

RESPONSE FROM THE NEW ZEALAND LIBRARY AND ARCHIVES SECTOR

14 December 2018

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To:



United Nations Educational, Scientific and Cultural Organization  
26 JU L.

Ref.: CL/4245

Subject: **First consultation on the implementation of the 2015 Recommendation concerning the Preservation of, and Access to, Documentary Heritage Including in Digital Form**

Sir/Madam,

Under Article VIII of UNESCO's Constitution, Member States are required to submit, every four years, a report on the legislative and administrative provisions and any other measures they have taken to implement the conventions and recommendations adopted by the Organization.

Against this background, Member States are requested to submit their reports on the 2015 Recommendation concerning the Preservation of and Access to, Documentary Heritage Including in Digital Form, in one of the two working languages of UNESCO, by **30 November 2018** to Mr Indrajit Banerjee, Director of the Knowledge Societies Division, Communication and Information Sector (tel.:

+33 1 45 68 42 78; e-mail: [i.banerjee@unesco.org](mailto:i.banerjee@unesco.org)). Mr Banerjee remains at your disposal for any additional information you may require.

Member States are encouraged to organize the necessary consultations within and outside the concerned ministries and institutions, including with key memory institutions, national Memory of the World committees, professional associations, relevant civil society partners and National Commissions for UNESCO. Member States should also use to that end the questionnaire, herein enclosed.

The Secretariat will submit to the 206th session of the Executive Board, in spring 2019, the first consolidated report on the implementation by Member States of the 2015 Recommendation for its consideration. This report, together with the comments of the Executive Board's Committee on Conventions and Recommendations, will subsequently be submitted to the 40th session of the General Conference in 2019.

7, place de Fontenoy 75352 Paris 07 SP, France

Tel.: +33 (0)1 45 68 10 00

Fax: +33 (0)14568 55 55 To Ministers responsible for relations with UNESCO

[www.unesco.org](http://www.unesco.org)

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Please accept, Sir/Madam, the assurances of my highest consideration.

Audrey Azoulay --- Director-General

NEW ZEALAND'S RESPONSES ARE INSERTED FOLLOWING EACH QUESTION:

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**QUESTIONNAIRE FOR THE PREPARATION OF REPORTS BY MEMBER STATES ON THE APPLICATION OF THE RECOMMENDATION CONCERNING THE PRESERVATION OF, AND ACCESS TO, DOCUMENTARY HERITAGE INCLUDING IN DIGITAL FORM (2015)**

**Preliminary remarks**

Member States are invited to consult the Implementation Guidelines that have been prepared to assist them with the practical application of the various provisions of the Recommendation. The proposed questionnaire has been established based on the topics set out in the Implementation Guidelines, which can be found on the Memory of the World (MoW) website at: [https://en.unesco.org/sites/default/files/2015\\_mow\\_recommendation\\_implementation\\_guidelines\\_en.pdf](https://en.unesco.org/sites/default/files/2015_mow_recommendation_implementation_guidelines_en.pdf)

Pursuant to Articles 15 and 16.1 of the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the UNESCO Constitution, the Director-General of UNESCO has invited Member States by the Circular Letter 4155 dated 28 April 2016 to submit the Recommendation to their competent authorities within a period of one year from the close of the session of the General Conference.

Furthermore, under Article VIII of UNESCO's Constitution, Member States are required to submit a report on the legislative and administrative provisions and any other measures they have taken to implement the conventions and recommendations adopted by the Organization.

**Submission and dissemination of reports**

Please designate a contact person responsible for the information sharing and cooperation with UNESCO in relation to this Recommendation.

The report should not exceed 15 pages, excluding annexes and is to be submitted to UNESCO in electronic form only (standard .pdf or .rtf or .doc format) in English or French, to the extent possible.

The report will be made available on UNESCO's website in order to facilitate the exchange of information relating to the promotion and implementation of this Recommendation.

## QUESTIONNAIRE

### GENERAL INFORMATION:

Country:

New Zealand

Organization( s) or entity (s) responsible for the preparation of the report: Officially designated contact person/institution:

The National Library of New Zealand (NLNZ) and Archives New Zealand (Archives NZ): contact person is Mr W. Roberts (NLNZ), [winston.roberts@dia.govt.nz](mailto:winston.roberts@dia.govt.nz)

Note: both institutions are part of the Information and Knowledge Services (IKS) branch of the New Zealand government Department of Internal Affairs.

Name(s) of designated official(s) certifying the report:

Mr Bill Macnaught (National Librarian)

Brief description of the consultation process established for the preparation of the report:

The report has been compiled and edited by Mr Winston Roberts (Senior Business Advisor International, NLNZ), on the basis of discussions with the following managers and experts: Mr Steve Knight (Director, Preservation Research & Consultancy, NLNZ), Ms Lillie Le Dorré (Senior Advisor Planning, Archives NZ), and Mr Mark Crookston (Associate Chief Librarian – Research Collections, NLNZ).

### REPORTING ON THE SPECIFIC PROVISIONS OF THE RECOMMENDATION:

#### General support:

1. Has the Recommendation been promulgated to appropriate ministries and institutions? (Section 1)

Yes - to the Minister of Internal Affairs (Minister Responsible for NLNZ and Archives NZ), and to the Ministry for Culture and Heritage.

2. Has the Recommendation been translated into the national language(s) (if applicable)?

Official languages of New Zealand are English and Māori. However, the Recommendation has not been translated into Māori.

3. Has your country created a supportive, participatory, enabling and stable environment for all parties? (1.1, 1.2, 3.1, 4.5, 5.1, 5.2)

Yes, through the legislative mandates of NLNZ and Archives NZ, which are, respectively, the National Library of New Zealand (Te Puna Mātauranga o Aotearoa) Act 2003, and the Public Records Act 2005.

4. How, if at all, has your country applied international standards and curatorial best practice (2.4, 2.7, 2.8, 2.9, 4.2, 5.1, 5.2, 5.5)?

Through compliance with all digital preservation standards as part of normal operational practice (OAIS, PREMIS, METS, etc.), contributing to global standards activities in digital preservation, and participating in international fora for the advancement of digital preservation globally.

5. What consultation mechanisms does the government maintain with stakeholders in the documentary heritage sector (national and private memory institutions, professional associations, relevant NGOs)? (1.2)

The National Library Act 2003 established two key advisory bodies:

- the Library and Information Advisory Commission (LIAC), an independent body of representatives of the wider library sector, who are nominated by the sector and appointed by the Minister Responsible for the National Library. LIAC is administered by the National Library, and consults with it, but it advises the Minister directly.
- the Kaitiaki/Guardians of the Alexander Turnbull Library (ATL – part of the National Library which cares for the documentary heritage collections, including those taonga [treasures] which are held in trust for the Māori people of New Zealand). The Guardians advise the Chief Librarian of the ATL, who reports to the National Librarian.

Similarly, Archives NZ has the Archives Council, the statutory body which advises the Minister Responsible for Archives, and Te Pae Whakawairua, the Chief Archivist's Māori advisory body.

All of these advisory bodies meet regularly to discuss challenges and issues, and provide feedback on various work programmes.

In addition, Archives NZ employs tools such as Loomio, a web-based engagement app, and various in-person engagement sessions around New Zealand as required.

NLNZ and Archives NZ develop policies, mechanisms and criteria for selecting, acquiring and de-selecting documentary heritage on behalf of their sectors. This is a top-down process aimed at supporting all levels of practitioners in gaining experience in the treatment of digital heritage collections (libraries, archives, museums, personal archiving, etc.).

6. What actions has your country taken in order to support memory institutions in establishing policies and standards by research and consultation, guided by internationally established norms? (1.1, 1.2, 2.2, 2.3, 3.2)

NLNZ administers the National Library Act 2003, which includes the electronic Legal Deposit mandate. The National Library Act mandates the National Library to consult regularly with LIAC and the Guardians of the ATL on the operations of the National Library including the digital preservation programmes. These bodies include representatives of a range of research libraries, universities and other information sector experts.

The NLNZ is working to develop a national approach to digital preservation called 'Digital Preservation New Zealand' (DPNZ). If the project goes ahead, this offering will provide a 3<sup>rd</sup>-party centralised service to institutions requiring long-term safekeeping of their digital assets.

Archives NZ administers the Public Records Act 2005 (PRA), which provides the framework for recordkeeping across government. Under the PRA, Archives issues standards and guidelines, which are developed in line with international standards, such as *ISO 15489 Information and documentation – Records Management*. These support memory institutions by ensuring that records are created, maintained and (if of archival value), kept in perpetuity.

7. What major capacity-building measures and policies have taken place within the sector? Is research and training for documentary heritage professionals organized in your country? How often? (2.4, 2.7, 2.8, 2.9, 5.1, 5.2)

Tertiary training for documentary heritage professionals is organised in New Zealand through the School of Information Management at Victoria University of Wellington (VUW) and the Open Polytechnic of New Zealand. Professional registration with LIANZA (Library and Information Association of New Zealand Aotearoa) requires a master's-level degree. The majority of practical expertise is gained through experience and employment.

There is no real provision for digital preservation and practice in education in New Zealand. NLNZ does periodic cross-sectoral workshops for documentary heritage institutions on how to care for digital collections.

Regarding tertiary education, those wishing to specialise in the physical conservation and preservation of cultural materials generally have to go overseas (mainly to Australia) to gain such qualifications.

Both LIANZA and the Archives and Records Association of New Zealand (ARANZ) hold biennial conferences, and various networking and educational events are put on by local branches.

#### **Legislation and mandates:**

8. What legislation does your country have in place to:

- define the authority, mandate, independence and governance structure of your national memory institutions? (3.1, 4.5)
    - the National Library of New Zealand (Te Puna Mātauranga o Aotearoa) Act 2003 [referred to hereafter as ‘the National Library Act 2003’]
    - the Public Records Act 2005
  - guarantee the ability of memory institutions to take unhindered preservation action on documents in their collections? (3.5 to 3.7)
    - Sections 33 and 34 of the National Library Act 2003 allow the National Library to circumvent TPMs (technological protection mechanisms) for the purpose of preservation of digital content.
  - promote and facilitate maximum inclusive access by empowering memory institutions? (3.2)
    - the National Library of New Zealand (Te Puna Mātauranga o Aotearoa) Act 2003
    - the Public Records Act 2005
  - support memory institutions providing access to material whose copyright status cannot be clarified? (3.5 to 3.7)
    - There is very limited provision in the Copyright Act 1994. A proposal for updating provisions regarding so-called “orphan works” forms part of library sector submissions to Government, currently, for the review of the Copyright Act in 2019.
  - ensure statutory deposit of documents in memory institutions? (4.6)
    - National Library Act 2003 Legal Deposit provisions
    - National Library e-Legal Deposit Regulations 2006
9. Has government net funding of national memory institutions (in recent years) increased or decreased? By how much? (4.1)

It has decreased, particularly since the GFC of 2008.

10. What long term investment in analogue and digital documentary preservation has been made? (4.1)

NLNZ provides budgetary support of \$NZ450,000 for enhancement and development of the digital preservation programme. This is to the benefit of both National Library and Archives NZ.

In 2013, Archives NZ established a film processing laboratory to preserve at-risk government-made films (primarily those made by the former National Film Unit – a collection which is registered on the NZ Memory of the World Register) through a reel-to-reel process. The new polyester film stock has a shelf life of 300 years.

Archives NZ recently established a Digitisation Programme to digitise and make available online various sets of archives. The focus has been on those records that are too fragile to be handled by researchers, those that are in high-use collections (e.g. colonial correspondence) and those that are of specific relevance to certain groups or events. Partnerships with civil society organisations and government agencies have enabled the digitisation of other specific sets of records.

The 'Preserving the Nation's Memory' project, which was launched in May 2017, seeks to address accommodation issues for Archives NZ and the National Library. This directly impacts the long-term preservation of documentary heritage as the current Archives building in Wellington is no longer fit for purpose in terms of its capacity and seismic rating.

11. What encouragement has been given in the development of open source software and access to proprietary codes by memory institutions? (4.7, 4.8)

The NLNZ's approach to the development of software follows the principle that software must be 'fit for purpose' regardless of whether it is proprietary or open-source. For example, Rosetta, the digital asset management and preservation solution that underpins New Zealand's National Digital Heritage Archive (NDHA) and Government Digital Archive, is proprietary software of Ex Libris Group. The NLNZ leads the international user group responsible for providing feedback to the vendor for the global roadmap for Rosetta. However, the ingest tools developed within the NLNZ are available as open-source tools.

(Note: the source code for Rosetta is held in escrow, should Ex Libris discontinue support for the product or fold as a company.)

Archives NZ promotes the use of open source tools and software, particularly for digital continuity and preservation. While Rosetta is proprietary, all of the tools used by Archives NZ for digital transfer and data analysis are open source, as are the tools recommended for use to New Zealand Government agencies considering digital transfer of public records to Archives.

### **Identification and preservation status of documentary heritage**

12. Do all national memory institutions have published collection development, preservation and access policies? Are there in your country established policies, mechanisms and criteria for selecting, acquiring and de-selecting documentary heritage? What policies have been developed recently? (1.1)

Recent policy development at NLNZ includes specialist Collection Plans including one for digital collections. These are available on the Library's website [www.natlib.govt.nz](http://www.natlib.govt.nz).

The National Library has also developed a use and re-use plan for digital materials as it works towards a more unified approach to access to digital collections by the Library's users.

Archives NZ has a legislative responsibility under the Public Records Act 2005 to the government and citizens of New Zealand to provide a framework for the systematic creation, management, disposal and preservation of public and local authority records. Archives has published to its website an [Appraisal Statement](#) and an [access policy](#). The Appraisal Statement provides criteria to inform decisions about what to retain and what to destroy, but does not clearly state what 'public archives' Archives NZ is interested in - now or in the future. This gap is being addressed through the development of a Selection Statement to replace the Appraisal Statement.

13. What documentary heritage has been identified as at potential or imminent risk (if any)? What action has been taken? Was it brought to the attention of competent bodies? (1.3, 2.7, 5.5)

Both the NLNZ and Archives NZ have identified digital A-V materials on physical carriers as a category of material at imminent risk of loss. Obsolescence of carriers, software, and playback equipment is becoming critical for this category. The National Library has developed a migration plan and is currently awaiting funding approval.

Risk management is a standard component of new digitisation projects, donor negotiations and agreements, and other digital collecting activities.

It is considered by libraries and archives institutions that there is a relatively short timeframe (up to 2025) in which to manage the process of preserving audio-visual material because the format carriers are continually degrading and information is being lost, and because it requires a wide range of playback equipment for the many formats of carriers and these are becoming more difficult to source. This includes lack of parts and technical repair capability.

As a result, audio-visual material has been prioritised by Archives NZ for preservation effort. This is being undertaken by the Film Processing Laboratory (referenced above), and other processes to move material from at-risk to more stable formats (e.g. by digitisation), and through preventative conservation, including effective control of the repository environment specific to audio-visual material requirements.

14. What arrangements are in place to protect the documentary heritage from danger? (5.4)

The National Library and Archives NZ are making a major investment in digital storage infrastructure including geographical redundancy for digital collections.

Both the Library and Archives NZ have in place a number of safeguards for all types of danger, including natural disasters (earthquakes, flooding, etc.). These include 24/7 security, controlled access to repositories, a tested Business Continuity Plan, disaster response plans and the maintenance of storage conditions, handling and reporting of risks.



15. What practical support has been given to private, local and individual collections of documentary heritage? Are they visible in national directories? (1.3, 4.3)

The National Preservation Office (NPO – operated by the National Library) runs short training courses for documentary heritage institutions around the country. The NPO provides information on where to purchase conservation-quality materials, carry out assessment of museums, archives or marae [indigenous community centres] to give advice on storing and displaying photographs, and on how to minimize the risk of disasters or how to respond afterwards.

The National Library's digital archivists also run digital archiving workshops around the country and are starting to see signs of improved capability for managing born-digital documentary heritage.

Archives NZ hosts The Community Archive, a website for archival organisations to manage and showcase their collections developed off the back of the earlier National Register of Archives and Manuscripts. Archives NZ also publishes a variety of standards and guidelines that, while developed for public offices and local authorities, can be used by private and other collections.

### **Capacity-building**

16. What specific steps have been taken to encourage consistency of best practice, coordination and sharing of tasks among memory institutions? (2.1, 2.7)

The National Library's 2016 strategy document 'Turning Knowledge into Value: Strategic Directions to 2030' (a date chosen consciously to align with the UN SDGs) tasks the Library with developing a culture and heritage system-wide Documentary Heritage Framework. A national approach to digital preservation will be central to this framework.

The National Library recently took a leadership role in establishing a group of collecting institutions which coordinate collecting activities for documentary heritage that represents gaps in the national collections.

*The Taonga Pathway* is a framework for cultural heritage agencies: it includes Archives NZ, the NLNZ, Te Papa [the national museum] and Ngā Taonga Sound & Vision [the national film and sound archives] working together with iwi [indigenous tribes] on 'tiaki taonga' (care, protection and preservation of taonga [treasures] by iwi and national cultural heritage collecting agencies) to support iwi aspirations. This is specifically in relation to the Government's current relationships with indigenous Māori tribes in the framework of the 1840 Treaty of Waitangi.

A Ministerial Working Group is currently considering how to strengthen the contribution of New Zealand's national archives and libraries to the country's culture and democracy.

Archives New Zealand and the National Library work closely together on a variety of tasks, including digital preservation, and through the *He Tohu* exhibition of key documents important for the constitutional history of New Zealand.

17. What training schemes have been developed? (1.5)

There is little formal training in place, so far. NLNZ offers an ad hoc internship for digital preservation training for external institutions.

Archives NZ hosts interns and work placements on an ad hoc basis. A more formal process is being developed to support the training of new professionals as part of Archives NZ's 2057 long-term strategy implementation.

18. What is the level of involvement of national memory institutions in international professional associations and networks? (2.8, 2.9)

The NLNZ is an active member of IFLA (the International Federation of Library Associations and Institutions) and CDNL (the Conference of Directors of National Libraries) together with CDNL-AO, its regional branch for Asia-Oceania. The National Library is active in specific digital preservation initiatives such as PREMIS, METS, UNESCO's PERSIST programme, and in bodies such as IIPC (the International Internet Preservation Consortium) and iPres.

Archives New Zealand is a member of the International Council on Archives (ICA), and the Pacific Regional Branch of ICA (PARBICA). Archives directly support PARBICA by staffing its bureau and sponsoring its biennial conference. Archives is also an active member of the Council of Australasian Archives and Records Authorities (CAARA) and its associated working group Australasian Digital recordkeeping Initiative (ADRI).

19. Are there partnerships, including public-private ones, established allowing sharing of costs, facilities and services? (2.2, 3.4, 4.2)

Not at present; however there is potential for such partnerships: see for example the reference to the DPNZ project (in response to question 6).

### **Memory of the World programme**

20. Is there in your country a national Memory of the World committee? If not, what plans exist to establish one? (4.10, 5.6)

Yes there is an active national Memory of the World Committee. Its website is: <http://www.unescomow.org.nz/> The committee is actively involved with MOWCAP.

21. What recent nominations have been made to Memory of the World registers (international, regional, national)? (1.4)

See this link to the announcement of recent inscriptions on the New Zealand national register, on the website of the NZ National Commission for UNESCO: <https://unesco.org.nz/category/news/memory-of-the-world/>

22. Are there any Memory of the World outreach and visibility activities organized in your country enhancing accessibility of documentary heritage? Please give examples. (3.7)

The NZ national Memory of the World committee publishes a newsletter, holds annual high-profile launch events to announce new inscriptions to the national register, and provides publicity that is picked up by national media.

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