

Appraisal Report Functions, Activities and Records Evaluation Template

Appraisal Report

Functions, activities and records evaluation for New Zealand On Air/ Irirangi Te Motu

File/Document ID	
Agency	Broadcasting Commission (New Zealand On Air/ Irirangi Te Motu)
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Date	

Contents

Purpose	3
Scope	3
Agency and System Information	3
Functions of NZ On Air	3
Organisational Structure	4
Recordkeeping Environment	4
Electronic Records	4
Paper Records	4
Business Information Systems	5
Audio Visual Records	5
Methodology	6
Previous Appraisals/Relevant Precedent	6
Disposal Criteria	6
Schedule format	6
External Consultation	7
Description and Evaluation of Disposal Classes	8
Class 1: Governance and Accountability	8
Class 2: Funding	10
Class 3: Music Promotion	13
Class 4: Research	15
Class 5: Stakeholder and Industry Management	16

Purpose

The purpose of this appraisal report and accompanying disposal schedule is to obtain authorisation from the Chief Archivist for records created and received by NZ On Air. The report will:

- Support effective and efficient records management
- Reflect any changes in records management or information management systems, functions or activities undertaken by NZ On Air
- Obtain legal authority to dispose of records not covered by the General Disposal Authorities
- Replace expired authority DA429

Scope

This appraisal report and the accompanying disposal schedule applies to current, non-current and yet to be created records in all formats, including audio visual records that are created and received by NZ On Air. The schedule excludes classes of records covered by the General Disposal Authorities (GDA6 and GDA7).

Agency and System Information

Agency Code:	ADKQ
Agency Name:	Broadcasting Commission (NZ On Air)
Previously known as	
Year Established:	1989
Year Disestablished:	Current

Functions of NZ On Air

NZ On Air is an autonomous Crown Entity. It was established under Part 4 of the Broadcasting Act 1989. The functions of the agency as set out in the legislation have changed over time. For example:

- At establishment date, NZ On Air had transitional responsibility for the New Zealand Symphony Orchestra
- Responsibility for Māori radio was passed to Te Māngai Pāho in 1995
- Responsibility for television archiving moved to the Ministry for Culture and Heritage in 2011¹

The current key functions are:

- Funding Support for NZ content and platforms and services
- Promoting Māori language and culture
- Ongoing research

The organisation is tasked with reflecting and developing New Zealand identity – through the media that the country watches, reads and listens to.

¹ NZ On Air: An Evaluative Study 1989-2011. Paul Norris and Brian Pauling. A Research report for NZ On Air March 2012.

Organisational Structure

NZ On Air is governed by an independent Board appointed by the Minister of Broadcasting as per the Broadcasting Act 1989.

It has a small core team of 25 specialised staff. The organisation is structured around the following functions and activities:

Team	Function
Chief Executive	Leading the operational delivery of the agency
Funding	Dealing with funding applications, assessments and contracts for funded projects
Music	Managing music funding and promotions work
Communications	Managing the website, media relations, social media, publications, newsletters and research
Corporate Services	Managing finance, reception and human resources

Recordkeeping Environment

The records for NZ On Air are sorted by the following classifications:

Business Operations

Accountability

Communications

Corporate Services

Finance

Governance

HR

Research

Procurement and Contract Management

Funding

Scripted and Factual

Music

Platforms

Funding Management

IDF (Industry Development Fund)

Electronic Records

Up until 2019 NZ On Air used shared drives to create and store electronic documents. In January 2020 the organisation switched to Sharepoint as their central repository for documents. There is approximately 698GB of records held in the shared drives and an additional 2.39TB in the drive holding music videos and recordings. These drives have been made read only. Some information is being migrated to Sharepoint.

Paper Records

A master set of Board Papers is printed, signed and filed. Other records are for the most part no longer printed and filed.

There are approximately 400 linear metres of files stored in off-site storage with a specialist records storage provider. These records date back to 1989 and the majority are listed. Some destruction of financial records has taken place over time in accordance with GDA6.

There are approximately 60 linear metres of paper records held on-site. These are largely financial records and funding files for contracts signed prior to Sharepoint implementation on 1 January 2020.

Business Information Systems

In 2010 NZ On Air introduced an online portal to receive funding applications for music singles. In 2017 NZ On Air introduced an online portal (known as ERIC) to receive other funding applications. Navision is used to capture financial transactions. Summary details received in ERIC from all applicants re funding are exported to Navision for ongoing financial management. Full applications and accompanying documents (budgets, detailed proposals, other information) received in ERIC are exported to Sharepoint. Invoices and drawdown reports received from successful applicants are filed in Navision.

IMS is used for payroll. Payroll reports and personnel files are filed in Sharepoint.

Audio Visual Records

Any applicant that is successfully funded has a contractual obligation to supply NZ On Air with a finished product. The content produced is received in various formats and storage devices including DVD, USB, MP3, MP4 and CDs. There are currently 15 linear metres of audio visual stored at NZ On Air Premises

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Methodology

Previous Appraisals/Relevant Precedent

The existing NZ On Air disposal authority (DA429) was developed in 2010. While the core functions for the agency have remained relatively stable during that time, the mechanisms for receiving and delivering funding for media platforms has changed. In addition to this the formats in which content is received have evolved. Precedent in the current schedule was taken into account.

The following retention and disposal schedules were also examined for precedent and consistency:

- Ministry for Culture and Heritage: Appraisal Report (Note, at the time of writing of this report, the Ministry's Appraisal Report was available for public comment through the Intentions to Dispose process and was yet to be signed off).
- DA308 NZ Film Commission
- DA679 Te Māngai Pāho
- DA445 Creative New Zealand

Disposal Criteria

The Public Sector Archival Selection Principles as set out below were used to appraise the records:

- Principle 1 – Information and records that provide evidence of the authority, functions and activities of the New Zealand public sector.
- Principle 2 – Information and records that provide evidence of recognition and respect for the Treaty of Waitangi/Te Tiriti o Waitangi principles and fulfilment of the Crown's obligations, and evidence of the absence or failure of these.
- Principle 3 – Information and records that contribute to individual and community knowledge, identity and memory.

Schedule format

The retention and disposal schedule is attached as a MS Excel workbook. Definition of each of the fields of the spreadsheet is outlined below:

ID	Numeric reference. Purpose is to allow easy application to the organisation's file classification structure
Record Class Description	High level class title and sub-class titles and descriptions
Examples of Records	Describes types of records covered by the class and specific sub-classes. In some cases will also document records excluded and refer to relevant class. Note: examples given are not an exhaustive list of records
Total Retention	The total period of time from when the record becomes non-current until the disposal action
Trigger	The point at which the record is considered to be non-current.
Disposal Action	The disposal action for records in the class or sub-class i.e. <ul style="list-style-type: none">▪ Retain as Public Archive▪ Destroy

Internal Consultation

The following staff members participated in consultation sessions, or provided feedback on drafts of the retention and disposal schedule:

Name	Role
[Name removed]	Head of Corporate Services
[Name removed]	Executive Assistant to the Chief Executive
[Name removed]	Associate Head of Funding (Business Affairs)
[Name removed]	Business Affairs Assistant
[Name removed]	Head of Communications
[Name removed]	Communications Adviser
[Name removed]	Head of Music
[Name removed]	Funding Advisor
[Name removed]	Music Contracts and Administration Assistant

External Consultation

Agency	Addressee/Responder
Te Māngai Pāho	[Name removed]
Manatu Taonga/Ministry for Culture and Heritage	[Name removed]
Nga Taonga Sound and Vision	[Name removed]
Creative New Zealand	[Name removed]
Te Taura Whiri I te Reo Maori/Maori Language Commission	[Name removed]
New Zealand Film Commission	[Name removed]
Te Puni Kokiri	[Name removed]

Description and Evaluation of Disposal Classes

Class 1: Governance and Accountability

Description

This class of records covers the function of providing governance, oversight and decision-making for NZ On Air

NZ On Air is governed by an independent Board appointed by the Minister of Broadcasting. The Board is responsible for determining funding policy and meets 5 times a year to make decisions on funding applications.

The Board has a number of sub committees reporting to it, including Audit and Risk, and Remuneration and Human Resources. The Staff Investment Committee has delegated authority to make funding decisions up to \$1 Million. Funding decisions over \$1 Million are considered by the Board. Approximately \$145 million funding is allocated annually and from time to time one off funding initiatives are established.

Board Books are used to distribute board papers. A signed master set of the agenda, minutes and accompanying papers is printed and filed.

Procedural guides and policies for how the Board and sub committees operate are regularly updated by the Board. Nominations and appointments for the Board are managed by Ministry for Culture and Heritage

Value statement

Class 1.1. Board Papers

The signed set of Board Papers and Minutes provide a comprehensive record of NZ On Air's statutory functions. The papers include a summarised version of funding as well as long term policy decisions impacting the direction and investment in New Zealand public media. These records provide evidence of the Board's strategic decision making and demonstrate the legitimacy of their authority. They are recommended for transfer to Archives New Zealand under Archival Selection Principle 1.

Class 1.2 Procedural Guides

Procedural guides provide evidence of how the Board operates. These records complement the Board minutes, providing information on the role of the Board, its structure and the contribution to the governance of NZ On Air. These records are recommended for transfer to Archives New Zealand under Archival Selection Principle 1.

Class 1.3 Operational Papers and 1.4 Routine Operation

These records are of a routine operational nature and are recommended for destruction. Correspondence of archival significance will be picked up in the Stakeholder Management Class (see Class 5)

Retention and Disposal Recommendation

Records recommended for retention as public archives:

Class	Sub class	Description	Trigger	Min Retention
1.1	Board Papers – Signed Master Set	Complete set of signed Board agendas, minutes and papers	After date of board meeting	10 years
1.2	Procedural Guides	Records relating to how the Board and associated sub committees operate	Once superseded	10 years

Records recommended for destruction:

Class	Sub class	Description	Trigger	Min Retention
1.3	Operational Papers	Records relating to meeting arrangements	Date last modified	7 years
1.4	Routine Administration	Records relating to meeting arrangements	Date last modified	7 years

Class 2: Funding

Description

This class covers the records associated with the funding process. It covers all the of funding streams administered by NZ On Air as well as one off funding and co-funding initiatives.

Funding is a core function of NZ On Air and the types of funds has changed over time to reflect the changing landscape for delivering media services. Prior to 2017, funding was organised by:

- Radio
- Music
- Archival and Digital
- Television
- Community Broadcasting

The New Zealand Media Fund (NZMF) was established in 2017. This change in the funding model was introduced to allow for the dynamic environment in platforms and fast-changing audience behaviours. The core purpose of the fund is: Great New Zealand content is valued and enjoyed by many New Zealanders.

Funding is now streamlined into four funding streams:

Scripted

This includes audio/visual drama, comedy, animation and other entertaining content requiring a planned creative approach. Projects range from relatively large budget television services to smaller scale web series.

Factual

Approximately half of the contestable funds are invested in factual content each year. Key investment areas are audio/visual documentary and factual projects for diverse audiences. Projects may involve different New Zealand regions and cultures, investigate local topics, cover events or issues important to NZ culture and identity or reveal an aspect of te ao Māori.

Platforms

Funds are provided to specific platforms and services to create and deliver public media content. These include access and specialist radio stations, disability access services and online content discovery hubs.

Music

The music funding stream focuses on new music streams. Emphasis is placed on funding projects that reflect Aotearoa and have the potential to reach significant broadcast and/or online audiences. Promotion of NZ Music is covered in Class 5.

There are approximately five main funding rounds per year and an additional 5 or more music single funding rounds.

Specific **criteria, roadmap and guidelines** are developed for each round. These are informed by

overarching **Funding and Strategy Frameworks.**

Scripted, factual, platform and some music funding applications are submitted via an online portal (known as ERIC). The application is confirmed with the primary platform, for example TVNZ. The information is migrated from the portal to Sharepoint. Applications are reviewed and recommendations are sent to either the Staff Investment Committee (for applications under \$1 million) or to the Board (for applications over \$1 million). In 2019 926 applications were received and 401 contracts executed.

Applications for Music Singles are submitted via a different online portal. Recommendations are sent to the CE for approval and a summary is filed in Sharepoint.

Contracts are drawn up for successful applications and further detailed information will be supplied by the successful applicants, for example cost reports and confirmation re -health and safety arrangements. There are a series of milestones and draw downs associated with each contract and these are monitored by NZ On Air.

Contract files are closed once the production has been completed, however they can be referred to over a significant period of time as NZ On Air may have on-going income associated with the produced product.

NZ On Air may also invest/co-invest in production development. This is largely in the Scripted area and the funding is used to help those wishing to pitch for production funding. Information on development funding and productions that were subsequently made is held in the contracts file.

In addition to these funding rounds, a Request for Proposal may be issued by NZ On Air for targeted projects, for example women's suffrage, climate change etc. The review and recommendation process is the same as the funding rounds.

Audit reports are conducted on a selection of contracts. Report contents include letter of notification, audit reports and opinions and a close out letter. The finalised audit report is presented to the Audit and Risk Sub Committee of the Board.

In some instances co funds may be made available for specific areas, for example encouraging Maāori language content. NZ On Air will work alongside agencies such as Te Māngai Pāho to administer a joint pool of funding.

Funded Content

Any applicant that is successfully funded has a contractual obligation to supply NZ On Air with a finished product. These can be received in various formats and are currently stored in the form in which they are received. Music videos and singles are downloaded and stored on a media-specific server at NZ On Air's Wellington office.

Screen production material produced as a result of funding is sent to NZ On Air usually on a USB stick or hard drive. Audio and video produced as a result of funding is stored on the device by which it was received.

Value statement

Class 2.1 Funding and Strategy Frameworks

These records set out the direction for developing and supporting local media content and determine

the high-level methodologies and criteria for funding. They demonstrate how NZ On Air ensures funded public media content reflects New Zealand’s cultural identity.

The Strategy and Frameworks also document how NZ On Air contributes to Rautaki Māori, in particular:

- Supporting the production of quality Māori content
- Strengthening relationships with Māori content creators and
- Upholding the mana tangata and mana iwi of funded content.

Funding Strategy and Frameworks documents are recommended for transfer under Archival Selection Principle 2 as they demonstrate NZ On Air’s commitment to ensuring there is provision for Māori content and Archival Selection Principle 3 as they demonstrate the strategic directions over time for the organisation’s core functions.

Class 2.2 Criteria, Roadmaps and Guidelines

These records are largely operational in nature as they are designed to assist applicants with completing funding applications. They are recommended for destruction.

Class 2.3 Funding Application (Successful) and Class 2.4 Funding Applications (Unsuccessful)

Summarised information on individual applications can be found in the Board and sub-committee papers and individual successful and unsuccessful applications are recommended for destruction.

Class 2.5 Contracts

These records contain standardised legal and financial content and are of a routine operational nature. They are recommended for destruction once all terms and conditions have been met.

Class 2.6 Audit Reports

These records are of operational and administrative value only. Summary information is captured in the Board minutes through reporting by the Audit and Risk Sub Committee. These records are recommended for destruction.

Class 2.7 Funded Content

These records contain copies of the finished content funded by NZ On Air. They fulfil a contractual requirement to demonstrate that the funded project is complete. These records are recommended for destruction.

Retention and Disposal Recommendation

Records recommended for retention as public archives:

Class	Sub class	Description	Trigger	Min Retention
2.1	Funding and Strategy Frameworks	Records documenting the development of overarching funding frameworks and strategies	Date last modified	10 years

Records recommended for destruction:

Class	Sub class	Description	Trigger	Min Retention
2.2	Criteria, Roadmaps and Guidelines	Records documenting specific criteria, roadmaps and guidelines for individual funding rounds	Date last modified	10 years

2.3	Funding Applications - Successful	Applications from individuals and organisations for funding. Covers all funding streams	Once all terms and conditions have been met	10 years
2.4	Funding Applications - Unsuccessful	Applications from individuals and organisations for funding. Covers all funding streams	Date of last action	7 years
2.5	Contracts	Contractual documentation for content funded by NZ On Air	After funded activity is completed	7 years
2.6	Audit Reports	Audits of contractual arrangements for funded productions	Date last modified	7 years
2.7	Funded Content	Audio and visual content supplied by producers as part of the contractual arrangements for funding	Date received	7 years

Class 3: Music Promotion

Description

This class covers records associated with the promotion of NZ music.

A core function of NZ On Air is to actively promote NZ music. This is done through a number of activities and events, including:

- Supplying radio stations and other media with a monthly digital compilation of new music
- Supporting music feature specials on new NZ Music across multiple local platforms
- Supporting industry seminars and events such as the Aotearoa Music Awards, Taite Music Prize, Pacific Music Awards and Waiata Maori Music Awards

The monthly compilation (“NewTracks”) includes both unfunded and funded NZ music. It is currently supplied in a MP3 format for online streaming and .WAV download options for media use.

Value statement

Class 3.1 Monthly Compilation of New NZ Music

In theory the rights holder i.e. the company that produced the music should have a copy of the master but this is not always the case and some of these companies can be short-lived. There is a high level of public interest in these records, as evidenced by the regular requests NZ on Air receives for this content.

The monthly digital compilation of new music is recommended for transfer under Archival Selection Principle 3. It represents a unique archival collection of music produced by and for New Zealanders by a wide range of artists and reflects New Zealand’s cultural identity.

Class 3.2 Promotional Material

Promotional material for NZ Music including calendars and posters provide visual evidence of music that is authentically New Zealand and reflects the changing history of music produced in this country.

Retention and Disposal Recommendation

Records recommended for retention as public archives:

Class	Sub class	Description	Trigger	Min Retention
3.1	Monthly Digital Compilation of New NZ Music	Music compiled by NZ On air to promote NZ artists and music		
3.2	Promotional Material	Material produced and published by NZ On Air to promote NZ music and artists	From date of publication	10 years

Records recommended for destruction:

None

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Class 4: Research

Description

This class covers the function of both commissioned and internal research.

NZ On Air commissions research to inform strategic direction and funding policy. A key piece of research is the long running research series on media consumption behaviour. Annual research includes surveys on public perception, understanding and support for NZ On Air and its funded content.

Individual pieces of research are commissioned from time to time to provide insight on specific areas, for example Local Democracy reporting and funding schemes.

In recent years NZ On Air has increased its level of internal research. These one-off pieces of research cover topic or audience specific areas.

Value statement

Class 4.1 Research Reports

NZ On Air has a unique role in funding and undertaking research on a wide range of issues relating to and impacting New Zealand public media.

NZ Research findings conducted on behalf of and by NZ On Air provides a rich longitudinal picture of broadcasting in New Zealand, particularly in relation to audience ratings and public awareness and attitudes. They meet Archival selection Principle 1 as they demonstrate NZ On Air's delivery of a core function and Archival Selection Principle 3 as it they provide evidence of New Zealander's changing viewing habits and perception of local content over time.

Class 4.2 Research Administration

These records are administrative in nature and are recommended for destruction.

Retention and Disposal Recommendation

Records recommended for retention as public archives:

Class	Sub class	Description	Trigger	Min Retention
4.1	Research Reports	Research reports that have either been commissioned or undertaken by NZ On Air, including annual surveys and one-off reports	After date of publication	10 years

Records recommended for destruction:

Class	Sub class	Description	Trigger	Min Retention
4.2	Research Administration	Records associated with the administration of undertaking research	Date last modified	7 years

Class 5: Stakeholder and Industry Management

Description

This class covers records associated with stakeholder and industry relationships across government and the NZ media industry.

NZ On Air participates in industry advisory groups, conducts hui and forums on industry issues, conducts surveys to understand stakeholder needs and where services can be improved and works with other organisations on issues such as promoting Te Reo and NZ content. It also has a number of key strategic relationships with government agencies either through on-going contractual relationships or co-funding initiatives.

In addition to these key strategic stakeholder and industry relationships, NZ On Air has interactions with a wider range of government agencies and organisations and responds to requests for information or comment, surveys, submissions as well as general correspondence.

Value statement

Class 5.1 Strategic Stakeholder and Industry Relationships

These records provide evidence of and information about NZ On Air's strategic relationships and collaboration with stakeholders and the broadcasting/online industry in New Zealand.

These records will, over time, assist external researchers to understand how NZ On Air developed its strategic relationships and built partnerships with the industry. They demonstrate NZ On Air's accountability to government and citizens about how it consulted on and performed its functions and fulfilled its legislated mandate. These records are therefore recommended for transfer to Archives New Zealand under Archival Selection Principle 1.

Class 5.2 Government agencies

These records are operational and no long-term value and are therefore recommended for destruction.

Retention and Disposal Recommendation

Records recommended for retention as public archives:

Class	Sub class	Description	Trigger	Min Retention
5.1	Strategic Stakeholder and Industry Relationships	Records associated with building and maintaining key strategic stakeholder and industry relationships	Date last modified	10 years

Records recommended for destruction:

Class	Sub class	Description	Trigger	Min Retention
5.2	Government agencies	Records associated with comments on other government agency's functions and activities and general interactions	Date last modified	7 years

Access Recommendations

Archives New Zealand recommends that public offices consider and document the access status of records and the justification for any access restrictions in the form of an access schedule. A good time to do this is at the same time as creating an appraisal report and disposal schedule.

Please refer to the [Access](#) guide prior to making decisions.

An access schedule can be incorporated with the disposal schedule or sit as a separate document that can be aligned to an existing disposal schedule.

Please use the Disposal Schedule and Access Schedule Template for an example of how to incorporate access statuses into a disposal schedule at the time of appraisal.

It will be assumed that the access status of all records will be open unless noted.

If, after referring to the 'Access' guide and consulting with stakeholders, it is still considered appropriate to apply restrictions, please include the following:

- reasons for restriction
- restriction duration
- restriction justification.

Appendices

This section should include anything additional in either support of, or further explanation to, the description of the records or the disposal recommendations. Examples may include:

- key points from the responses from consultation
- application for deferral of transfer [if applicable]
- contacts for access.