānau Ora Commissioning Agencies were established

from July 2014, and have their own regional networks and capabilities to support their commissioning plans and decision-making. The Commissioning Agencies source initiatives for whānau and families from both existing Whānau Ora provider collectives as well as other community providers such as iwi, marae, education providers, church groups, land trusts, community organisations or sports groups.

Te Puni Kōkiri is responsible for overseeing the performance of the Commissioning Agencies in investing in Whānau Ora outcomes according to the priorities and objectives set out in their Annual Investment Plans. Te Puni Kōkiri also administers funding for the Commissioning Agencies in line with its role as the agency responsible for Whānau Ora.

Records describing the development of Whānau Ora policy are covered by Class 4.1.

Value statement

The Whānau Ora Programme is an example of a significant programme delivering services to Māori which is innovative, precedent-setting and high-profile. Because of the high public interest in the Whānau Ora Programme, these records are included as a separate sub-class.

Whānau Ora proposals and business cases that are considered by the Executive Team will be included in the records generated by that group. The rest of the programme planning documentation, which does not appear in other records, meets the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and is recommended for retention as public archives.

Whānau Ora Regional Leadership Groups were identified as a mechanism for providing strong regional direction. Consistent with the Whānau Ora approach and principles, these groups are led by and from within the community, with appropriate support from government agencies. High-level records documenting service and support provided by Te Puni Kōkiri to the national network of Regional Leadership Groups, including meeting minutes and papers presented. These records meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Records of the Whānau Ora Governance Group, in conjunction with Te Puni Kōkiri records of interactions with the NGO Whānau Ora Commissioning Agencies, provide a unique account of the implementation of this pioneering programme. High-level records, including meeting minutes and papers presented, meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Records of the development, negotiation and management of contracts, agreements, memoranda of understanding (MOU) and other forms of agreement with external providers to develop, deliver, manage and co-ordinate programmes/services meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Records containing raw research data, and anonymised client information, will be stored securely, and held by Te Puni Kōkiri for a 30 year minimum retention period to be available for further research and evaluation. These records are facilitative and hold only Business value so are recommended for destruction.

Routine administration records are transitive and hold only Business value so are recommended for destruction.

Client Files for the WIIE Fund which closed in December 2014 are transitive and hold only Business value so are recommended for destruction.

Retention and disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
2.2.1	Whānau Ora Programme management and strategic planning	Records concerning the management, planning, research and reporting related to the Whānau Ora Programme. Includes: • All minutes and background papers from, and provided to, the Governance Group and Regional Leadership Groups • All Action Research contracts, reports and assessments • All Whānau Transformation data including A3 reports developed • Te Puni Kōkiri's interactions with the Whānau Ora Commissioning Agencies • Strategic plans and action plans • All Quarterly reports

2.2.2	Contract and agreement management	These records include:
		• Establishment of requirements and specifications
		• Negotiation documentation
		• Contract, MOU, and agreement documentation
		• Monitoring and reporting records including:
		  o All forms of contract reporting
		  o All forms of audits
		  o Contract meeting records

Records recommended for destruction:

Reference No	Record Class	Description
2.2.3	Raw research data, interview transcripts	Records include anonymised raw data and interview transcripts from research reports and Action Research assessments.
2.2.4	Routine and Administration Records	Records of the routine administration of the procurement and contract process. Includes: • Advertising • Meeting arrangements • Travel requests • Other operational records concerned with programme delivery • Low-level administrative and routine correspondence
2.2.5	Whānau Integration Innovation and Engagement (WIIE) Fund client files	Records include: • Five year Whānau Plans • Private whānau information • Contact Details

Class 3: MONITORING AND EVALUATION

Description

This class of records documents the role of Te Puni Kōkiri in auditing, evaluating, and monitoring programmes and services managed by, or on behalf of, Te Puni Kōkiri, and includes:

- Broadcast Māori Language Quota: Te Puni Kōkiri is responsible for ensuring that Māori broadcasters comply with the terms and conditions of relevant legislation and other accountability mechanisms. 'Māori broadcasters' refers to the Māori Television Service (MTS) and the iwi radio network.

- Crown Entities for which Te Puni Kōkiri holds budget responsibility, including:
  - Māori Television Service
  - Te Māngai Pāho
  - Te Putatahi Paoho
  - Te Taura Whiri i te Reo
  - Te Tumu Paeroa

- The Māori Potential Fund, and any other separate funding programmes

- Māori Trust Boards: Te Puni Kōkiri is responsible for monitoring whether the Trust Boards have met the reporting requirements set out under the Māori Trust Boards Act 1955

- State Sector monitoring, including effectiveness for Māori

- Te Puni Kōkiri compliance with legislative requirements

- Te Puni Kōkiri performance against external State Sector standards (Performance Improvement Framework, PIF)

Reviews and evaluations of programmes and services are conducted regularly in order to determine if the programmes/services are working as they should in terms of delivery and providing the benefits expected of them in terms of outcomes. Records include:

- High-level Briefings, Quarterly and Annual Reports on the activities of the Crown Entities
- Summaries, statistics and final reporting of results of all auditing, evaluation and monitoring programmes
- Anonymous statistical data and qualitative information from which all identifying personal details have been removed
- Administration of monitoring and evaluation programmes including working papers, travel bookings, low-level administrative and routine correspondence

Value statement

Te Puni Kōkiri has a unique role in providing a Māori perspective on government policy, programmes and services. Formal monitoring and evaluation records offer an invaluable perspective on a broad range of interventions across government that impact on Māori.

Final reports from formal reviews and evaluations of programmes and services provide an overview and evaluation of effectiveness and may be of value to future researchers. Significant drafts of these reports meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; and Knowledge and are recommended for retention as public archives.

Anonymous statistical data and qualitative information without any details that could enable an individual to be identified make it possible for subsequent research to come to its own conclusions that might differ from the original project. These records will be stored securely, and held by Te Puni Kōkiri for a 30 year minimum retention period to be available for further research and evaluation. These

records are facilitative and hold only Business value so are recommended for destruction.

Working records, including data sheets, coding sheets, preliminary statistical data, database outputs, data analysis records and report development records are summarised in the final reports and, as transitive records, hold only Business value so are recommended for destruction.. The retention period for data analysis records has been expressed as 'until no longer administratively required' as it is difficult to determine a retention period for the data analysis records, which may be re-used for other research projects. This will also ensure personal information is not kept longer than is necessary for the purpose for which it was collected, in accordance with the Privacy Act 1993.

Routine administration records are transitive and hold only Business value so are recommended for destruction.

Retention and disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
3.1	Audits, monitoring and evaluation - final reports and summaries	Summaries and final reporting of results for all audit, monitoring and evaluation programmes
3.2	Monitoring and evaluation programme development	Development of monitoring and evaluation programmes, and high-level strategy and policies
3.3	Monitoring Crown Entities	High-level Briefings and Reports on the activities of the Crown Entities for which Te Puni Kōkiri holds budget responsibility. The agencies include: Te Māngai Pāho; Te Taura Whiri i te Reo; Māori Television Service; Te Tumu Paeroa; and Te Putatahi Paoho.
3.4	Monitoring other agencies	High-level Briefings and Monitoring Reports on the activities of other Government agencies and also Māori Trust Boards.

Records recommended for destruction:

Reference No	Record Class	Description
3.5	Monitoring and evaluation programme data, documentation and analyses	Data collected for the purposes of reviewing and evaluating programmes/services, including: • Anonymised surveys and questionnaires; interview transcripts, notes, and schedules • Audio and video recordings of interviews • Data analyses • Discussion documents

| 3.6 | Routine and Administration records | Working records concerned with reviewing and evaluating programmes/services, including:
 • Preliminary statistical data
 • Literature reviews
 • Consultation drafts
 • Meeting minutes, low-level correspondence
 • Peer review documents and correspondence

 Administration of monitoring and evaluation programmes, including travel bookings, low-level administrative and routine correspondence. | |

Class 4: POLICY DEVELOPMENT

Description

Policy development records document one of the principal functions of Te Puni Kōkiri – the development and implementation of New Zealand government policy as it pertains to Māori.

Policy development records identified in this sub-class are considered essential for the protection and well-being of current and future generations and enhance public confidence in the actions of Te Puni Kōkiri. These records document the impact of government activities on the community or individuals, and the intervention of the government in people's lives.

These include, but are not limited to: Broadcasting, Constitutional issues, Crown Māori Treaty relationship, Environmental issues, Foreshore & Seabed, Marine & Coastal Areas, Marae, Mātauranga Māori, Property Rights, Sites of Significance, Te Reo Māori, Te Ture Whenua, Treaty claims and settlements, and Whānau Ora.

This Class also contains records concerned with the management of the Te Puni Kōkiri legislative programme, submissions made by Te Puni Kōkiri on legislation administered by other agencies, and provision of advice on International Policy Agreements.

Appendix 3 contains a list of Policy work streams as at October 2015 for the period since January 2008.

Value statement

Policy Development and Advice where Te Puni Kōkiri is the lead agency support government transparency and accountability and provide evidence of the significant involvement of Te Puni Kōkiri in providing a Māori perspective on government policy, legislation, rules and regulations, developments and / or decisions. They substantially contribute to knowledge and understanding of New Zealand, its history, society, culture and achievements and New Zealanders' sense of their national identity.

Indicators include evidence of:
- The statutory roles and core functions of Te Puni Kōkiri
- Accountability in the development of policy, legislation, rules and regulations
- Research and analysis undertaken during the formation of policy
- Briefings and submissions to Minister/s and Cabinet
- Iwi, hapū, and whānau Māori identity, issues and initiatives
- Government responses to, or services for, Māori
- Management/registration/preservation of areas of cultural or heritage importance/meaning
- Initiatives to preserve and/or promote Te Reo Māori
- Appointments to Government-appointed boards and organisations

Records recommended for retention as public archives meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Rights and entitlements; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Te Puni Kōkiri plays a lead role in providing a Māori perspective to other government agencies on a wide range of policy issues where Māori have an interest, for example: taxation, policing, fishing quotas, and housing standards. In many of these areas, Te Puni Kōkiri provides a unique cultural and historical Māori perspective on government policy which merits the retention of these records as an important repository for future researchers.

In order to hold a complete record and trace its full whakapapa from conception to completion, Te Puni Kōkiri is recommending the retention of these records in instances where Te Puni Kokiri is not the lead agency but has provided advice on policy. It is acknowledged that this is a departure from the usual practice of the lead agencies being responsible for their own records. In this instance, the advantages of retaining a coherent Māori perspective on a range of government policy issues

where Māori have an interest warrant an exception being made. Feedback from those externally consulted supported this decision. Accordingly, records that provide high-level evidence of policy advice on matters of significance to Māori meet the Archives New Zealand Appraisal Criteria of Accountability; Rights and entitlements; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Operational and routine day-to-day records relating to the administration of policy advice, the legislative programme, and research are transitive and hold only Business value so are therefore recommended for destruction.

Retention & disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
4.1	Policy Development and Advice where Te Puni Kōkiri is the lead agency	Provision of policy advice to the portfolio Minister, other Ministers, and agencies. As the lead Government agency on Māori issues, Te Puni Kōkiri records in a number of areas have considerable archival significance. These include, but are not limited to: Crown Māori Treaty relationship, Housing, Māori Wardens, Māori Trust Boards, Te Ture Whenua, Marae, Mātauranga Māori, Te Reo Māori, Treaty Settlements and issues, and Whānau Ora.
4.2	Policy Development and Advice providing a Māori perspective where Te Puni Kōkiri is not the lead agency	These records include, but are not limited to: Broadcasting, Constitutional issues, Environmental issues, Foreshore and Seabed, Marine and Coastal Areas, Property Rights, and Sites of Significance.
4.3	Te Puni Kōkiri Legislative Programme	Management of the legislative programme.

Records recommended for destruction:

Reference No	Record Class	Description
4.4	Routine and Administration Records	Operational and routine day-to-day records relating to the administration of policy advice, and the legislative programme.

Class 5: RELATIONSHIP MANAGEMENT

Through its national and regional networks, Te Puni Kōkiri is committed to facilitating effective relationships between Māori communities and stakeholders, and assisting others to understand and respond to the needs and aspirations of iwi, hapū, and whānau Māori. These networks are pivotal to the role of Te Puni Kōkiri in informing, and advising, the Minister of Māori Development.

This class documents the provision of brokerage, facilitation, information and other support to State Sector agencies, local government and non-government entities to engage with, and support, Māori inclusion and access to resources and services generally; and to assist the Treaty settlement process in particular.

High level records documenting relationship management will be Taonga available for all New Zealanders, iwi and the Crown. Many of these records may be 'negotiation sensitive', and/or legally privileged and/or subject to the provisions of the Privacy Act.

It covers sub-classes for:
- Consultation with Māori
- Nominations and Appointments
- Relationship Management Strategy
- Treaty of Waitangi Claims and Settlements

5.1 Consultation with Māori

Description

The unique interactive flow between Te Puni Kōkiri National Office and the Regional Offices ensures government policy reflects the concerns of Māori at all levels. Te Puni Kōkiri draws upon this intelligence throughout the State Sector. Te Puni Kōkiri also plays a role in ensuring the advice provided by other State Service agencies addresses Māori issues, and attempts to influence other government agencies regionally and nationally to improve outcomes for iwi, hapū, and whānau Māori.

Value statement

Summary records and final reports on consultation with Māori communities provide high-level evidence of relationships that Te Puni Kōkiri has with Māori. Many of these relationships are tikanga-based, and the records associated with these communities may contain sensitive private and/or commercial information that should not be made more widely available without reference back to Te Puni Kōkiri. These records meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Te Puni Kōkiri plays a lead role in assisting other government agencies to interact with Māori in relation to a wide range of issues. Records that provide high-level evidence of the working relationships between Māori and the Crown, specifically in relation to building and maintaining partnerships between the parties meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives..

Low-level consultation records of these relationships will be stored securely, and held by Te Puni Kōkiri for a 30 year minimum retention period to be available for further research and evaluation. These records are facilitative and hold only Business value so are recommended for destruction.

Administrative records relating to consultation with Māori are transitive and hold only Business value so are recommended for destruction.

Retention and disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
5.1.1	Consultation with Māori	Summary high-level records and final reports on consultation with Māori. Records may include: • High-level Briefing Papers • High-level correspondence with external parties • Consultation and research reports
5.1.2	Consultation - Support for other agencies	Support provided to other agencies to engage with Māori. Records may include: • High-level Briefing Papers • High-level correspondence with external parties

Records recommended for destruction:

Reference No	Record Class	Description
5.1.3	Routine and Administration Records	Administrative records of consultation with Māori. Includes: • Advertising • Meeting and travel arrangements • Low-level administrative and routine correspondence
5.1.4	Low-level consultation records	Low-level records of consultation with Māori.

Class 5.2 Nominations and Appointments

Description

This sub-class contains summary records of Māori Warden appointments, and appointments to Government appointed boards and organisations. Organisations of particular significance to Māori include those Crown Entities for which Te Puni Kōkiri has statutory responsibility; Māori Television Service, Te Tumu Paeroa, Te Māngai Pāho, Te Taura Whiri i te Reo, as well as the Māori Land Court, Waitangi Tribunal, and the Poutama Trust.

Te Puni Kōkiri offers a nominations service to a wide range of government boards and organisations. In this role, it solicits expressions of interest from individuals, and will forward their personal information to boards and organisations that approach Te Puni Kōkiri seeking Māori nominations. Te Puni Kōkiri does not retain any record of the outcome of the nominations that it may make.

Value statement

Briefings, final reports and summary records of Māori Warden appointments, and appointments to Government-appointed boards and organisations, for which Te Puni Kōkiri has statutory responsibility, or are of particular significance to Māori, hold considerable value for Māori in terms of their content and substance. The selection process for statutory boards are more in the nature of public records than private job-applications because they go to the question of how the Crown agency selected the

individuals who made significant decisions for, and on behalf of, Māori. These records meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Information regarding successful appointees will be stored securely, and held by Te Puni Kōkiri for a 30 year minimum retention period to be available for further reference. These records are facilitative and hold only Business value so are recommended for destruction.

Briefings, final reports and summary records of nominations to other Government-appointed boards and organisations are transitive and hold only Business value so are recommended for destruction.

Operational and routine day-to-day records relating to the administration of nominations and appointments to Government-appointed boards and organisations are transitive and hold only Business value so are recommended for destruction.

In compliance with the requirements of the Privacy Act, CVs and applications, which are, by their nature, information about an identifiable individual, will be destroyed once this information is no longer required for the purpose for which it was first collected. This will preserve the information on which the decision to appoint was made while having regard to the Privacy Act. These records are transitive and hold only Business value so are recommended for destruction.

Retention and disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
5.2.1	Appointments - Summary	Briefings, final reports and summary records of Māori Warden appointments, and appointments to Government-appointed boards and organisations for which Te Puni Kōkiri has statutory responsibility, or are of particular significance to Māori. Includes Māori Television Service, Te Tumu Paeroa, Te Māngai Pāho, Te Taura Whiri i te Reo, Māori Land Court, Waitangi Tribunal, and the Poutama Trust.

Records recommended for destruction:

Reference No	Record Class	Description
5.2.2	Information on successful appointees	These records may include expressions of interest, statutory declaration, application details, and a copy of the warrant/s.
5.2.3	Nominations - Summary	Briefings, final reports and summary records of nominations to Government-appointed boards and organisations not of particular significance to Māori.
5.2.4	Information supplied by applicants	All CVs and related correspondence provided by applicants will be destroyed once this information is no longer required for the purpose for which it was first collected.
5.2.5	Routine and Administration Records	Operational and routine day-to-day records relating to the administration of appointments to Government appointed boards and organisations. Includes: • Meeting and travel arrangements • Low-level administrative and routine correspondence

Class 5.3 Relationship Management Strategy

Description

The Relationship Management Strategy is designed to include the strategic engagements that Te Puni Kōkiri has with stakeholders who assist in progressing outcomes for Māori.

This sub-class contains records which provide high-level evidence of the contribution made by Te Puni Kōkiri to the development, implementation, and management of relationships with key Te Puni Kōkiri stakeholders including iwi, hapū, and whānau Māori; pan-Māori organisations; government agencies; and international agencies and organisations.

Value statement

High level records within this sub-class provide evidence of relationship management and are an example of how the Crown is meeting its Treaty of Waitangi obligations. These records document the strategic and operational advice provided to Ministers and senior management on delivery of obligations and strategic outcomes to Māori and Māori involvement across the public sectors. This includes the development of initiatives that empower Māori. These records hold considerable value for Māori in terms of their content and substance and meet the Archives New Zealand Appraisal Criteria of Accountability; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives.

Operational and routine day-to-day records relating to the administration of the relationship management strategy, including meeting requests and travel bookings are transitive and hold only Business value so are recommended for destruction.

Retention and disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
5.3.1	Relationship Management Strategy	The records within this sub-class provide high-level evidence of the relationship management strategy and are an example of how the Crown is meeting its Treaty of Waitangi obligations. Records may include: • Memoranda of Understanding • Relationship management meeting records • Briefing Papers • High-level correspondence with external parties

Records recommended for destruction:

Reference No	Record Class	Description
5.3.2	Routine and Administration Records	Records of the routine day-to-day administration of the relationship management strategy. Includes: • Meeting and travel arrangements • Low-level administrative and routine correspondence

5.4 Treaty of Waitangi claims and settlements

Description

The records within this sub-class document the involvement of Te Puni Kōkiri in the Treaty of Waitangi claims process including mandating, negotiations, implementation of settlements, and post-settlement processes.

The records provide evidence of the role played by Te Puni Kōkiri in Treaty negotiations and settlements and strategies to identify and implement opportunities for partnerships with tangata whenua. The sub-class also includes Foreshore and Seabed review, Territorial Customary Rights negotiations, and Customary Rights Orders, together with high-level records of working with Office of Treaty Settlements, negotiating parties, and stakeholders in the claims and settlement process.

Value statement

The Treaty of Waitangi and the resulting Crown/Māori relationships are internationally unique, and these records will significantly add to the body of knowledge about that ongoing relationship.

The high-level records within this sub-class demonstrate how Treaty claims were resolved, how Te Puni Kōkiri was involved in the process, and how settlements were implemented. In order to hold a complete record and trace its full whakapapa from conception to completion, Te Puni Kokiri may recommend retaining these records in instances where Te Puni Kokiri is not the lead agency but has provided advice on claims and settlements. It is acknowledged that this is a departure from the usual practice of the lead agencies being responsible for their own records. In this instance, the advantages of retaining a coherent Māori perspective on a range of government policy issues where Māori have an interest warrant an exception being made. Feedback from those externally consulted supported this decision.

High level records involving Treaty of Waitangi claims and settlements hold considerable value for Māori in terms of their content and substance and these records meet the Archives New Zealand Appraisal Criteria of Accountability; Rights and entitlement; Legitimacy of authority; Knowledge; and Te Tiriti o Waitangi and are recommended for retention as public archives. Records of the routine day-to-day administration of managing the process of settlement claims and negotiations, including meeting bookings and travel requests, are transitive and hold only Business value so are recommended for destruction.

Retention and disposal recommendation

Records recommended for retention as public archives:

Reference No	Record Class	Description
5.4.1	Treaty of Waitangi claims and settlements	Management of the process of settlement claims. Includes working with Office of Treaty Settlements, negotiating parties, stakeholders in the claims and settlement process.
		The high-level records within this sub-class demonstrate how Te Puni Kōkiri was involved in the process of achieving settlements, and managing post-settlement relationships.

Records recommended for destruction:

Reference No	Record Class	Description
5.4.2	Routine and Administration Records	Records of the routine day-to-day administration of settlement claims and negotiations, including meeting bookings, travel requests, and low-level administrative and routine correspondence.

Access Restrictions on Records held at Archives New Zealand

[removed]

Refer to any sentencing guidelines accompanying this report for specific recommendations:

- **Records must be kept for the minimum period specified**

- **Records may be destroyed at any point once the minimum retention periods have passed. Records do not have to be destroyed; the agency may keep them for longer if required**

This authority is valid for a period of 10 years from date of signing, unless previously agreed with the Chief Archivist.

Appendix 1: Internal Consultation

List of staff consulted within Te Puni Kōkiri

Area for discussion	Who	Role
Tikanga and kawa	[name removed]	[removed]
Organisational Support	[name removed]	[removed]
	[name removed]	[removed]
Legal	[name removed]	[removed]
	[name removed]	[removed]
Human Resources	[name removed]	[removed]
Finance	[name removed]	[removed]
Communications	[name removed]	[removed]
Ministerials	[name removed]	[removed]
Information Services	[name removed]	[removed]
	[name removed]	[removed]
	[name removed]	[removed]
Policy Partnerships	[name removed]	[removed]
	[name removed]	[removed]
	[name removed]	[removed]
Cultural Wealth	[name removed]	[removed]
State Sector Effectiveness	[name removed]	[removed]
Crown-Iwi, Hapū, Whānau Māori Relations	[name removed]	[removed]
Strategy & Organisational Performance	[name removed]	[removed]
	[name removed]	[removed]
Strategy & Planning	[name removed]	[removed]
Risk and Assurance	[name removed]	[removed]
Organisational Knowledge	[name removed]	[removed]
	[name removed]	[removed]
	[name removed]	[removed]
	[name removed]	[removed]
	[name removed]	[removed]
Māori Wardens Project	[name removed]	[removed]
Māori Business Facilitation Service	[name removed]	[removed]
Skills, Learning and Education	[name removed]	[removed]
Land Development	[name removed]	[removed]
Regional Partnerships	[name removed]	[removed]
Investment Team	[name removed]	[removed]

Appendix 2: Correspondence with external organisations

1. Initial email seeking external feedback from Government agencies:

> *Kia ora*
>
> *I hope you can help me with this request.*
>
> *We are in the process of sending a draft Te Puni Kōkiri Retention and Disposal schedule for external consultation. [Your agency] has been recommended by the business as one of the potential stakeholders for Te Puni Kōkiri business records.*
>
> *Are you able to send me the contact details of the records/information management staff that may have an interest in Te Puni Kōkiri records?*
>
> *Ngā mihi*

2. Initial email seeking external feedback from Māori organisations:

> *Kia ora*
>
> *I hope you can help me with this request.*
>
> *We are in the process of sending a draft Te Puni Kōkiri Retention and Disposal schedule for external consultation. We are interested in receiving feedback from iwi Maori as potential stakeholders for Te Puni Kōkiri business records.*
>
> *I have been given your name and email address from the Te Kahui Mangai website as someone who may have an interest in Te Puni Kōkiri records.*
>
> *Please email if you would like to receive the draft documents to comment on.*
>
> *Ngā mihi*

3. Follow up email to those who expressed interest in receiving the draft consultation documents:

Tēnā koe

Thank you for your interest in this consultation process. I hope this provides you with the necessary information about the Retention and Disposal Schedule.

A Disposal Authority is a formal agreement between a government agency and Archives New Zealand. It assigns retention classes to records created by Te Puni Kōkiri in the course of its business, along with outcomes (transfer to Archives, or destroy) and retention periods. Te Puni Kōkiri has created two draft documents as part of the Disposal Authority. Both are attached:

* *A draft Appraisal Report, which describes the approach, describes the classes etc.*
* *A draft Retention and Disposal Schedule which is a spreadsheet that lists classes and examples along with disposal outcomes, retention periods etc.*

Primarily we are looking for feedback on the disposal authority, from your perspective. Yes, you can delegate. Please feel free to forward this to people in your organisation who are interested in what happens to Te Puni Kōkiri records. This could be people who use Te Puni Kōkiri records, who participate in processes that create Te Puni Kōkiri records, or who have a general interest in government records.

In addition to the draft Appraisal Report and draft Retention and Disposal Schedule, the other attached documents provide more information:
* *Questions and answers*
* *A glossary of terms used*
* *Comments Guide and Feedback Form*

Please email appraisal@tpk.govt.nz with your feedback by COP Monday 14 September 2015.

All feedback will be considered by the Project Team, and may be incorporated into the final draft which will be submitted to Archives New Zealand for approval by the Chief Archivist. As part of this approval process, there will be a further opportunity for feedback to be submitted to Archives New Zealand.

Ngā mihi

Appendix 3: External Consultation – list of organisations approached

Organisation	Individual contact(s)	Role
Crown Law | Te Tari Ture o te Karauna	[name removed]	[removed]
Department of Conservation | Te Papa Atawhai	[name removed]	[removed]
Land Information New Zealand | Toitū Te Whenua		
Māori Land Court | Te Kooti Whenua Māori		
Māori Television Service	[name removed]	[removed]
Māori Women's Welfare League		
Ministry of Business, Innovation and Enterprise | Hikina Whakatutuki		
Ministry of Culture & Heritage | Manatū Taonga		
Ministry of Education | Te Tāhuhu o te Mātauranga		
Ministry for the Environment | Manatu Mo Te Taiao	[name removed]	[removed]
Ministry of Health | Manatū Hauora		
Ministry of Justice | Tāhū o te Ture	[name removed]	[removed]
Ministry of Pacific Island Affairs	[name removed]	[removed]
Ministry of Social Development | Te Manatū Whakahiato Ora	[name removed]	[removed]
National Library | Te Puna Mātauranga o Aotearoa		
Heritage New Zealand | Pouhere Taonga	[name removed]	[removed]
NZ Māori Council | Te Kaunihera Māori o Aotearoa		
Office of Treaty Settlements | Te Tari Whakatau Take e pa ana ki te Tiriti o Waitangi	[name removed]	[removed]
Parliamentary Counsel Office | Te Tari Tohutohu Pāremata	[name removed]	[removed]
Te Māngai Pāho	[name removed]	[removed]
Te Papa Tongarewa		
Te Putatahi Paoho		
Te Rōpū Whakahau		
Te Taura Whiri i te Reo		
Te Tumu Paeroa		
Te Wānanga o Aotearoa		
Te Wānanga o Raukawa		
Te Whare Wānanga o Awanuiārangi		
Waitangi Tribunal | Te Rōpū Whakamana i te Tiriti	[name removed]	[removed]
Muaūpoko Tribal Authority Inc		
Ati Awa ki Whakarongotai Charitable Trust		
Hokotehi Moriori Trust		
Maniapoto Māori Trust Board		

Organisation	Individual contact(s)	Role
Ngati Kahungunu	[name removed]	[removed]
Ngaati Whanaunga Incorporated Society		
Ngā Hapū o Ngāti Ranginui Settlement Trust		
Ngāti Kahungunu ki Wairarapa - Tāmaki Nui ā Rua Trust		
Ngāti Kōata Trust		
Ngati Korokī Kahukura Trust		
Ngāti Maru (Taranaki) Fisheries Trust		
Ngāti Mutunga O Wharekauri Iwi Trust		
Ngāti Pāhauwera Development Trust		
Ngati Rehua - Ngatiwai Ki Aotea Trust		
Ngāti Tarāwhai Iwi Trust		
Ngāti Tūrangitukua Charitable Trust		
Ngāti Tūwharetoa Fisheries Charitable Trust		
Rangitāne o Tāmaki nui a Rua		
Rongomaiwahine		
Rongomaiwahine/Te Rakato		
Tamanuhiri Tutu Poroporo Trust		
Te Aitanga a Hauiti Centre of Excellence		
Te Aitanga ā Māhaki and Affiliates		
Te Ākitai Waiohua Iwi Authority		
Te Arawa River Iwi Trust		
Te Atiawa ki te Upoko o te Ika a Māui Pōtiki Trust	[name removed]	[removed]
Te Atiawa (Taranaki) Settlements Trust		
Te Hauora o Turanganui a Kiwa		
Te Kotahitanga o Te Atiawa Trust		
Te Kupenga o Ngāti Hako Inc		
Te Mana o Ngāti Rangitihi Trust		
Te Maru o Rereahu Trust	[name removed]	[removed]
Te Ohu Tiaki o Rangitāne Te Ika a Māui Trust		
Te Pātiki Trust		
Te Pūmautanga o Te Arawa Trust		
Te Roroa Whatu Ora and Manawhenua Trust | Te Roroa Group		
Te Runanga Nui o Te Aupōuri Trust		
Te Runanga o Ngāi Takoto		
Te Runanga o Ngāti Kuia Charitable Trust		
Te Runanga o Ngāti Manawa		
Te Runanga o Ngāti Ruanui Trust		
Te Runanga o Ngāti Tama		
Te Runanga o Te Rarawa		
Te Runanga o Whaingāroa		
Te Runanganui o Ngāti Porou Trust		
Te Runanganui o Turanganui a Kiwa		
Te Tira Kokiri o Te Wairoa		
Tūhoe - Te Uru Taumatua		
Tūhourangi Tribal Authority		
Turanga Ararau		
Tūwharetoa Hapū Forum		
Wairoa District Council Māori Standing Committee	[name removed]	[removed]
Wairoa Taiwhenua / Aramatua Land Trust		
Wairoa-Waikaremoana Māori Trust Board		
Te Ātiawa o Te Waka-a-Māui Trust		

Appendix 4: Policy Development Work streams as at October 2015

Since January 2008, Te Puni Kōkiri policy development has been structured under the work streams below:

Agriculture	Infrastructure
Aquaculture	Intellectual Property
Biodiversity & Genetics	International Issues
Biosecurity	Job Summit
Christchurch Earthquake	Justice & Judiciary
Climate Change	Labour Force
Community Development	Land
Crime	Language
Crown Māori Treaty relationship	Law & Legislation
Demography	Local Government
Disabilities	Marae
Economic Development	Mātauranga Māori
Education	Older People
Energy and Minerals	Research & Information Projects
Environment	Sites of Significance
Fisheries	Tax
Foreshore & Seabed	Transport
Forests & Forestry	Treaty Settlements
Future Thinking	Violence
Governance	Whānau
Health	Whānau Ora
Housing	Whānau Ora Implementation
Human Rights	Women
Information & Communications Technology	Youth

Kaupapa Here Whakaratonga Rikoata
Records Management Policy

Te Puni Kōkiri
MINISTRY OF MĀORI DEVELOPMENT

Why we have this policy | Ko Te Pūtake o tēnei Kaupapa Here

The purpose of this policy is to provide a framework and assign responsibilities for ensuring that full and accurate records, both financial and non-financial, of Te Puni Kōkiri business activities are created and managed. It aims to ensure that these records are maintained for as long as required to support business functions and accountabilities until their disposal in accordance with an authorised retention and disposal schedule.

Records provide evidence of government activity at all levels. Regardless of whether they are created in **electronic** or **non-electronic** formats, records are vital for government accountability, performance measurement, external reporting, and continuity.

The underlying principle is to ensure that records are well maintained and can easily be retrieved as required.

This policy applies to all business activities performed by, or on behalf of, Te Puni Kōkiri in whatever manner they are conducted, including all:

- written correspondence, whether electronic or non-electronic; and
- records of these activities regardless of the media in which they are captured.

In cases where issues are unclear the Manager Information Services is to be consulted.

Policy | Kaupapa Here

Te Puni Kōkiri requires that:

1. Information gathered and records created during business activity are the property of Te Puni Kōkiri as a whole, and not of individuals, groups or Te Puni;

2. All records will be readily accessible to all staff, unless there is a good business reason to limit access, in which case access will be on a 'need to know' basis, consistent with the requirements of the Privacy Act and the Official Information Act;

3. All records, whether electronic or non-electronic will be handled with care and respect so as not to damage them or compromise their integrity. Information will be managed appropriately throughout each step of the Record Lifecycle (Record, Classify, Store, Notify, Access, Archive and Destroy);

4. All staff will create and maintain full and accurate records of activities, transactions, and decisions carried out during the course of daily business activity;

5. All records will be named in accordance with the Document Naming Convention;

6. All information that has been created or received by Te Puni Kōkiri in the course of its work which documents or supports Te Puni Kōkiri fiscal, legal and business transactions or functions must be treated as a public record and stored appropriately;

7. Some information Te Puni Kōkiri holds may have cultural and spiritual values associated with it. Where this is the case, Te Puni Kōkiri will, as far as practicable, take into consideration the views of the individual or organisation that is the subject of that information before making any decisions regarding the release or use of that information;

8. All public records will be captured into the hard or soft copy central recordkeeping systems according to the Records Management Guide. Staff may not keep public records in separate, individual filing systems, or on their hard drive/s;

9. Physical files will be kept in the designated areas unless required for specific purposes. The location of physical files will be kept up-to-date at all times in the central recordkeeping system;

10. Our internet and intranet sites are regarded as Public Records;

11. No staff member will dispose of public records;

12. Retention and Disposal Schedules will be assessed and applied in accordance with the Records Management Guide;

13. Vital records have been identified and particular attention will be paid to their protection; and

14. Any files that have been classified as SENSITIVE, RESTRICTED or higher may only be handled by staff with the appropriate security clearance. This includes all staff involved with transmission, storage and disposal. These files must be held in a lockable storage area or cabinet.

Background | He Kupu Whakamārama

Te Puni Kōkiri is subject to the Public Records Act 2005. This requires the creation and maintenance of full and accurate records that support the day-to-day functions and business activities of Te Puni Kōkiri. These records provide evidence of these functions and activities and form part of the requirement of Government and the public.

Te Puni Kōkiri is required to comply with relevant legislation and codes including:

- Copyright Act 1994
- Electronic Transactions Act 2002
- Official Information Act 1982
- Privacy Act 1993
- Public Finance Act 1989
- Public Records Act 2005
- State Sector Standards of Integrity and Conduct

Responsibility and Enforcement | Ko Ngā Haepapa me Ngā Uruhi

This policy applies to all staff (employees, contractors and consultants), whether permanent or temporary, and to all business activities performed by, or on behalf of, Te Puni Kōkiri.

All staff are responsible for:
- Preventing unauthorised access to records;
- Ensuring that no records are destroyed or removed; and
- Ensuring compliance with all relevant legislation.

Managers are responsible for:
- Ensuring that all new staff receive records management induction;
- Monitoring staff compliance with the Ministry's recordkeeping systems;
- Ensuring that no illegal records disposal takes place;
- Ensuring that the recordkeeping practices in their group meet best practice guidelines and can stand up to external scrutiny;
- The management of records created within their Te Puni business;
- Ensuring staff complete records management obligations before leaving Te Puni Kōkiri; and
- Consulting with the Manager Information Services when they are unable to ascertain the level of individual responsibility for non-compliance with this Policy.

The **Manager Information Services** is responsible for:
- Ensuring Te Puni Kōkiri staff have timely and effective access to the information they require to perform their jobs, and for managing the records of Te Puni Kōkiri, while ensuring that the long-term requirements of Te Puni Kōkiri, Government and all relevant legislation are met;
- Ensuring appropriate record management policies and processes are in place and adhered to for the creation and maintenance of full and accurate records of the Te Puni Kōkiri functions and activities; and
- Ensuring recordkeeping policies and procedures of Te Puni Kōkiri meet best practice guidelines and can stand up to external scrutiny.

The **Chief Security Officer,** is responsible for ensuring that:
- Any documents classified SENSITIVE or higher that are received from other agencies are handled appropriately within Te Puni Kōkiri; and
- The security of any documents classified SENSITIVE or higher is not compromised while Te Puni Kōkiri is responsible for them.

Any breach of this Policy may constitute misconduct and will be dealt with in accordance with the Te Puni Kōkiri Misconduct and Poor Performance Policy, A breach of this Policy may include:
- o   using information for personal interest/benefits; [1]
- o   using information in a way which does not preserve personal privacy;

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[1] For further details see Managing Conflicts of Interest Policy

- o using information in a way which generates a risk or a threat to Te Puni Kōkiri, the public, the Minister and/or the Government; and
- o distributing information outside Te Puni Kōkiri unless in the normal course of your duties.

Policy Approval | Ko Te Whakaaetanga o te Kaupapa

This policy is owned and updated by:	It was approved by:	On the date of:	It is due for revision by:
Information Services	The Deputy Chief Executive – Organisational Support	8 November 2017	November 2019

This replaces the previous policy dated 30 October 2015.

Related Documents | Ko Ētahi atu Kaupapa Here

Relevant legislation with which this policy complies includes:
- Public Records Act 2005
- Official Information Act 1982
- Privacy Act 1993
- Copyright Act 1994
- Contract and Commercial Law Act 2017
- Public Finance Act 1989

This policy also complies with the following Standards and Codes:
- State Sector Standards of Integrity and Conduct
- International Standard on Records Management, ISO 15489

Electronic Communication Policy

Media Policy

Misconduct and Poor Performance Policy

Managing Conflicts of Interest Policy

Records Management Guide
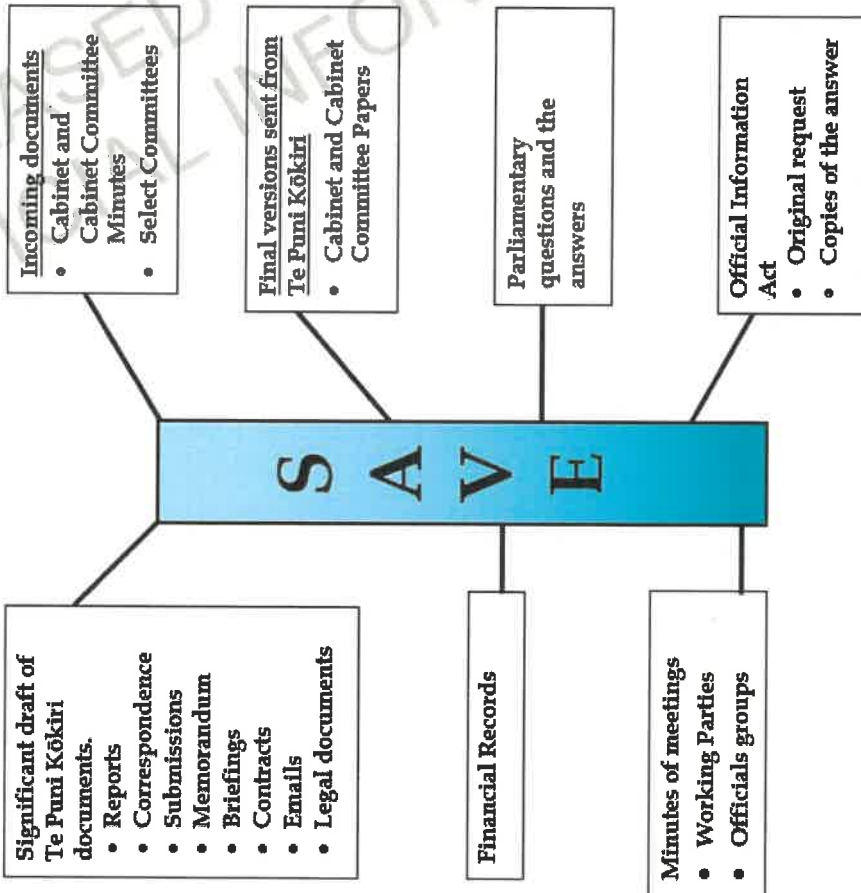
Retention and Disposal Schedule
- Appraisal Report

Official Information Act Guidelines
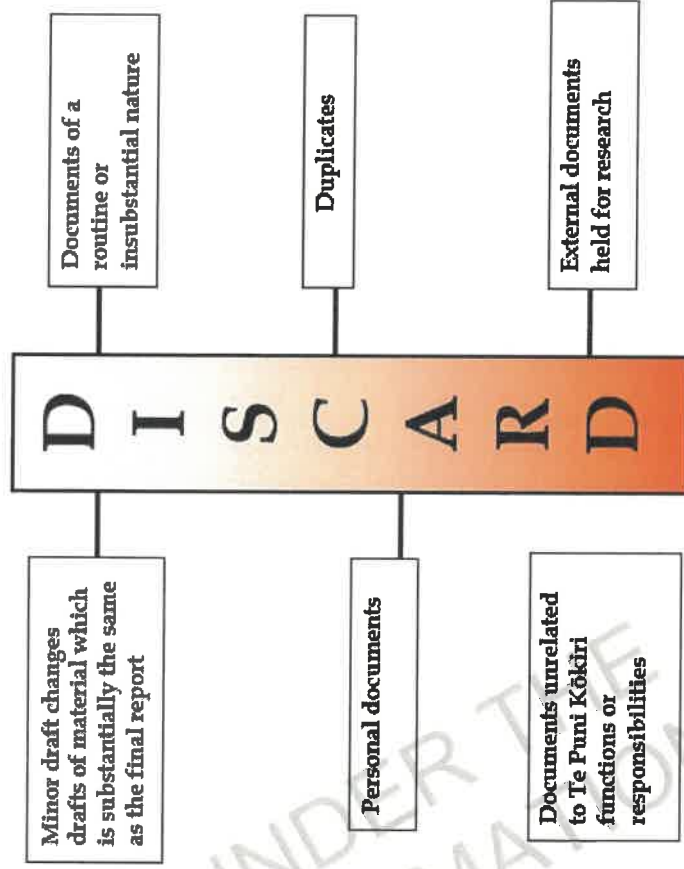
Archives New Zealand Records Toolkit

Contact | Whakapā Mai

For more detail refer to the Records Management Guide or contact Information Services Records Team for advice.

The Te Puni Kōkiri Record contains the following documents

SAVE

- **Incoming documents**
  - Cabinet and Cabinet Committee Minutes
  - Select Committees
- **Final versions sent from Te Puni Kōkiri**
  - Cabinet and Cabinet Committee Papers
- **Parliamentary questions and the answers**
- **Official Information Act**
  - Original request
  - Copies of the answer
- **Significant draft of Te Puni Kōkiri documents.**
  - Reports
  - Correspondence
  - Submissions
  - Memorandum
  - Briefings
  - Contracts
  - Emails
  - Legal documents
- **Financial Records**
- **Minutes of meetings**
  - Working Parties
  - Officials groups

The Te Puni Kōkiri Records DO NOT contain the following documents

DISCARD

- Documents of a routine or insubstantial nature
- Duplicates
- External documents held for research
- Minor draft changes drafts of material which is substantially the same as the final report
- Personal documents
- Documents unrelated to Te Puni Kōkiri functions or responsibilities

Substantive versus Insubstantial: An invitation to a meeting is insubstantial; the minutes of the meeting are substantive