

Archives New Zealand's Strategy and Methodology for PRA Standards

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Overview of presentation

- I. Introduction to standards and to the project
- II. Standards methodology
- III. Standards strategy and timeline

What is a standard?

- *A Standard is a published document that sets out the minimum requirements necessary to ensure that a material, structure, product, method, or system will do the job it is intended to do (Standards New Zealand)*
- *Standards are documented agreements containing technical specifications or other precise criteria to be used as rules, guidelines, or definitions of characteristics, to ensure that materials, products, processes and services are fit for their purposes (International Standards Organisation)*
- *A Standard is a document that defines outcomes and sets expectations in an area of recordkeeping practice, so that Public Records Act requirements are met (Archives New Zealand)*

Why set standards?

- To define outcomes and indicate expectations
- To support the audit process under Public Records Act
- Required by law:
 - PRA Section 11: The Chief Archivist is required to exercise leadership in recordkeeping and in the management of public archives in New Zealand, and one of the functions for achieving this purpose is the issuing of mandatory and discretionary standards;
 - PRA Section 27 enables the Chief Archivist to issue standards to support the Public Records Act audit process and to encourage good recordkeeping practice.

Standards Strategy and Methodology Project

- High level strategic consultation initiative, working with Standards New Zealand
- Two workshops over consecutive weeks in May
- Involved 22 representatives from state sector, local government, collecting institutions, auditors, recordkeeping consultancies, Archives NZ staff
- Developed recommended method and overall strategy for standards development under PRA

Methodology for standards development: 1

- Initiate and Plan
 - Set purpose and audience
 - Scoping paper and project plan (including identification of stakeholders and advisory group members)
 - Resource allocation
 - Review of existing standards
- Set up Advisory Group
 - Obtain balance
 - Set expectations
 - Set roles and responsibilities

Methodology for standards development: 2

- Develop Draft
 - Make provision for audit
- Consultation and Review
 - Active engagement
 - Workshops
 - Obtain desired levels of consensus
- Approval by Advisory Group
- Approval by Chief Archivist

Methodology for standards development: 3

- Publish, Promote, Implement
- Audit
- Review

Establish Governance Group

Pre-work/Enablers
 Style guide
 Resource availability
 Consultation strategy

Initiate & Plan

Set Up Advisory Group

Develop Draft

Consultation & Review

Approval by Advisory Group

Approval by Chief Archivist

Publish, Promote, Implement

Audit

Review

Potential Governance Group Approval

Standards New Zealand Assistance Where Appropriate

- Set purpose & audience
- Scoping paper
- Resource allocation
- Review of existing standards
- Optional workshops
- Optional environmental scan
- Project plan (incl identification of stakeholders and committee members)

- Obtain balance
- Set expectations
- Set roles and responsibilities

- Make provisions of audit

- Active engagement
- Workshops
- Obtain desired levels of consensus

Support Training

Standards Strategy

- Identified areas for standards development
- Prioritisation
- Developed timeline

Areas Identified for Standards Development

- Creation and maintenance
- Metadata
- Digital recordkeeping
- Storage
- Access
- Appraisal and disposal
- Approved repositories
- Disaster preparedness
- Change processes
- Archival arrangement and description

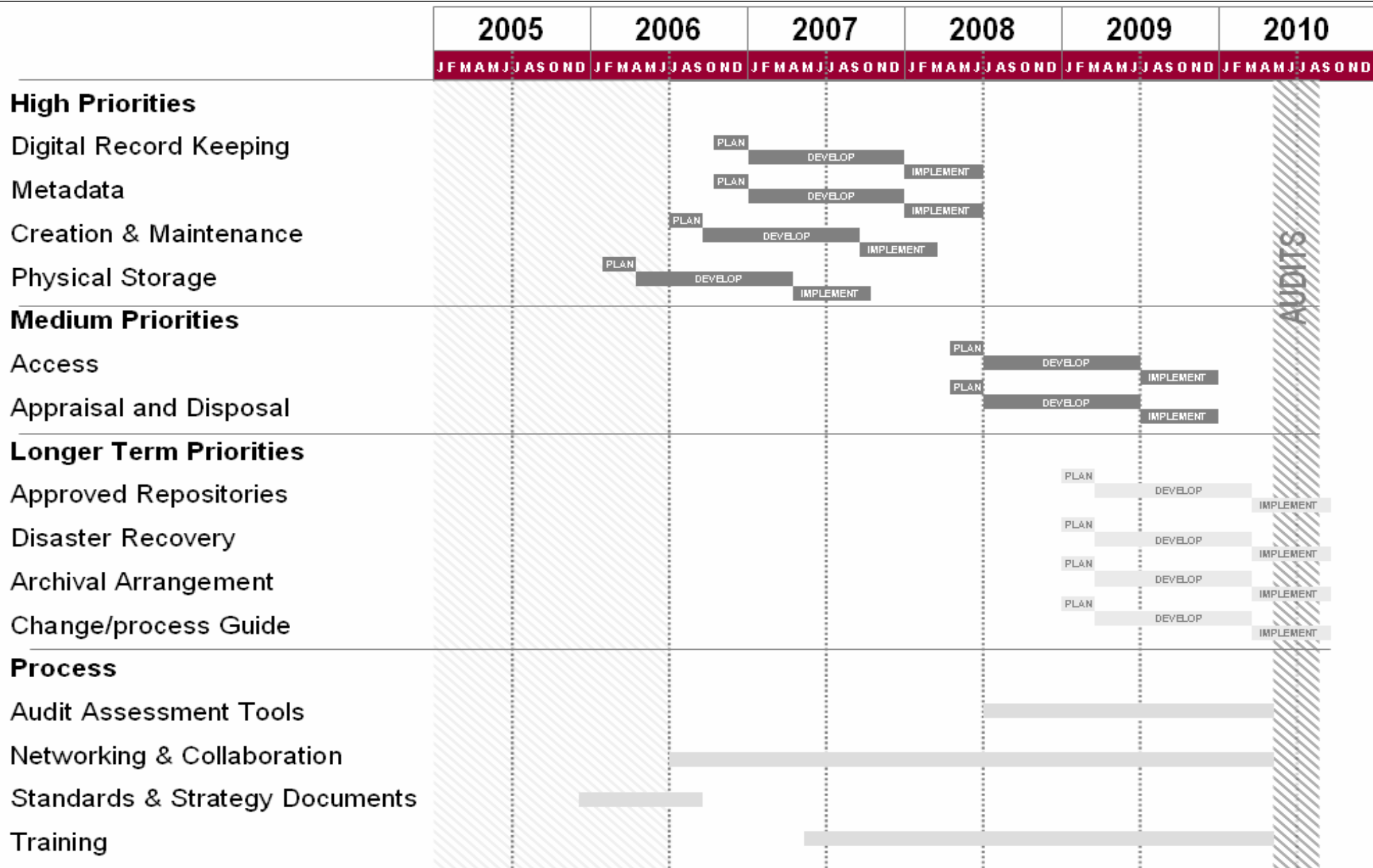
Prioritisation Criteria

- **Risk** - what impact would *not* undertaking the development of standards or frameworks have on the ability to meet PRA obligations?
- **Fit** – to what degree did the requirement category fit in with the current programme of work and activity, and with the current set of processes?
- **Demand** – what degree of demand for the standard or framework has been coming from stakeholders, staff or communities?
- **Coverage** – what proportion of stakeholders and staff are affected by the standard; and how large or complex is the range of subject-matters covered by the requirement category?
- **Benefits** – how large are the benefits (in terms of efficiency, economics or risk management) that would stem from the use and implementation of the standards or frameworks?
- **Costs** – how high are the costs involved in the implementation of the standard or framework (in order to obtain compliance)?

Results

- High priority
 - Digital recordkeeping*, Metadata*, Create and maintain*, Storage*
- Medium priority
 - Access*, Appraisal and disposal*
- Long term work plan
 - Approved repositories, Disaster recovery, Arrangement and description, Change processes

* Mandatory



Further information

- Standards Strategy and Methodology web page (www.archives.govt.nz/continuum/currentprojects)
- Email rkadvice@archives.govt.nz
- Phone: 04 4995595
- Digitisation standard exposure draft and feedback forms:
www.archives.govt.nz/continuum/currentprojects/digitisationstandard.php