



MASSEY UNIVERSITY

General Disposal Authority

DA 337 General Disposal Authority (GDA) applies to all records created or received by NZ Universities that are covered by the Public Records Act 2005

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CLASS	SUB-CLASS and DESCRIPTION
1 ADMINISTRATION	Administration records outlining distinct corporate administrative processes. It also covers Housekeeping records that are duplicated in some shape or form as well as superseded administrative instructions. (For administration relating to other activities and functions, see under the relevant class or sub-class heading.)
	Contact and Address Lists Housekeeping Meetings
2 AUDIT AND QUALITY MANAGEMENT	Compliance, auditing and risk management requirements (both internal and external) relating to University processes.
	Audits, Reviews and Evaluations Delegations and Authorities Emergency Management and Contingency Planning Fraud and Theft Issues Management Issues Monitoring Reporting Resource Consents Security and Vetting Standards and Regulations Superannuation and Medical Schemes
3 COLLECTIONS MANAGEMENT	The management of collections of art, private records, museum specimens and other objects which are owned by the University, or on loan to the University.
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4 FINANCIAL AND ACCOUNTING RECORDS	Financial and accounting processes and activities within the University, from group level to University-wide.
	Delegations Payroll Reporting Taxation

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Trusts

5 GOVERNANCE

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Organisational and Staffing Structures
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Personnel Files
Recruitment and Selection
Rental Payments and Agreements
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Social / Sports Clubs
Superannuation and Medical Schemes

Surveys of Employees
Training and Career Development (Employees)
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8 INFORMATION MANAGEMENT SYSTEMS AND SERVICES

Creation, monitoring, maintenance, administration etc of Information Technology, Information Systems (including records, library management), Information Control Systems and Mail and Distribution Management

Administration
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Internet/Intranet
Library and Information Services
Mail and Distribution Services
Records Disposal Decisions
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9 LEGAL

Legal activities and processes by / for the University such as legal monitoring of issues and incidences that have impact on University business and maintenance of legal agreements, contract management etc.

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15 STUDENT SERVICES

Provision of services to students either by the University or an entity that has an agreement or contract with the University.

Accommodation
Child Care Services
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Health Services
Orientation
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16 UNIVERSITY MARAE

The administration and management of University marae

17 UNIVERSITY PRESS

The commissioning, editing and publication of books by the University Press

SPECIALIST

18 SERVICES TO EXTERNAL CLIENTS

Advice given to external clients in a professional capacity that may be subject to possible future scrutiny

Key to Disposal Criteria:

Recommended for Retention as Public Archives

- A1** Records providing evidence of significant and unique input & participation in meeting that impact on key university functions and activities.
- A2** Records providing evidence of university compliance with and dealings under the Treaty of Waitangi and university relations and consultations with Maori.
- A3** Records documenting high-level corporate & stakeholder relationship issues, such as discussions, meetings, agreements & enquiries.
- A4** Records detailing ultimate disposal decisions for university records, both physical and electronic.
- A5** Records providing proof of an event or agreement that documents the rights, legal interests and obligations of the university or permits the settlement of legal claims.
- A6** Records documenting significant input on legislation that impacts on the university.
- A7** Records documenting the development and providing the final copy of policies and procedures that are key or wide-ranging in nature and that have significant and on-going business and/or compliance impact.
- A8** Records documenting the procedures, planning and reporting of significant processes and activities within the university.
- A9** Records documenting strategic planning and funding of trust funds, bequests and donations managed by the university.
- A10** Personnel records of senior personnel.
- A11** Personnel files of staff who received significant honours, achieved high distinction etc.
- A12** Records that provide summarised versions of employee information held elsewhere in a less consolidated form.
- A13** Significant documents relating to the health, safety and welfare of employees.

- A14** Records covering the university's nomination of staff for major honours and awards.
- A15** Records documenting the significant development, control and operations of key functions within the university.
- A16** Records documenting core information on student attendance and academic performance.

Recommended for Destruction

- D1** Records documenting routine operational and legal matters.
- D2** Records documenting routine administration matters
- D3** Records documenting minor/administrative projects that have low level effect on the university's operations and day-to-day establishment, maintenance and reporting of such projects.
- D4** Records holding information that is summarised in other records in a form recommended for transfer to Archives New Zealand.
- D5** General housekeeping records of an administrative and low-level nature.
- D6** Records documenting low-level planning and reporting

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
1. ADMINISTRATION						
Administration records outlining distinct corporate administrative processes. It also covers housekeeping records that are duplicated in some shape or form as well as superseded administrative instructions. (For administration relating to other activities and functions, see under the relevant class or sub-class heading.)						
1.1 Contact and Address Lists						
	1.1.1	Contacts Contact and address lists produced or held by the university.	<ul style="list-style-type: none"> • Telephone lists • Address lists • E-mail lists 	Destroy	Until administratively no longer required	D5
1.2 Housekeeping						
	1.2.1	Background information Material kept by an employee and used in the preparation of university correspondence, reports, audits, discussion papers etc.	<ul style="list-style-type: none"> • Information from published sources • Reference material from external sources • Brochures • Circulars • Raw data • Working drafts 	Destroy	Until administratively no longer required	D5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
1. ADMINISTRATION						
	1.2.2	<p>Copies, Duplicates of Records and their Reproductions EITHER copies of e-mails saved into the corporate system such as copies of records distributed for informational purposes or publications, bulletins or duplicates where the master copy is saved in the recordkeeping system or kept for for reference or informational purposes OR records that are no part of a formal information system and contain only drafts, duplicates and/or working copies.</p> <p>NOTE: Does not apply to copies used as a basis for further changes, or where a copy has become a different record in its own right due to changes. If the original file is lost, duplicate file may need to be retained. If this is the case, refer to the appropriate record class/sub-class for retention period. Does not apply where a hard copy original has been scanned or otherwise imaged. See Implementation Guide for details.</p>	<ul style="list-style-type: none"> • Duplicate records created for reference • Record copies kept for back-up/security reasons • Duplicates of external documents and publications 	Destroy	Until administratively no longer required	D5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
1. ADMINISTRATION						
	1.2.3	<p>Drafts (Minor) Preparation of preliminary drafts or outlines of reports, correspondence etc, prior to production of final work.</p> <p>NOTE: Does not apply where there are identified recordkeeping needs to keep drafts due to significance of decisions made, or existence of significant changes not contained in the final form of the records.</p>	<ul style="list-style-type: none"> • Drafts used to prepare correspondence • File notes • Reports • Spreadsheets • Plans • Statistics 	Destroy	Retain until production of the completed version or record	D5
	1.2.4	<p>Duplicates of Court and Judicial Records Duplicates and copies of records, where the originals are held in the court or some other judicial body's records.</p> <p>NOTE: Does not include information placed on an employee's personal file. See under Human Resources: Personnel Files</p>	<ul style="list-style-type: none"> • Evidence • Affidavits • Judgments 	Destroy	Until administratively no longer required	D5
	1.2.5	<p>Externally sourced material from a bulletin board or listserv Material not directly addressed to the recipient or the university.</p>	<ul style="list-style-type: none"> • Information down-loaded from libraries, databases, or received due to membership in a discussion group or listserv etc. 	Destroy	Until administratively no longer required	D5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
1. ADMINISTRATION						
	1.2.6	Incomplete E-Mail Material Email messages or memos never completed or shown to anyone else, never sent for comment or approval or to file, seen by no one except the creator.		Destroy	Until administratively no longer required	D5
	1.2.7	Personal Correspondence	<ul style="list-style-type: none"> • Correspondence with family or friends, • Doctor's appointments • Light-hearted banter, lunch dates etc 	Destroy	Until administratively no longer required	D5
	1.2.8	Received Advertising Material Information received from external agencies advertising their products/services. NOTE: This section does not apply to advertising material created by the University. See under Public Affairs and Communications	<ul style="list-style-type: none"> • Advertising flyers • Brochures • Catalogues • Price lists 	Destroy	Until administratively no longer required	D5
	1.2.9	Received for Information Only Circulated information not meant to result in action from the recipient and not used by the recipient as background information in their work.	<ul style="list-style-type: none"> • Bulletins • Newsletters • Internal circulars 	Destroy	Until administratively no longer required	D5
	1.2.10	Superseded Administration Instructions Instructions, systems procedures, training material, facilitation instructions and queries, user manuals etc where a master copy is in the corporate recordkeeping system.	<ul style="list-style-type: none"> • How to instructions including general procedures • Computer operating system-type records • User guides and manuals for University systems • Training instructions or handouts from training exercises 	Destroy	Until administratively no longer required	D5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
1. ADMINISTRATION						
	1.2.11	Trivial Work Related Material	<ul style="list-style-type: none"> • Routine housekeeping information • Meeting notices and arrangements • Contact details • Reminder notes • Copies of minutes • Circulated notices • Employee movements • Copies of publications • Room bookings • Forms management e.g. design, printing, authorisations, review, blank forms, templates etc • Photocopier meter readings etc 	Destroy	Until administratively no longer required	D5
	1.2.12	<p>Working Papers (Minor) Papers, background notes, reference materials used to prepare or complete other documents</p> <p>NOTE: Some working papers are considered to be significant, such as working papers associated with Annual Reports.</p>	<ul style="list-style-type: none"> • Audio recordings of conferences or meetings used to prepare transcripts, papers or minutes • Calculations, rough notes including notes of meetings or conversations where a formal record is made • Statistics or figures 	Destroy	Retain until production of the completed version or record	D5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
1. ADMINISTRATION						
1.3 Meetings						
	1.3.1	Administrative records	<ul style="list-style-type: none"> • Low-level facilitation • Routine and non-substantial correspondence • Reference and information-only records such as meeting notifications / invitations and acceptances • Travel arrangements • Secretarial administration • Venue and catering arrangements • Security arrangements 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
2. AUDIT AND QUALITY MANAGEMENT						
Compliance, auditing and risk management requirements (both internal and external) relating to University processes.						
2.1 Audits, Reviews and Evaluations						
	2.1.1	Administration Records that facilitate / administer the auditing process.	<ul style="list-style-type: none"> • Audit programme arrangements • Records facilitating routine office inspections, for example meeting arrangements, requests for files 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D4
	2.1.2	Confidential Submissions Individual submissions that have been provided on the agreement that the written submission will be destroyed once the report has been written	<ul style="list-style-type: none"> • Submissions 	Destroy	Once the report has been submitted and approved	D1
	2.1.3	Minor Audits Reviews, and evaluations that have no significant impact on policies, procedures or operational delivery or are to do with low level / routine audit information covering minor administrative matters, do not require major financial investment.		Destroy	7 years after date of last action	D6

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
2. AUDIT AND QUALITY MANAGEMENT						
	2.1.4	Major Audits Reviews and evaluations that significantly impact on planning, policies, procedures and services.	<ul style="list-style-type: none"> • Significant strategy and planning or funding reviews • Significant organisational reviews and business process re-engineering (e.g. major restructuring of marketing strategy) • Major accommodation developments (e.g. involving significant relocation of service delivery locations and / or substantial financial investment) • Substantial information systems reviews (e.g. major information systems that impact on service delivery) and risk management analysis / evaluation reports • Significant change management proposals • Significant quality / quality assurance audits etc 	Archive	10 years after date of last action	A8

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
2. AUDIT AND QUALITY MANAGEMENT						
2.2 Delegations and Authorities						
	2.2.1	Written authorities within the University given to managers allowing them to allocate resources and make decisions.	<ul style="list-style-type: none"> • Allowing hiring and promotion of employees • Creation of new positions, transfer of employees • Academic delegations 	Destroy	7 years after date of last action	D2
2.3 Emergency Management and Contingency Planning						
	2.3.1	Administration Records that administer and facilitate emergency management and contingency planning activities.	<ul style="list-style-type: none"> • Routine correspondence • Reporting arrangements 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D2
	2.3.2	Planning Records that outline the development of emergency management and contingency planning procedures and standards.	<ul style="list-style-type: none"> • Working papers • Draft emergency plans 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D6
	2.3.3	Final Plans Agreed final approved plan		Destroy	When plan is superseded	D1
2.4 Fraud and Theft						
	2.4.1	Reports (Minor) Records detailing minor internal fraud, misappropriations, theft and negligence. NOTE: Does not cover information placed on Personnel File.	<ul style="list-style-type: none"> • Petty theft • One-off opportunistic insignificant misappropriations • Small over-claims on expenses 	Destroy	7 years from date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
2. AUDIT AND QUALITY MANAGEMENT						
	2.4.2	<p>Reports (Significant) Records detailing serious internal instances of fraud, theft, misappropriations or negligence within the University.</p> <p>NOTE: Does not cover information placed on Personnel File.</p>	<ul style="list-style-type: none"> • Theft of significant amounts of money • Goods or property • Persistent ongoing misappropriations • Negligence incurring significant financial cost and/or other major consequences e.g. change to policies and / or procedures 	Archive	10 years from date of last action	A5
2.5 Issues Management						
	2.5.1	<p>Administration and Facilitation Records that document the issue management process such as complaint management / incident reporting process, and the quality control of that process.</p>	<ul style="list-style-type: none"> • Routine correspondence • Meeting arrangements 	Destroy	7 years from date of last action	D2
	2.5.2	<p>Incidents (Minor) Records that document reportable issues, events and incidents (and how they are resolved) that do not have an ongoing / significant effect on University policy, practice, precedent, strategy etc.</p>	<ul style="list-style-type: none"> • Complaint documentation and associated contextual / background information • Records outlining identification and resolution of an issue / event / complaint e.g. interview notes, discussion documents etc 	Destroy	7 years after date of last action or when no longer legally required to be retained, whichever is longer	D1
	2.5.3	<p>Incidents (Significant) Records of incidences / issues / complaints that result in the setting of significant precedent when it comes to the university's strategies, policies, business practice etc, major changes in policies, procedures, high level discussion within the university, legal action or wide media coverage.</p>	<ul style="list-style-type: none"> • Initial complaint documentation • Associated correspondence and attachments • University reports, records of decisions • Legal advice • Records outlining resolution etc 	Archive	10 years after event resolved and all legal and administrative requirements completed	A8

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
2. AUDIT AND QUALITY MANAGEMENT						
2.6 Issues Monitoring						
	2.6.1	Minor Issues Records that outline the ongoing monitoring of issues that had no impact on university policies, procedures, strategy, risk and compliance etc.	<ul style="list-style-type: none"> • Low-level monitoring reports 	Destroy	2 years after date of last action or until administratively no longer required for reference purposes, whichever is longer	D6
	2.6.2	Significant Issues Records that outline the ongoing monitoring of issues that resulted in significant changes to university policies, procedures, strategy, risk and compliance etc.	<ul style="list-style-type: none"> • Reports to do with the monitoring of significant issues 	Archive	10 years from date of last action	A8

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
2. AUDIT AND QUALITY MANAGEMENT						
2.7 Reporting						
	2.7.1	Administration Information that facilitates the reporting process for reports that are not audits, reviews or evaluations.	<ul style="list-style-type: none"> • Routine correspondence • Reporting arrangements 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D2
	2.7.2	Non-Financial (Minor) Low level reporting / records associated with report development and only have specific, low level impact on university business OR reports that are in summarised or consolidated form elsewhere. NOTE: For financial reporting, see under Financial and Accounting: Reporting: Minor Financial.	<ul style="list-style-type: none"> • Background papers • Research drafts, data, comments etc • Low-level audit responses • Project reports • Daily, weekly, monthly summary or scorecard reports 	Destroy	7 years after date of last action	D6

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
2. AUDIT AND QUALITY MANAGEMENT						
	2.7.3	<p>Non-Financial (Significant) Consolidated and / or summarised corporate monitoring / compliance / quality assurance reports, returns etc for operational areas that have or will have a significant impact and / or influence on key / significant University functions AND are not covered under Issues Management (Significant) OR under Information Management Systems and Services: Control and Location Indices / Guides (Significant).</p> <p>NOTE: For financial reporting, see under Financial and Accounting: Reporting: Significant Financial.</p>	<ul style="list-style-type: none"> • Monitoring reports of significant projects, survey reports, business cases etc • Internal summary reports of incidents and events and their outcomes 	Archive	10 years after last date of action	A8

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
2. AUDIT AND QUALITY MANAGEMENT						
2.8 Resource Consents						
	2.8.1	Consents Consents applied for by the university and monitored under the Resource Management Act 1991, and other acts, international regulations etc that relate to environmental compliance.		Archive	Retain permanently	
2.9 Security and Vetting						
	2.9.1	Employee Vetting University records covering the vetting of employees with regard to security clearances, criminal convictions, and criminal history. NOTE: Does not include material that appears on the personnel file. See under Human Resources and Personnel: Personnel Files.	<ul style="list-style-type: none"> Forms filled out by employees (e.g. Privacy Application Form) Communications with agencies about vetting / security issues 	Destroy	7 years after date of last action or last date of employment, whichever is relevant	D1
	2.9.2	University Surveillance Tapes	<ul style="list-style-type: none"> Surveillance Camera Tapes 	Destroy	When administratively no longer required	D1
2.10 Standards and Regulations						
	2.10.1	Monitoring and Administration Records outlining the facilitation and administration of accreditation to voluntary compliance standards.	<ul style="list-style-type: none"> ISO standards reporting and monitoring 	Destroy	7 years after standard / regulation etc superseded / completed and no longer required for administrative purposes	D6

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
2. AUDIT AND QUALITY MANAGEMENT						
2.11 Superannuation and Medical Schemes						
	2.11.1	Internal Management Significant documents relating to the University's direct management of employee superannuation and medical schemes.	<ul style="list-style-type: none"> • All trust deeds and rules • Trustee minute books • Funds' annual accounts • Investment policy • Investment records • Actuarial valuation reports 	Archive	10 years after date of last action	A5
	2.11.2	External Management Superannuation and medical schemes managed by an external body		Destroy	7 years after date of last action	D6

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criteria
3. COLLECTIONS MANAGEMENT						
The management of collections of art, private records, museum specimens and other objects which are owned by the university, or on loan to the university.						
3.1 Access						
	3.1.1	Access and Use Records relating to access and use of the collection.	<ul style="list-style-type: none"> • Applications for access • Access conditions • Register of access 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D2
3.2 Acquisitions						
	3.2.1	Purchase or Acquisition Records relating to the purchase or other means of acquisition (not including loan or donation) of items for a collection.	<ul style="list-style-type: none"> • Correspondence • Negotiations • Final agreements on terms and conditions • Ownership deeds or certificates • Sale or auction records 	Archive	Retain permanently	
3.3 Collection Control						
	3.3.1	Cataloguing Records relating to the control records associated with registering and describing the objects within the collection.	<ul style="list-style-type: none"> • Catalogues • Inventories • Electronic control systems • Indexes • Registers 	Archive	Retain permanently	
3.4 Conservation and Preservation						
	3.4.1	Records relating to the preservation, protection, maintenance, restoration and enhancement of property, information resources and artifacts.	<ul style="list-style-type: none"> • Temperature and humidity control readings • Pest treatments 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criteria
3. COLLECTIONS MANAGEMENT						
	3.4.2	Conservation and preservation carried out directly on the objects.	<ul style="list-style-type: none"> • Notes on Repairs • Recordings of deacidification treatments etc. • Major deviations/incidents with failure of monitoring equipment. 	Destroy	Retain until the item is disposed of, then destroy	D1
3.5 Disposal						
	3.5.1	De-accessioning and Disposal Records relating to the de-accessioning and disposing of collections or items no longer required by the university by sale, transfer, conversion to another medium or format, auction, destruction or repatriation.	<ul style="list-style-type: none"> • Records relating to the sale, transfer, destruction or repatriation of a collection or items within a collection 	Archive	Retain permanently	
3.6 Exhibition Management						
	3.6.1	Planning and Implementation Records relating to the planning and implementation of an exhibition or display.	<ul style="list-style-type: none"> • Invitations to exhibit • Liaison with donors • Opening of displays • Reviews 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D2
	3.6.2	Catalogues	<ul style="list-style-type: none"> • Catalogues • Brochures 	Archive	Retain permanently	

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criteria
3. COLLECTIONS MANAGEMENT						
3.7 Loans						
	3.7.1	Loans - In The lending of items to the university for use in exhibitions/display.	• Loan arrangement, including legal contracts	Destroy	7 years after date of last action or until administratively no longer required, whichever is longer	D1
	3.7.2	Loans - Out The lending of items, which are owned by the university, to other institutions/organisations.	• Loan arrangement, including legal contracts	Destroy	7 years after date of last action or until administratively no longer required, whichever is longer	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
4. FINANCIAL AND ACCOUNTING RECORDS						
Financial and accounting processes and activities within the university, from group level to university-wide.						
4.1 Delegations						
	4.1.1	Financial delegations and authorities Written authority given to managers allowing financial expenditure and/or the incurring of debt.	<ul style="list-style-type: none"> • Authority Forms 	Destroy	7 years after date of last action	D1
4.2 Payroll						
	4.2.1	Administration Operational records relating to the administration of payments to employees. NOTE: Does not include payroll information in Personnel Files. See under Human Resources and Personnel: Personnel Files.	<ul style="list-style-type: none"> • Payroll input data • Payroll deduction authorities • Payroll contribution • Payroll printouts • Salary/wage cards • Salary ledger cards • Salary/wage calculations • Authorisations from employees • ACC employer and employee levies • Redundancy payments • Travel and accommodation reimbursements • Allowance payments • Employer superannuation subsidies • Information and Payroll Service (PIPS) • Pay advice sheets, • Direct credit schedules • Contract worker invoices • Automatic payments/deductions • Summary pay reports 	Destroy	7 years after date of last action	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
4. FINANCIAL AND ACCOUNTING RECORDS						
4.3 Planning and Reporting						
	4.3.1	Minor Financial Financial reports that are summarised elsewhere, or financial reports that are transactional and / or processing in nature.	<ul style="list-style-type: none"> • Information covered by major financial reports or by summarised strategic planning and funding, governance etc • Quarterly, monthly, weekly reports • Budget reports • Position summaries • Reconciliation reports • Monthly operation reports • Statistical packs • Budgeting process • Journal transaction reports, and other occasional and ad hoc financial reporting • Revenue, planning, monitoring and reporting 	Destroy	7 years after date of last action	D4
	4.3.2	Significant Financial Consolidated accountability reporting records.	<ul style="list-style-type: none"> • Consolidated annual financial statements • Annual financial performance reports against purchase agreements • Consolidated major capital expenditure budget and expenditure • Analysis and monitoring reports of major capital expenditure projects etc 	Archive	10 years after date of last action	A8
4.4 Revenue Planning, Monitoring and Reporting						
	4.4.1	Administration Routine taxation administration records.	<ul style="list-style-type: none"> • GST returns • Routine correspondence on taxation • Fringe benefit tax returns 	Destroy	7 years after date of last action	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
4. FINANCIAL AND ACCOUNTING RECORDS						
	4.4.2	Employee Taxation Personnel records relating to Tax and IRD.	<ul style="list-style-type: none"> • Employee taxation records • PAYE returns to IRD • Yearly reports showing totals for student loans repayments • Child support payments 	Destroy	7 years after date of last action	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
4. FINANCIAL AND ACCOUNTING RECORDS						
4.5 Transactions						
	4.5.1	Administration Covering routine and low level financial and accounting transactions and administration.	<ul style="list-style-type: none"> • Routine administration • Administrative reporting • Administration associated with service and funding • Records relating to minor capital expenditure • Projects and programmes • Financial information requests • General correspondence • Duplicates and copies of documents • Signing authority budget codes • Student fees 	Destroy	7 years after date of last action	D2
	4.5.2	Banking Records Routine banking administration records.	<ul style="list-style-type: none"> • Cheques • Bills of exchange and other negotiable instruments • Bank statements and reconciliations • Instructions to banks • Automatic payments/direct debit authorities • Deposit and supporting documents • Credit card records • Voucher receipts and reconciliations • Term investments 	Destroy	7 years after date of last action	D2
	4.5.3	General Ledger and Subsidiary Ledgers NOTE: Excludes consolidated major capital asset register – see under Property and Facilities Management: Compliance.	<ul style="list-style-type: none"> • General ledger • Cash book and equivalents • Creditors ledger • Debtors ledger • Contract ledger • Purchase ledger • Sales ledger • Asset register • Stock records 	Destroy	7 years after date of last action	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
4. FINANCIAL AND ACCOUNTING RECORDS						
	4.5.4	Receipts and Expenditure Routine and low level financial transactional records relating to receipts and expenditure.	<ul style="list-style-type: none"> • Invoices and vouchers • Direct purchase requisitions • Payment vouchers • Remittance advices • Time and cost recording • Receipt books • Expenditure authorisations • Petty cash • Imprest accounts • Expense forms • Credit notes • Processing of payments • Foreign currency and exchange investment • Routine write-offs • Statement of accounts • Input forms • Batch registers • Routine computer printouts • Log files 	Destroy	7 years after date of last action	D2
4.6 Trusts Legal entities established by the university through bequests or legal agreements						
	4.6.1	Trust Deeds		Archive	When company ceases to exist	A9
	4.6.2	Trusts Investments Documentation	<ul style="list-style-type: none"> • Statement of Investment Policy and Objectives 	Archive	When company ceases to exist	A9
			<ul style="list-style-type: none"> • Trust investments manager reports 	Archive	10 years after date of last action	A9
4.7 Loans						
	4.7.1	Loans Records relating to the raising of major loans and use of loan funds.	<ul style="list-style-type: none"> • Risk analysis • Record of loan negotiation decisions • Corporate summary records of loan use 	Archive	After conditions have been met and administratively no longer required for reference purposes	A5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
5. GOVERNANCE						
High-level corporate governance records, that is, information that relates to the top-level decision-making processes within the university, and how they are carried out.						
5.1 Institution or Company Records of those companies covered by the Public Records Act i.e. more than 50 per cent owned by the university						
	5.1.1	Certificate of Incorporation		Archive	When company ceases to exist	A5
	5.1.2	Certificate to Commence Business		Archive	When company ceases to exist	A5
	5.1.3	Constitution of the Institution or Company		Archive	When company ceases to exist	A5
	5.1.4	Trust Deeds		Archive	When company ceases to exist	A5
	5.1.5	Seal Book		Archive	When company ceases to exist	A5
	5.1.6	Register of Directors and Secretaries		Archive	When company ceases to exist	A5
	5.1.7	Register of Directors' Shareholdings and Share Dealings Part of the Interests Register.		Archive	When company ceases to exist	A5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
5. GOVERNANCE						
	5.1.8	Interests Register Including details of directors' remuneration, compensation for loss of office, loans to directors, guarantees, indemnities, interested transactions, and persons to whom company information has been disclosed.		Archive	When company ceases to exist	A5
	5.1.9	Board Minutes		Archive	When company ceases to exist	A1
	5.1.10	Board Committee Minutes		Archive	When company ceases to exist	A1
	5.1.11	Resolutions of Board and Board Committee		Archive	When company ceases to exist	A1
	5.1.12	Memoranda and Articles of Association		Archive	When company ceases to exist	A5
	5.1.13	Annual Report and Accounts (signed copy)		Archive	When company ceases to exist	A8
	5.1.14	Directors Certificates		Archive	When company ceases to exist	A5
	5.1.15	Regulation 17 Certificates authorising the distribution of advertisements for securities		Archive	When company ceases to exist	A5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
5. GOVERNANCE						
5.2 Committees and Working Parties						
Includes Heads of Departments and Faculty Meetings						
	5.2.1	Major Committees and working parties that reflect the university's core functions.	<ul style="list-style-type: none"> • Agendas • Minutes • Membership Lists • Reports and decisions 	Archive	10 years after date of last action	A1
	5.2.2	Minor Sub-committees, ad hoc committees and/or working parties, staff meetings etc	<ul style="list-style-type: none"> • Agendas • Minutes • Membership Lists • Reports and decisions 	Destroy	When no longer administratively required	D2
5.3 Corporate Identity / Brand						
Development and protection of name, coat of arms, crest, motto, logo or seal of the university						
	5.3.1	Development and Protection Records that cover the development of the University's identity, brand and image.	<ul style="list-style-type: none"> • Development and approval • Rationale for decisions made • Intellectual property • Trademarks 	Retain permanently	10 years after date of last action	A5
	5.3.2	Significant Corporate Objects Key University objects relating to corporate identification and recognition, authorisation, approval and guarantee of authenticity, creation of significant documents.	<ul style="list-style-type: none"> • Coat of arms cast • Logo prints blocks • Common seal of the University • Engraved plates 	Retain permanently	10 years after date of last action	A5
5.4 Council and Management						
Includes board of governors, academic boards, professorial boards of university, senior management, senate committees, for the University and Predecessor agencies						
	5.4.1	Administration Records that facilitate meetings.	<ul style="list-style-type: none"> • Reimbursement • Travel etc of members 	Destroy	7 years after date of last action	D6
	5.4.2	Correspondence (minor)	• Administrative / facilitative correspondence to / from members	Destroy	2 years after date of last action	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
5. GOVERNANCE						
	5.4.3	Correspondence (significant) NOTE: does not include correspondence attached to official record of meetings.	<ul style="list-style-type: none"> • Correspondence to / from Council and/or Committee about significant / far-reaching corporate / service issues 	Archive	10 years after date of last action	A3
	5.4.4	Council and Management Meetings Documentation that provides an official record of all meetings.	<ul style="list-style-type: none"> • Agendas • Signed minutes • Matters arising • Associated reports and other documentation 	Archive	10 years after date of last action	A1
	5.4.5	Reports (minor) Reports, reviews etc to Council/Committees about areas that have a short term impact / low influence on University strategies and plans, policies and procedures or services and have low compliance / business ramifications.	<ul style="list-style-type: none"> • Drafts • Final report 	Destroy	7 years after date of last action	D6
	5.4.6	Reports (significant) Reports, reviews etc to /from Council/Committee about areas of significant impact and / or influence on key University strategies and plans, policies and procedures and services, and / or have major compliance / business ramifications. eg reports from special inquiries. NOTE: Does not include reports attached to official record of meetings.	<ul style="list-style-type: none"> • Final report 	Archive	10 years after date of last action	A8

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
5. GOVERNANCE						
5.5 Elections and Appointments						
	5.5.1	Administration Records relating to the conduct of the election and appointments.	<ul style="list-style-type: none"> • Advertising • Balloting • Nominations • Notices • Papers • Results • Scrutineers • Tally sheets 	Destroy	3 months after declaration of election result or appointment	D1
	5.5.2	Electoral Rolls The rolls of individuals eligible to vote.		Destroy	3 months after declaration of election result	D1
5.6 Treaty Relationships						
	5.6.1	University compliance and dealings under the Treaty, and relationships with Maori (significant) Significant / high-level records that cover significant University compliance and dealings under the Treaty, and relationships with Maori.	<ul style="list-style-type: none"> • Maori input into University planning and policy (e.g. University Maori consultative / advisory group), • Liaison with iwi and other Maori groups/bodies, records of substantial meetings and discussions • Major service contracts with Maori • Maori development funding and initiative programmes 	Archive	10 years after date of last action	A2
5.7 Planning and Reporting						
	5.7.1	Consolidated high-level governance-related plans	<ul style="list-style-type: none"> • Annual and strategic plans • Investment Plan • Profile • Monitoring of performance against targets • Reports of performance measurement against output targets 	Archive	10 years after date of last action	A8

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
5. GOVERNANCE						
5.8 Policies and Procedures						
	5.8.1	Development and maintenance of policies and procedures	• Master set of policies and procedures	Archive	10 years after date of last action	A8
	5.8.2	Working Papers	• Records relating to the development and maintenance of policies and procedures	Destroy	2 years after date of last action	D5
5.9 Vice-Chancellors Correspondence						
	5.9.1	Correspondence created by and received from the Vice-Chancellor's Office where not otherwise covered by the requirements of the GDA		Destroy	7 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	<u>Minimum</u> Retention Period	Disposal Criterion
6. HISTORICAL RECORDS						
		Records created or received by the university that are dated prior to 1946		To be retained by the University for appraisal		(See Implementation Guide for appraisal criteria.)

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
Records relating to the recruitment, monitoring, training, support etc of university employees.						
7.1 Administration						
	7.1.1	Human Resources transactions, processes, procedures etc.	<ul style="list-style-type: none"> • Routine administration • Administrative reports • General correspondence • Employee departure administration (e.g. exit interviews) • Minor and routine employment relations matters • Information requests • Release of employee • Forms design and printing • External reference-only information (e.g. brochures, circulars) • Allocation of office space etc 	Destroy	2 years after date of last action or when administratively no longer required, whichever is longer	D1
7.2 Assistance to Employee Groups						
	7.2.1	By the University Employer assistance to employee groups, e.g. employee social club, employee sports teams etc.	<ul style="list-style-type: none"> • Records relating to university funding • Sponsorship or other assistance 	Destroy	7 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
7.3 Associations						
	7.3.1	<p>Employee membership (non-financial) Non-financial records relating to associations to which employees belong, as well as membership information and administration.</p> <p>NOTE: Does not include information placed in Personnel Files. See under Human Resources and Personnel: Personnel Files.</p>	<ul style="list-style-type: none"> • Information from organisations • Correspondence arranging membership 	Destroy	2 years after date of last action or when administratively no longer required	D2
7.4 Attendance (Employees)						
	7.4.1	<p>Attendance Records and Use of Time</p> <p>NOTE: Does not include information placed in Personnel Files. See under Human Resources and Personnel: Personnel Files.</p>	<ul style="list-style-type: none"> • Rosters • Timesheets • Attendance registers • Time use recording • Reports • Daily work records • Training/conference attendance returns • Low-level reports on employee use of time 	Destroy	7 years after date of last action	D2
7.5 Awards and Honours (Employees)						
	7.5.1	<p>Nominations Records covering university's nomination of employees for major honours, awards, etc.</p> <p>NOTE: This section should only be applied where such personnel files easily identifiable.</p>	<ul style="list-style-type: none"> • New Zealand's Honours awards 	Archive	10 years after date of last action	A14
▶ For Personnel records of award recipients see 7.15.3						

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
7.6 Employment Documentation						
	7.6.1	<p>Standard Standard records that relate to the employment, establishment of positions, organisational and staffing structures that are not covered by 7.13.1.</p> <p>NOTE: Does not include information placed in Personnel Files. See under Human Resources and Personnel: Personnel Files.</p>	<ul style="list-style-type: none"> • Position justification • Desk files • Position specifications • Individual contracts • Job evaluation/sizing of individual position • Organisational/establishment charts • Establishment files • Administration of accommodation and housing assistance 	Destroy	7 years after date of last action	D2
7.7 Grievances, Disputes and Dismissals						
	7.7.1	<p>By / of individual employees Employee grievances, disputes, discrimination complaints, disciplinary matters, misconduct cases and dismissals.</p> <p>NOTE: Major precedent cases will be on public record in the proceedings of bodies like the Employment Tribunal, Employment Relations Authority, Employment Court, etc. Does not include information placed on Personnel Files. See under Human Resources and Personnel: Personnel Files.</p>	<ul style="list-style-type: none"> • Records documenting individual cases 	Destroy	7 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
7.8 Health, Safety and Welfare (Employees)						
	7.8.1	Administration Administration of OSH (Occupational Safety and Health).	<ul style="list-style-type: none"> • Employee welfare and support services such as safety administration • Accident compensation claims / returns • Vaccination and health monitoring • Workplace support services (employee counselling) • Employee assistance programmes (EAP) 	Destroy	7 years after date of last action	D2
	7.8.2	Individual Employee OSH Files Records outlining occupational health and safety issues in a separate employee file that contains information summarised or reported elsewhere.	<ul style="list-style-type: none"> • Incident, accident, near miss reports • Employee health information • Employee health monitoring 	Destroy	10 years after last date of employment	D1
	7.8.3	Staff Exposed to Asbestos Records of staff who worked in facilities maintenance, construction, engineering workshops, or with asbestos	<ul style="list-style-type: none"> • Individual personnel files 	Destroy	40 years after date of last employment	D1
▶ HRMS (see Information Systems and Services)						
7.9 Indices/Finding Aids						
	7.9.1	Employees Employee indices and/or finding aids.	<ul style="list-style-type: none"> • Employee index cards • Employee registers 	Archive	10 years after date of last action	A12

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
7.10 Industrial Relations						
	7.10.1	Administration Records relating to the administration surrounding union discussions, negotiations, disputes etc.	<ul style="list-style-type: none"> Facilitative correspondence 	Destroy	2 years after date of last action or when administratively no longer required, whichever is longer	D2
	7.10.2	Collective agreements (or equivalent) with unions Documentation relating to collective agreements, awards and contracts. NOTE: Does not include information placed on Personnel File. See under Human Resources and Personnel: Personnel Files. If information is not placed on a personnel file but is used to verify matters relating to individual employees, apply a retention period of 10 years from last date of employment	<ul style="list-style-type: none"> Correspondence Minutes Agreements 	Destroy	2 years after all conditions have been met and administratively no longer required	D1
	7.10.3	Negotiations, discussions, disputes with unions (significant) Records covering major negotiations, discussions and disputes with unions, e.g. pay and condition negotiations, strike action, stop works, lockouts, etc.	<ul style="list-style-type: none"> Minutes of meetings Significant correspondence 	Archive	10 years after date of last action	A5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
7.11 Leave						
	7.11.1	<p>Employees Documentation of the various types of leave requested and taken by employees.</p> <p>NOTE: Does not include information placed on Personnel Files. See under Human Resources and Personnel: Personnel Files.</p>	<ul style="list-style-type: none"> • Leave cards • Leave balances • Leave applications • Leave approvals/confirmations • Leave reports 	Destroy	7 years after date of last action	D2
7.12 Networks (Employees)						
	7.12.1	<p>Significant input Significant employee input to the formation of university decisions and policies, through employee networks and other similar empowering initiatives.</p>	<ul style="list-style-type: none"> • Meeting minutes • Submissions and input into university policy development 	Archive	10 years after date of last action	A3
7.13 Organisational and Staffing Structures						
	7.13.1	<p>Consolidated records Consolidated summarised corporate level records that give the University organisational and staffing structures.</p>	<ul style="list-style-type: none"> • Consolidated organisational charts • Annual consolidated summaries of employee establishment numbers and structure 	Archive	10 years after date of last action	A15

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
7.14 Performance Management and Employee Assessments						
	7.14.1	<p>Employee Performance Planning and evaluation of employee performance not placed on personnel files.</p> <p>NOTE: For records placed on personnel files, see under Human Resources and Personnel: Personnel Files.</p>	<ul style="list-style-type: none"> • Employee performance plans • Performance appraisal forms • Employee performance agreements • Assessment interviews • Performance review reports • Judgments/decisions after performance reviews • Administration of performance management system 	Destroy	7 years after date of last action	D1
7.15 Personnel Files						
	7.15.1	<p>Personnel files of the Vice-Chancellor and all those who report directly to the Vice-Chancellor who form part of the tier two senior management structure; the Executive Director of the NZVCC; CEOs or equivalent of entities covered by this GDA</p>		Archive	10 years after last date of employment	A10
	7.15.2	<p>Employees who Received Significant Honours, Achieved High Distinction, etc. Personnel files of employees who received significant national / academic / literary / sporting awards or honours, and / or achieved high distinction or fame.</p>	<ul style="list-style-type: none"> • Order of New Zealand • Order of Merit • Honorary doctorates • Academic medals • Literary prizes 	Archive	10 years after last date of employment	A11
17.15.3 ▶ For nominations of University employers see 7.5.1						

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
	7.15.4	<p>Misconduct Personnel files of employees dismissed for serious misconduct or major criminal offences.</p> <p>NOTE: Before implementing this Section, read the requirements under Human Resources and Personnel: Summaries of Employee Histories. Records may need to be retained longer for administrative reasons, e.g., rights and entitlements to long service leave, superannuation etc</p>		Destroy	7 years after last date of employment	D2
	7.15.5	<p>Employees killed or seriously injured while on duty Records of employees who in the course of their duties are killed or receive injuries that result in permanent disability or serious injury.</p>		Archive	10 years after date of last action	A13
	7.15.6	<p>Other Personnel Staff Personnel files of all other staff not covered by section 7.15.1-7.15.5</p> <p>NOTE: Before implementing this Section, read the requirements of Section 7.15.7</p>	<ul style="list-style-type: none"> • Staff personnel files 	Destroy	7 years after date of last employment. (<i>Records may need to be retained longer for administrative reasons e.g. rights and entitlements to long service leave, superannuation etc</i>)	D4

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
	7.15.7	<p>Summaries of Employee Histories Summaries of personnel history from information systems documenting employee details. As a minimum requirement universities are to produce a readily accessible record that contains the following employee information:</p> <ul style="list-style-type: none"> • Name • Employment Location • Date of birth • Positions held & salary • Dates of employment • Gender <p>If readily able to be produced, then the following information should also be contained in the employee summary information records:</p> <ul style="list-style-type: none"> • Marital Status • Occupational Grading level • Educational Qualifications • Superannuation Service Summary 	<p>The records that are likely to contain the summary employee information for retention include:</p> <ul style="list-style-type: none"> • Personal file cover sheets (remove from personal files) • Employee summary sheets • Staff/salary cards • Service Schedules • Service records cards • Information within electronic databases • Other summary records <p>For most universities this information in more recent years will be in electronic form</p> <p>Note: If the university is unable to easily produce the personnel history summaries containing the above information, then it should contact Archives New Zealand before implementing this section.</p>	Archive	10 years after date of last action	A12

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
7.16 Recruitment and Selection						
	7.16.1	<p>Administration Day to day administrative and facilitative records relating to recruitment and selection.</p> <p>NOTE: Does not include employee screening. See under Audit and Quality Management: Security and Vetting. Also does not include information placed in Personnel Files. See under Human Resources and Personnel: Personnel Files.</p>	<ul style="list-style-type: none"> • Advertising of positions • Contracts with consultants • Applicant curriculum vitae and application forms • Selection interviews and notes • Testing of applicants • Reference checks • Employee appointments • Vacancies / appointments bulletins • Vacancy files • Work experience • Appeals • Administration / facilitation of recruitment programmes, and low-level management documentation relating to these programmes 	Destroy	Until administratively no longer required	D2
	7.16.2	<p>EEO Recruitment Initiatives and Programmes Significant / key summary documentation relating to the management of major EEO (Equal Employment Opportunities) recruitment initiatives and programmes sponsored by the University.</p>	<ul style="list-style-type: none"> • High-level / key information relating to Maori and Pacific Island recruitment • Monitoring of programme effectiveness • Targeted recruitment by gender 	Archive	10 years after date of last action	A8
	7.16.3	<p>International Recruitment Programmes Significant / key summary documentation relating to the management of international recruitment programmes sponsored by the university.</p>	<ul style="list-style-type: none"> • Summary reports on recruitment programme establishment / success etc 	Archive	10 years after date of last action	A8

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
7.17 Rental Payments and Agreements						
	7.17.1	Employee accommodation rental payments	<ul style="list-style-type: none"> Rental payments Accommodation agreements etc 	Destroy	7 years after date of last action	D2
7.18 Routine Returns						
	7.18.1	Routine Human Resources returns to external organisations.	<ul style="list-style-type: none"> Statistical Returns Reporting 	Destroy	Until administratively no longer required	D1
7.19 Salary Rates and Ranges						
	7.19.1	Occupational groups and positions Salary/wage rates and ranges scales for employee occupational groups and positions that are not included within a collective agreement.	<ul style="list-style-type: none"> Rates charts that show salary ranges for positions within occupation groups Salary progression summaries 	Destroy	7 years after date of last action	D1
7.20 Social Functions						
	7.20.1	Management and administration (non-financial) University records relating to the management and administration of official/formal and employee social functions.	<ul style="list-style-type: none"> Venue administration Bookings Guest lists Invitations Catering 	Destroy	Until administratively no longer required	D2
7.21 Social/Sports Clubs						
	7.21.1	Employees Records relating to employee social activities and social/sports club records.	<ul style="list-style-type: none"> Minutes of social and sports clubs Account records 	Destroy	7 years after date of last action	D2
► Strategic Planning (see Governance, Planning and Reporting)						

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
7.22 Superannuation and Medical Schemes						
	7.22.1	Administration Facilitation of material sent by external bodies.	<ul style="list-style-type: none"> • Duplicates of documents held by external body • Information-only records 	Destroy	7 years after date of last action	D2
7.23 Surveys of employees						
	7.23.1	Attitudes and concerns Summary reports of surveys of employees' attitudes and concerns.	<ul style="list-style-type: none"> • Summary reports of survey results 	Archive	10 years after date of last action	A13
7.24 Training and Career Development (Employees)						
	7.24.1	Administration Operational administration of training and career development for employees that do not need to be kept for accounting purposes. NOTE: Does not include information placed on Personnel Files. See under Human Resources and Personnel: Personnel File.	<ul style="list-style-type: none"> • Training needs analysis • Competency models and competency standards • Course syllabi and curricula • Training and development including pedagogy • Staff rotation plans/schedules • Career management planning • Routine planning • Course nominations • Course attendance • Timetabling • Promotional information/brochures • Course evaluations • Promotion information 	Destroy	2 years after date of last action or when administratively no longer required, whichever is longer	D2
7.25 Travel (Employee)						
	7.25.1	Administration (Financial) Records relating to the management of travel by university employees that need to be kept for accounting purposes.	<ul style="list-style-type: none"> • Travel insurance • Final travel plans • Payment of travel club memberships (e.g. Koru Club) 	Destroy	7 years after date of last action	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
7. HUMAN RESOURCES AND PERSONNEL						
	7.25.2	Administration (Non-Financial) Administrative records that facilitate travel for university employees that do not need to be kept for accounting purposes. (That is, they contain non-financial information, or else a copy is already kept for Finance and Accounting purposes).	<ul style="list-style-type: none"> • Travel applications • Initial and facilitative correspondence and requests for information with / from travel agents, hotels, travel clubs etc 	Destroy	2 years after last action or until administratively no longer required	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
Creation, monitoring, maintenance, administration etc of information technology, information systems (including records, library management), information control systems and mail and distribution Management						
8.1 Administration						
	8.1.1	Day-to-day routine / business as usual management of records and information systems.	<ul style="list-style-type: none"> • Access and security administration of linkage / updates to national information systems • Administration of transcription services from written to electronic information • Day to day management of electronic document storage • Mail, courier and distribution • Database management • Administration of scanning, micrographic and imaging programmes • Administration of duplication, reproduction and copying services • Allocation of equipment and services such as shelving, computers, etc • User training manuals • Work requests • Test scripts • Fixes • Website logins • Action reports • Unsuccessful proposals and correspondence with unsuccessful vendors • Equipment requests and testing • Domain name registration • Records surrounding delivery of records to /from off-site storage etc 	Destroy	2 years or when no longer administratively required	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
8.2 Control and Location Indices/Guides						
	8.2.1	For significant systems and holdings	<ul style="list-style-type: none"> • Risk Registers • Indexes to Board minutes and meetings 	Archive	10 years after system is defunct	A12
	8.2.2	For non-significant systems and holdings Finding aids (manual and electronic) that establish physical, administrative and intellectual control over non-significant corporate records (paper-based and electronic) and other non-significant informational holdings.	<ul style="list-style-type: none"> • Card indices/catalogues • Correspondence registers • Letter books • Registers to plans and maps • Descriptive inventories • Electronic indices • Metadata (data about data) 	Destroy	7 years after date of last action	D1
8.3 Information System Structures						
	8.3.1	For routine, administrative, low-level systems Records that show the design and structure of low level and routine information systems (both paper-based and electronic) That is records that provide the basis for structuring, establishing relationships or restructuring an information system (e.g. to recreate the system if a major computer crash occurred).	<ul style="list-style-type: none"> • Classification systems • Compliance systems • File structure lists • Data dictionary, (e.g. entity relationship and data flow diagrams) • Data structure (e.g. files, trees, tables) • Schema (e.g. file classification schemes) • In-house systems development and customisation (e.g. information software development) • Agency data model • Information architecture • Thesaurus 	Destroy	7 years after date of last action or until no longer administratively required	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criteriion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
	8.3.2	<p>For vital and significant systems Records that show the design and structure of vital and significant information systems (both paper-based and electronic) the destruction of which would compromise significant risk, reporting and compliance requirements. This includes records that provide the basis for structuring, establishing relationships or restructuring an information system (e.g. to recreate the system if a major computer crash occurred).</p> <p>NOTE: Does NOT apply to records that are managed WITHIN information systems. When a system becomes defunct, all electronic records must be migrated to another system or remain accessible in the defunct system for the retention period that is appropriate for the type of records within the system.</p>	<ul style="list-style-type: none"> • Classification systems • Compliance systems • File structure lists • Data dictionary, (e.g. entity relationship and data flow diagrams) • Data structure (e.g. files, trees, tables) • Schema (e.g. file classification schemes) • In-house systems development and customisation (e.g. information software development) • Agency data model • Information architecture • Thesaurus 	Destroy	10 years after system is defunct or until no longer administratively required	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
8.4 Installation, testing, and ongoing maintenance						
	8.4.1	<p>Installation of systems Installation, testing and ongoing maintenance of information management systems such as HR, payroll, records management, finance management, accounting, customer management, document management etc.</p> <p>NOTE: Does NOT apply to records that are managed WITHIN information systems. When a system becomes defunct, all electronic records must be migrated to another system or remain accessible in the defunct system for the retention period that is appropriate for the type of records within the system.</p>	<ul style="list-style-type: none"> • Installation (e.g. modems, cabling, etc.) • Upgrade and modification documentation • Database management • Administration of micrographic and imaging programmes • Duplication, reproduction and copying services • Allocation of equipment and services (e.g. shelving, computers, etc.) • Network operations and monitoring • Software licences • Successful IT proposals • Correspondence with vendors • User training manuals 	Destroy	Retain for active life of system	D1
8.5 Internet / Intranet						
	8.5.1	<p>Administration Records relating to the ongoing administration / facilitation / management of University internet and intranet sites.</p>	<ul style="list-style-type: none"> • Day-to-day web content updates • Management and development meetings 	Destroy	Until no longer administratively required	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
	8.5.2	<p>Minor Development and Design Low level / routine records detailing the development and design of university sites as well as minor site updates.</p> <p>NOTE: This section does not cover actual online websites and web pages. See Archives New Zealand's "Guide to Developing Recordkeeping Strategies for Websites".</p>	<ul style="list-style-type: none"> • Administrative • Correspondence 	Destroy	Until no longer administratively required	D1
	8.5.3	<p>Significant Development and Design Summarised / significant records detailing the development and design of university sites, as well as significant site updates.</p> <p>NOTE: This section does not cover actual online websites and web pages. See Archives New Zealand's "Guide to Developing Recordkeeping Strategies for Websites".</p>		Archive	10 years after date of last action	A15

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
8.6 Library and Information Services						
	8.6.1	Management and operation Records relating to the operation of library and information services to internal and external customers.	<ul style="list-style-type: none"> • Publication ordering and purchasing • Collection development and maintenance • Enquiries • Indices and catalogues • Interloan services • Public Catalogues • Reference services • Deaccessioning of externally sourced holdings (e.g. selling, giving away) • Academic liaison and teaching 	Destroy	Until no longer administratively required	D2
8.7 Mail and Distribution Services						
	8.7.1	Administration Records that administer / facilitate the administration of mail and courier, delivery services.	<ul style="list-style-type: none"> • Postal/courier arrangements • Pick-up and delivery schedules • Document distribution 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D2
	8.7.2	Operation Records detailing the day-to-day operation and management of mail and distribution services.	<ul style="list-style-type: none"> • Registration of inward/outward correspondence • Records documenting movement of freight, dangerous goods, and household and personal effects 	Destroy	7 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criteriion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
8.8 Records Disposal Decisions						
	8.8.1	<p>Records of disposal decisions prior to application of this General Disposal Authority</p> <p>Records detailing ultimate disposal decisions for university records (both paper-based and electronic), not carried out under Archives New Zealand approved schedules.</p> <p>NOTE: Some records covered by this Section may also fall under Information Management Systems and Services: Control and Location Indices/Guides. For example, registers and indices giving disposal details.</p>	<ul style="list-style-type: none"> • Registers • Transit cards that contain disposal decisions • In-house disposal decisions and schedules • Annotated and electronic lists of records destroyed. 	Archive	10 years after date of last action	A4

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criteriion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
	8.8.2	<p>Records of disposal decisions under this General Disposal Authority Records detailing ultimate disposal decisions for University records (both paper-based and electronic), i.e. the retention and destruction of records under approved University GDAs signed off by the Chief Archivist.</p> <p>NOTE: Some records covered by this section may also fall under Information Management Systems and Services: Control and Location Indices, Guides. For example, registers and indices giving disposal details. Core documentation relating to disposal decisions on University's records will be held by Archives New Zealand.</p>	<ul style="list-style-type: none"> • Registers • Transit cards that contain disposal decisions • Disposal schedules • Appraisal reports • Annotated and electronic lists 	Archive	Retain permanently	A4

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
8.9 Software						
	8.9.1	<p>Development / Establishment Information surrounding the development of software in-house, as well as modifications to externally sourced software.</p> <p>NOTE: If removal / destruction of software results in the loss of data / metadata, the original version (and data) must be kept until the data is legally allowed to be destroyed under the recommendations in this schedule.</p>	<ul style="list-style-type: none"> • Programmes, applications • Configuration files • Set up routines • Installers • Patches • Executables etc. 	Destroy	Once software is defunct and / or new version installed and is no longer required for reference purposes	D1
	8.9.2	<p>Software updates / installation Records that provide evidence of software updates and their installation / rollout for systems developed in-house or for off-the shelf systems.</p> <p>NOTE: If updates result in the eradication of data / metadata, the original version (and data) must be kept until the data is legally allowed to be destroyed under the recommendations of this schedule.</p>		Destroy	After update is defunct and / or new version installed and is no longer required for reference purposes	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
8. INFORMATION MANAGEMENT SYSTEMS AND SERVICES						
8.10 System Development / Establishment						
	8.10.1	Administration Administrative records that describe the facilitation of in-house system development.	<ul style="list-style-type: none"> • Emails arranging meetings • Correspondence discussing RFP responses • Employee feedback etc • Project Management 	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D2
	8.10.2	In-House and "Off the Shelf" Systems Records providing evidence of the in-house development / commission of development / installation / rollout of any information system.	<ul style="list-style-type: none"> • RFPs • Project information • Technical specifications • Development data • Installation planning • Upgrade and modification documentation • Handover documentation • Sign offs to do with internal systems, intranet, website, system upgrades • Solutions architecture and integrated design etc • Functional specifications • Use cases 	Destroy	After system is defunct and all other records relating to the system have been destroyed according to the recommendations of this schedule	D1
8.11 User Guides and Training Manuals						
	8.11.1	External and "Off the Shelf" systems NOTE: If user guides refer to university-developed software for which deletion will result in the eradication of data / metadata, the guide along with the original version (and data) must be kept until the data is legally allowed to be destroyed under the recommendations of this schedule.	<ul style="list-style-type: none"> • User guides and/or training manuals for externally-developed software, hardware, programmes, systems etc 	Destroy	After applicable software / hardware is defunct and no longer required for reference purposes. i.e. for the life of the system plus any archived documents / programmes	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
9. LEGAL						
Legal activities and processes by / for the university such as legal monitoring of issues and incidences that have impact on university business and maintenance of legal agreements, contract management etc.						
9.1 Administration						
	9.1.1	Records outlining the administration and facilitation of legal processes and functions such as contract and agreement, review and management, legal negotiations, legal action, lease agreements etc. NOTE: Does not cover the administration of Human Resources Contracts relating to Employees. See under Human Resources	<ul style="list-style-type: none"> • Contract templates • Administration and routine correspondence 	Destroy	7 years after date of last action	D1
9.2 Contract Management						
	9.2.1	Background Information Information on contractors, suppliers, products etc which help to obtain final contractual decisions.	<ul style="list-style-type: none"> • Supplier presentations • Supplier advertising and product information • Product updates 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
9. LEGAL						
	9.2.2	<p>Negotiation, Development and Facilitation of Contracts (Minor) Records outlining the facilitation, development etc of low-level / routine contracts and agreements that are low value and face minimal compliance / risk management issues such as low-level negotiations and partnership proposals.</p> <p>NOTE: Does not cover the administration of Human Resources Contracts relating to Employees. See under Human Resource. Also does not cover Relationship Management Contracts and Agreements. See under Governance</p>	<ul style="list-style-type: none"> • Development of IT maintenance agreements • Minor / routine outsourcing contract documentation • Routine ACC service contracts • Summary documentation of provider contracts • Internal and external insurance policies and portfolios etc 	Destroy	7 years after all conditions have been met and administratively no longer required for reference or legal purposes	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
9. LEGAL						
	9.2.3	<p>Negotiation, Development and Facilitation of Contracts (Significant) Records outlining the negotiation and facilitation of high level corporate / governance contracts and agreements, contracts that use a significant amount of funding and/or have high levels of associated compliance / risk management. Records also include the development of the final contract or agreement.</p>	<ul style="list-style-type: none"> • Negotiation documents • Contract 	Archive	When all conditions have been met and administratively no longer required for reference purposes	A5
9.3 Legal Action, Litigation, Claims and Disputes Involving the University						
	9.3.1	<p>University Legal Records Significant records relating to legal action directly involving the university (e.g. court cases, dispute and mediation hearings, etc.), that are not held in the court or some other judicial body's records.</p> <p>(See also under Human Resources and Personnel: Employee Grievances, Disputes and Dismissals)</p>	<ul style="list-style-type: none"> • Legal advice • Background summaries • Negotiation before formal action • Briefings and instructions to lawyers • Out-of-court settlements • University-annotated copies of court records 	Archive	10 years after date of last action	A5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
9. LEGAL						
	9.3.2	Implications of minor court and judicial decisions Records covering the implications of minor court and judicial decisions for the university that have low level / short term compliance / risk management issues.	<ul style="list-style-type: none"> • Reports • Briefs • Reviews or similar research 	Destroy	10 years after date of last action and administratively no longer required for reference purposes	D1
	9.3.3	Implications of significant court and judicial decisions Records covering comments, reports, briefs, etc., on the implications of significant court and judicial decisions that affect key / vital university functions, policies, processes etc and / or that have major ongoing compliance / risk management issues.	<ul style="list-style-type: none"> • Reports • Briefs • Reviews or similar research 	Archive	10 years after all conditions have been met and administratively no longer required for reference purposes	A8
9.4 Legal Opinions and Advice						
	9.4.1	Minor Records that review and comment on minor / routine university internal processes or decision making that does not escalate to management or legal action and set no significant precedent.	<ul style="list-style-type: none"> • Commentary on university reports to external agencies such as the Privacy Commissioner etc. • Reviews of project finance or procurement • Reviews of research findings 	Destroy	7 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
9. LEGAL						
	9.4.2	Significant	<ul style="list-style-type: none"> • Legal opinions and advice on significant legal issues and events that are escalated to top management or to legal action • Precedent-setting legal opinions relating to university policies and/or practices within the university 	Archive	10 years after date of last action	A8
9.5 Legislation						
	9.5.1	Submissions (Minor) Routine and low - level University submissions on legislation that does not contain any significant / major input.	<ul style="list-style-type: none"> • Submissions that do not recommend legislative changes or amendments 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1
	9.5.2	Submissions (Significant) Significant university submissions and input regarding legislation that impacts on the university's functions, activities and / or jurisdictions.	<ul style="list-style-type: none"> • Written submission by university on particular legislation • Management briefing notes / papers for university employee attendance at Cabinet and Select Committees 	Archive	10 years after date of last action	A6

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
9. LEGAL						
9.6 Property Access and Concession Rights						
	9.6.1	<p>Fixed-Term Agreements granted by or to the university that give fixed-term property access and concession rights (e.g. right of way, easements, concessions, land encroachments, irrigation agreements, etc.).</p> <p>NOTE: This section does not cover leases. See under Legal: Lease Agreements.</p>	<ul style="list-style-type: none"> • Copies of agreements, and associated documents (e.g. plans, diagrams) 	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D1
	9.6.2	<p>In Perpetuity Agreements granted by or to the university that give property access and concession rights in perpetuity.</p>	<ul style="list-style-type: none"> • Rights of way • Easements • Concessions • Land encroachments • Irrigation agreements • Master copy of agreement and associated documents 	Destroy	2 years after last action (eg sale or disposal of property) or until administratively no longer required, whichever is longer	D1
9.7 Deeds of Title and Ownership						
	9.7.1	Deeds of Title and Ownership	<ul style="list-style-type: none"> • Certificates and other documents of title 	Archive	10 years after date of last action or administratively no longer required for reference purposes	A5
9.8 Lease Agreements						
	9.8.1	Lease agreements such as leasing agreements and contracts on significant capital items, lease and rental agreements on tenanted university properties.	<ul style="list-style-type: none"> • Signed lease and rental agreements and revisions • Lease agreements on buildings, land, major plant etc 	Destroy	20 years after termination of lease	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
9. LEGAL						
9.9 Legal Agreements						
	9.9.1	Minor Minor legal agreements and licenses signed or monitored by the university, such as service contracts and leases. Also routine contracts and specifications for supply, purchase, services, rentals.	<ul style="list-style-type: none"> • Internal service level agreements • Minor IT maintenance contracts and agreements • Stationery and supply purchase agreements • Maintenance agreements such as minor IT contracts • Telephone and equipment rentals • Cleaning contracts etc 	Destroy	7 years after date of last action	D1
	9.9.2	Significant Final major contracts agreements and related specifications signed by the university that incur significant expenditure of operational and/or capital funding, and / or relate to statutory or core functions and place major liability / obligations on the university in terms of compliance or risk management.	<ul style="list-style-type: none"> • Original purchase contract for major capital assets • Successful partnership agreements with significant business partners or service agreements with service providers that involve significant resourcing 	Archive	15 years after date of last action and when all conditions have been met and administratively no longer required for reference purposes	A5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
10. MANAGEMENT OF ACADEMIC PROGRAMMES						
The management of courses of study. Note: This excludes teaching notes.						
10.1 Assessment						
	10.1.1	Appeals records of appeals relating to grades.		Destroy	2 years from date of last action	D1
	10.1.2	Examination Management Records relating to the management of examinations and other assessments		Destroy	7 years from date of last action	D1
	10.1.3	Grading/Marking Grading marking of individual assessment components of a subject or course.	• Examiner's reports	Destroy	7 years from date of last action	D1
	10.1.4	Recounts Recounting of marks for examination.		Destroy	7 years from date of last action	D1
10.2 Curriculum Development and Approval Institutional approval process, from Committee on University Academic Programmes/school/department/discipline to governing body and/or external accreditation						
	10.2.1	Working Papers NOTE: This does not include committee records or the master set of approved curricula.	• Correspondence • Notes	Destroy	2 years from date of last action	D1
	10.2.2	Approval Process Records of the approval process.	• Agendas • Minutes	Archive	10 years from date of last action	A15
	10.2.3	Approved Curricula NOTE: Copies of curricula which are not approved can be disposed of under Working Papers above.	• Master set	Archive	10 years from date of last action	A15

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
10. MANAGEMENT OF ACADEMIC PROGRAMMES						
10.3 Curriculum Review						
	10.3.1	<p>Minor Reviews Records relating to minor reviews of the curricula, including working papers.</p> <p>NOTE: This does not include the master set of approved curricula.</p>	<ul style="list-style-type: none"> • Committee records • Reference/advisory/industry groups correspondence • Notes • Course alteration proposals 	Destroy	2 years from date of last action	D3
	10.3.2	<p>Major Reviews Records relating to major reviews of the curricula, including working papers.</p> <p>NOTE: This does not include the master set of approved curricula.</p>	<ul style="list-style-type: none"> • Committee records • Reference/advisory/industry groups correspondence • Notes • Course alteration proposals 	Destroy	10 years from date of last action	D3

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
10. MANAGEMENT OF ACADEMIC PROGRAMMES						
10.4 Equity Programmes and Services						
	10.4.1	Records relating to equity programmes (including Maori and Pacific)	<ul style="list-style-type: none"> • Client records • Session reports • Study plans • Evaluation material 	Destroy	10 years from date of last action	D3
10.5 Quality Management						
	10.5.1	Monitoring and Evaluation Records relating to the assessment of data/feedback on course delivery.	<ul style="list-style-type: none"> • Survey/data collection forms • Findings of surveys • Reporting, recommendations and action taken 	Destroy	10 years from date of last action	D3
	10.5.2	Academic Quality Records relating to self-evaluations, teaching and learning plans, graduate profiles, student retention and completion statistics		Destroy	10 years from date of last action	D3
10.6 Special Consideration Requests						
	10.6.1	Requests from students that special consideration be given due to circumstances which affected their performance in an examination or other assessment activity.	<ul style="list-style-type: none"> • Correspondence 	Destroy	7 years from date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
11. PROPERTY AND FACILITIES MANAGEMENT						
Records related to the planning, design, construction, maintenance and management of the university's built environment and associated operational services.						
11.1 Compliance						
	11.1.1	Minor Records that document the recording of minor capital assets for legal and compliance requirements.	<ul style="list-style-type: none"> Fixed Asset Register 	Destroy	7 years after date of last action	D1
	11.1.2	Significant Records that document consolidated major capital assets for legal and compliance requirements.	<ul style="list-style-type: none"> Consolidated Major Capital Assets register listing buildings Major plant and equipment etc 	Archive	10 years after date of last action	A5
	11.1.3	Administration Records that facilitate the building compliance process.	<ul style="list-style-type: none"> Code of compliance facilitation Defect notices Background to building codes and building warrants of fitness etc 	Destroy	7 years after date of last action	D1
	11.1.4	Compliance and Approval Certificates Approval and compliance certificates for university-owned buildings and major construction works and engineering.	Code of Compliance Certificate of Public Use	Archive	10 years after superseded	A5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
11. PROPERTY AND FACILITIES MANAGEMENT						
11.2 Construction, Works and Engineering						
	11.2.1	<p>Projects (Minor) Minor / routine records relating to minor construction, works and engineering projects, e.g. standard everyday construction type work of a minor nature or alterations (e.g. fit-outs, landscaping, gardening, fencing, maintenance), routine maintenance and upkeep (e.g. office refurbishment, redecorating), construction of a standard- type design, but not a first time construction.</p> <p>NOTE: For legal agreements see under Legal: Legal Agreements (Minor).</p>	<ul style="list-style-type: none"> • Drawings / plans, records of methods and designs used • Project progress and inspection summary reports • Approval certificates 	Destroy	7 years after date of last action	D3

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
11. PROPERTY AND FACILITIES MANAGEMENT						
	11.2.2	<p>Projects (Significant) University properties involving large capital expenditure, that are purpose-designed and built, that result in University ownership of a significant capital asset, or involve construction of a first-type standard design. (This also includes minor types such as teaching spaces, learning spaces, offices). Also building / structures that received architectural / design awards, properties and sites of national significance, project records containing information of historic / social / architectural significance (e.g. historical / heritage building restoration / conservation, major maintenance of historical / heritage sites and monuments).</p> <p>NOTE: For legal agreements see under Legal: Legal Agreements: Minor</p>	<ul style="list-style-type: none"> • Records of methods and designs used • Summary project progress and inspection reports by architects and contractors, environmental reports 	Archive	10 years after date of last action	A8

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
11. PROPERTY AND FACILITIES MANAGEMENT						
11.3 Hazardous Substances						
	11.3.1	<p>Management Records documenting the presence, installation, use, neutralisation and / or disposal of hazardous substances (e.g. asbestos, toxic waste on property, premises, facilities and land owned or rented / leased by the university.</p> <p>NOTE: For Radioactive material see Research Management/Radiation and Radioactive Materials 13.6</p>	<ul style="list-style-type: none"> • Locations • Nature of the hazardous substances • Risk evaluations, preventive and safety measures • Disposal / neutralisation measures • Asbestos register 	Archive	10 years after date of last action	A13
11.4 Flora/Fauna Management						
	11.4.1	<p>Management Records relating to the handling, relocation or disposal of protected flora and fauna under the control of the university.</p>	<ul style="list-style-type: none"> • Animal species registers • Animal surveys • Plant species register • Plant surveys 	Destroy	2 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
11. PROPERTY AND FACILITIES MANAGEMENT						
11.5 Routine Management						
	11.5.1	Property, Assets, Buildings (Major)	<ul style="list-style-type: none"> • Provision of building services (e.g. cleaning, heating, refrigeration, power, gardening, lifts, pumping, lighting, pest control, furnishings, air-conditioning) • Telecommunications (e.g. systems installation and maintenance systems, telephone extension allocation) • Occupational safety and health (e.g. hazard identification) • Rent /rates and valuations • Directional signage • Accommodation moves • Building warrant of fitness • Fire protection (e.g. fire safety certificates, alarm testing) • Building certification 	Destroy	7 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
11. PROPERTY AND FACILITIES MANAGEMENT						
	11.5.2	Property, Assets, Buildings (Minor)	<ul style="list-style-type: none"> • Building registration, naming, numbering • Accommodation moves (eg. planning and organisation, new building layouts) • Provision of accommodation (e.g . layout planning, space allocation) • Directional signage • Booking rooms & venues (e.g. internal room booking, notifications, setups and forms) • Notification of plant, electrical or reticulation shutdowns 	Destroy	2 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
11. PROPERTY AND FACILITIES MANAGEMENT						
11.6 Security						
	11.6.1	Buildings and Facilities (Minor) Low level / minor routine management and administration of security (both physical and electronic) of buildings and facilities.	<ul style="list-style-type: none"> • Issuing of security passes/access cards/keys • Key registers • Guard rosters, • Security check rosters and reports • Monitoring access • Standard state sector security measures, monitoring of visitors (e.g. visitors' log, contractors' log) 	Destroy	2 years after date of last action or when administratively no longer required, whichever is longer	D1
	11.6.2	Buildings and Facilities (Significant) Management and administration of security (both physical and electronic) of buildings and facilities where records require longer term retention for compliance reasons.	<ul style="list-style-type: none"> • Installation of security equipment • Minor security breaches/infringements 	Destroy	7 years after date of last action	D1
11.7 Site Plans and Building Details						
	11.7.1	University-owned property Original or master copies of site plans and building details of University-owned property.	<ul style="list-style-type: none"> • Final building specifications • Final drawings (e.g. site elevations) • Plan/map registers and indexes • Final construction designs / plans and specifications (e.g. as built plans / specifications) 	Archive	10 years after date of last action	A5
	11.7.2	Non-University property Records of site plans and building details of property not owned by the university.	<ul style="list-style-type: none"> • Rented, leased) such as building specifications • Plans (e.g. floor plans) and Drawings (e.g. site elevations) 	Destroy	7 years after end of lease	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
11. PROPERTY AND FACILITIES MANAGEMENT						
11.8 Stores, supplies, fixtures, fittings and plant / equipment						
	11.8.1	Installation, maintenance, storage Records documenting the installation, maintenance, storage, of stores, supplies and equipment. Also records relating to maintenance and repairs of fixture and fittings, e.g. office furniture, furnishings, floor coverings, etc.	<ul style="list-style-type: none"> • Freight consignments and delivery dockets • Equipment maintenance • Equipment/plant history records • Stock records and inventories • Fixture and fittings registers/lists • Financial authority forms 	Destroy	7 years after date of last action	D2
11.9 Sustainability Management						
	11.9.1	Management and Quality Records documenting the management and reporting of sustainability and carbon neutrality in relation to the university's facilities	<ul style="list-style-type: none"> • Reports on indoor environment quality, energy, transport, water, materials, emissions 	Destroy	10 years after date of last action	D1
11.10 Tea Room, Cafeteria and Food Service Facilities						
	11.10.1	Administration and Maintenance Records that cover administration and property maintenance of employee and patient lunch areas, cafeteria, tea/coffee making, kitchens, catering, etc.	<ul style="list-style-type: none"> • Catering arrangements and services • Equipment (tables, ovens etc) • Administration (e.g. menus, prices, operating hours) 	Destroy	2 years after date of last action or when administratively no longer required, whichever is longer	D2
11.11 Tenanted University Properties						
	11.11.1	Management Records covering the leasing and rental of property owned and/or administered by the university.	<ul style="list-style-type: none"> • Correspondence with tenants • Lists of tenants 	Destroy	7 years after date of last action.	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
11. PROPERTY AND FACILITIES MANAGEMENT						
11.12 Traffic Management						
	11.12.1	Administration Records of a routine nature relating to parking and other traffic matters.	<ul style="list-style-type: none"> • Applications for parking permits • Fines 	Destroy	2 years after date of last action or when administratively no longer required, whichever is longer	D2
	11.12.2	Management Records relating to management and planning of parking and traffic control.	<ul style="list-style-type: none"> • Plans 	Destroy	2 years after date of last action or when administratively no longer required, whichever is longer	D1
11.13 Vehicles						
	11.13.1	Maintenance Records relating to the maintenance, service, operation of university vehicles.	<ul style="list-style-type: none"> • Damage reports • Fleet / vehicle maintenance • Fleetcard records • Vehicle running sheets etc 	Destroy	7 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
University's communication with external agencies in official or promotional ways						
12.1 Administration						
	12.1.1	Financial Administrative records relating to the management of Public Relations and Communications etc that need to be kept for accounting purposes.	<ul style="list-style-type: none"> Accounting information relating to publications Production, marketing and distribution Print processing, speaker payments Foreign exchange, payments of subscriptions etc 	Destroy	7 years after date of last action	D1
	12.1.2	Non-Financial Administrative records relating to the management of Public Relations and Communications that do not need to be kept for accounting purposes. (That is, they contain non-financial information, or else a copy is already kept for Finance and Accounting purposes).	<ul style="list-style-type: none"> Minor correspondence Address and invitation lists Requests for publications Production, marketing and distribution of publications and advertisements Reference and information-only records Print processing Routine requests (e.g. asking for speaker, requests to use university material held under copyright) General enquiries from public Subscription lists Administration of VIP visits such as foreign exchange Thank you notes Travel itineraries, transportation, etc 	Destroy	6 months after date of last action or until administratively no longer required	D2
12.2 Alumni						
	12.2.1	Administration Personal data of individual alumni.	<ul style="list-style-type: none"> List of alumni contacts, for example database holdings Mail-out arrangements 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D2
	12.2.2	Communications Records relating to communication between alumni and the University. NOTE: For Publication of Alumni Magazine see Public Relations and Affairs: External Communications.	<ul style="list-style-type: none"> Enquiries Correspondence Surveys 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
	12.2.3	Events Records relating to the planning and implementation of university events for alumni.	<ul style="list-style-type: none"> • Venues • Catering • Invitations 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D2
12.3 Campaigns						
	12.3.1	Administration Records that cover University administrative and facilitative support when it comes to the development and organisation of nation-wide or local campaigns.	<ul style="list-style-type: none"> • Production, marketing and distribution of publications and advertisements • Posters and brochures • Advertising schedules • Marketing plans • Briefs 	Destroy	7 years after date of last action	D2
	12.3.2	Minor Records that outline university management of nation-wide campaigns, or development and organisation of campaigns which are administrative / low-level etc in nature.		Destroy	7 years after date of last action	D3

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
	12.3.3	Significant Summary records outlining the development and management of promotional campaigns that relate to significant university issues or functions, or an important unique university aspect of a nation-wide campaign.	<ul style="list-style-type: none"> • Design plans • Reports 	Archive	10 years after date of last action	A8
12.4 Complaints						
	12.4.1	Minor Minor complaints by students, employees, contractors etc against the university that do not have any direct impact on university policies or decisions and are not officially registered as an incident or placed on an employee's personnel file. NOTE: Does not include Privacy Act complaints. See under Public Affairs and Communications: Privacy Act Requests and Complaints 12.17	<ul style="list-style-type: none"> • General complaints in the form of correspondence etc on policies and quality/standard of service • Complaints on personal matters (e.g. traffic offences, tax matters, etc). 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
12.5 Donations, Gifts and Bequests						
	12.5.1	<p>Presented or Received by University (Minor) Records relating to the receipt of minor / token gifts and donations by the university, i.e. token gifts that have little monetary or other value.</p> <p>NOTE: This section does not cover the actual gifts or objects, unless they are public records under the Public Records Act 2005, e.g. artworks produced or acquired in the course of the university's business.</p>	<ul style="list-style-type: none"> • Details of gift selection • Purchase and presentation by the university • University receipt of gifts and donation received 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D2
	12.5.2	<p>Presented or Received by Universities (Significant) Records relating to the receipt of major gifts and donations by the University, i.e. gifts or donations that have substantial value, national importance, long-term benefit, etc.</p> <p>NOTE: This section does not cover the actual gifts or objects, unless they are public records under the Public Records Act 2005, e.g. artworks produced or acquired in the course of the University's business.</p> <p>SEE ALSO Financial and Accounting</p>	<ul style="list-style-type: none"> • Details of gift selection or donation • Purchase and presentation by University • University receipt of gifts or donations received 	Archive	10 years after date of last action	A9

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
12.6 Enquiries						
	12.6.1	Routine Information Requests From Public	<ul style="list-style-type: none"> • Phone logs • Written requests 	Destroy	6 months after date of last action or until administratively no longer required	D2
12.7 External Communications						
	12.7.1	<p>Produced by University (Minor) Records of the information communicated externally to clients, stakeholders, interested parties and / or the general public that is routine or minor in nature.</p> <p>NOTE: Does not include published material. See under Public Affairs and Communications: External Communications: Produced by University (Significant)</p>	<ul style="list-style-type: none"> • Routine speeches and addresses regarding minor issues • Minor articles written by university employees • Copies of photographs • Minor campaigns • Low-level non-published promotional / informational material etc. 	Destroy	6 months after date of last action or until administratively no longer required	D1
	12.7.2	<p>Produced by University (Significant) Records of the significant promotional / informational information communicated externally to clients, stakeholders, interested parties and / or the general public.</p> <p>NOTE: Website related documentation which is covered under Information Management Systems and Services, and agency publications that have been lodged with the Legal Deposit Office may be destroyed when no longer administratively required.</p>	<ul style="list-style-type: none"> • Agency news releases, major university speeches and addresses • Significant articles written university employees and/or contractors, publications issued/sponsored by agency (e.g. newsletters, circulars, pamphlets, brochures) • News briefings • Significant films, videos, DVDs etc produced by the university as well as scripts of films • Videos or DVDs produced or commissioned by the university • Key / significant publicity campaigns • Education resource kits • Posters • Brochures, etc. 	Archive one copy of published / printed material and where a duplicate has been extensively annotated by university employees	10 years after date of last action	A8

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
	12.7.3	Received by University Public relations and information records received/sourced externally by the university.	<ul style="list-style-type: none"> • News clippings • External publications • External advertisements and brochures • External invitations to functions 	Destroy	6 months after date of last action or until administratively no longer required	D2
12.8 Fundraising						
	12.8.1	Fundraising Campaigns Records relating to the activities associated with raising revenue (additional to that provided by the main funding bodies) to support and develop various university activities.	<ul style="list-style-type: none"> • Design, conduct and summary results of fundraising campaigns 	Destroy	7 years after date of last action	D3

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
12.9 Government Relations						
	12.9.1	Minor Records relating to the management of the overall relationship with government departments and agencies.	<ul style="list-style-type: none"> • Requests for information from government agencies 	Destroy	Retain until no longer required for administrative or reference purposes	D2
	12.9.2	Major Records relating to the management of the overall relationship with government departments and agencies.	<ul style="list-style-type: none"> • Responses to consultations carried out by government agencies 	Archive	10 years after date of last action	A3
12.10 Liaison with External Parties						
	12.10.1	Exchange Agreements Memoranda of understanding and other agreements to establish relationships with entities external to the University	<ul style="list-style-type: none"> • Exchange Agreements with other school/faculties both within New Zealand and overseas • Contractual agreements with third parties 	Destroy	10 years after date of last action	D1
	12.10.2	Stakeholder Relations (Significant) Records that outline significant relationship issues, discussions etc with key stakeholders.	<ul style="list-style-type: none"> • Reports on findings • Submissions and representation to local and regional bodies and central government 	Archive	10 years after date of last action	A3
	12.10.3	Events Management Use of university grounds or facilities for external events (e.g. conferences, hiring of facilities)	<ul style="list-style-type: none"> • Correspondence • Agreements 	Destroy	7 years after date of last action	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
12.11 Market Research						
	12.11.1	Significant Reports created for use in publications and documents for the university and media.	<ul style="list-style-type: none"> • Reports • Raw data • Surveys • Gathered market research from outside agencies 	Destroy	7 years after date of last action	D1
12.12 Media						
	12.12.1	Monitoring Records that monitor media information published or aired about significant topics to do with the University as well as records that summarise or document key responses to media articles, questions, reports etc.	<ul style="list-style-type: none"> • Press clippings • Media releases 	Destroy	Until administratively no longer required	D1
	12.12.2	Relationships Records that outline unpublished university discussions/ relations with media.	<ul style="list-style-type: none"> • Correspondence asking for information 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
12.13 Messages of Condolence, Appreciation, Greeting, Congratulation, etc.						
	12.13.1	Either produced or received by the University	<ul style="list-style-type: none"> Letters of condolence Thanks and appreciation, greeting cards (e.g. Christmas cards) 	Destroy	Until administratively no longer required	D2
12.14 Official Information Act						
	12.14.1	<p>Requests Records dealing with information requests under the Official Information Act 1982, including OIA related enquiries from Ombudsmen.</p> <p>NOTE: All Ombudsmen investigation case files under the Official Information Act are scheduled and transferred to Archives New Zealand by the Office of the Ombudsmen</p>	<ul style="list-style-type: none"> Correspondence Reports Investigations 	Destroy	7 years after date of last action and when no longer required for administrative / legal purposes	D1
12.15 Photographic Records						
	12.15.1	Registers and Indexes	<ul style="list-style-type: none"> Registers Indexes Job books of photographic images 	Archive	10 years after date of last action	A12
	12.15.2	Staff and students	<ul style="list-style-type: none"> Portraits Overseas visitors Sports groups Social events 	Archive	10 years after date of last action	A15
	12.15.3	<p>Celebrations, Public Events, Publicity Material Events of significance to the university and its development and interaction with the broader community for example opening centres, events of academic significance etc.</p>		Archive	10 years after date of last action	A15
	12.15.4	<p>Image Libraries Publicity material etc about which there is an agreement with staff and/or students regarding how long the images can be used</p>		Destroy	Once period for use has expired	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	<u>Minimum</u> Retention Period	<u>Disposal Criterion</u>
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
	12.15.5	Photographs/negatives whose condition has expired Physical condition has deteriorated to such an extent that negatives or photographs cannot be reasonably salvaged and are therefore inaccessible		Destroy	Once period for use has expired	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
12.16 Professional Associations						
	12.16.1	National and International Professional Associations Interaction and co-ordination with professional associations	<ul style="list-style-type: none"> • Correspondence • Agendas and Minutes • Events • Administration 	Destroy	7 years after date of last action	D2
12.17 Privacy Act Requests and Complaints						
	12.17.1	Requests and complaints that set precedent Records relating to requests to the university under the Privacy Act 1993 which result in complaints to the Privacy Commissioner that set precedent	<ul style="list-style-type: none"> • Information requests • University reply to requests • Communication with Privacy Commissioner • University investigation into complaints 	Archive	10 years after date of last action	A7
	12.17.2	Requests and complaints that set no precedent Records relating to requests to the university under the Privacy Act 1993 which result in complaints to the Privacy Commissioner that set no precedent.	<ul style="list-style-type: none"> • Information requests • University reply to requests • Communication with Privacy Commissioner • University investigations into complaints 	Destroy	7 years after date of last action	D1
12.18 Public Lecture Series						
	12.18.1	Administration Records relating to activities associated with presenting lectures, professorial lectures, seminars or presentations which are outside of the teaching curriculum/short courses and may be attended by the members of the community.	<ul style="list-style-type: none"> • Programmes • Invitations to speak • Venue bookings and catering • Advertising 	Destroy	Retain until no longer required for administrative or reference purposes	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
12. PUBLIC AFFAIRS AND COMMUNICATIONS						
12.19 Publications						
	12.19.1	In-House Publications produced or commissioned by the university for internal use.	<ul style="list-style-type: none"> • Published and printed material • CEO newsletter • Internal presentation programme 	Archive one copy of published / printed material not lodged with Legal Deposit Office	Retain permanently	
12.20 Sponsorship						
	12.20.1	Minor Minor sponsorship and routine sponsorship administration.	<ul style="list-style-type: none"> • Rejection letters • Application proposals • Routine administration • Low-level administrative correspondence 	Destroy	7 years after date of last action	D2
	12.20.2	Significant Records covering significant national or major new sponsorships that are precedent setting, contentious or controversial, granted and/or received by the university.	<ul style="list-style-type: none"> • Proposals • Decision-making records • Accountability reports 	Archive	10 years after date of last action	A8
12.21 Visits from Overseas Parties						
	12.21.1	Significant Major records covering significant University involvement with overseas visits by New Zealand dignitaries (e.g. Prime Minister, Ministers of the Crown, etc.), OR overseas VIP visitors to New Zealand (e.g. royalty, heads of state, senior officials, Nobel Prize winners etc).	<ul style="list-style-type: none"> • Briefing notes • Visitation programme • Record of official discussions and meetings • Visit reports • Visitors' books etc 	Archive	10 years after date of last action	A3

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
13. RESEARCH MANAGEMENT						
Activities associated with managing and administering research						
13.1 Administration and Management						
	13.1.1	Records relating to the administration of approved research projects.	<ul style="list-style-type: none"> • Applications • Approvals • Project resource allocations • Allocation of ISBN numbers for publications • Correspondence with other research groups, research partners and stakeholders • Project progress reports • Financial reports 	Destroy	7 years after date of last action	D3
	13.1.2	Unsuccessful Applications		Destroy	2 years after last date of action	D1
▶ Contracts (see Legal 9.2)						
13.2 Ethics and Safety						
	13.2.1	Assessment and Approval The assessment of the appropriateness of research on ethical grounds in relation to such areas as human and animal ethics, bio-safety and radiation safety. Includes records of Ethics Committee.	<ul style="list-style-type: none"> • Applications • Assessments • Approvals • Consent notices • Complaints and resulting investigations 	Destroy	20 years after the date of last action	D1
13.3 Facility Management						
	13.3.1	Animal Research Administration NOTE: For Ethics approval see 13.2.1.	<ul style="list-style-type: none"> • Licence applications • Breeding management documentation • Requests for animals • Veterinary treatment/prescription records 	Destroy	7 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
13. RESEARCH MANAGEMENT						
	13.3.2	Anatomy and Specimen Management NOTE: Does not cover specimens and samples - awaiting outcome of Human Tissues Bill.	<ul style="list-style-type: none"> • Specimen registers • Acquisition documentation • Storage and management records • Licences to practise anatomy • Disposal records 	Destroy	7 years after date of last action	D1
	13.3.3	Body Bequests Administration and management of bequests of bodies for research purposes	<ul style="list-style-type: none"> • Original enquiries • Bequest forms • Bequest register 	Archive	10 years after date of last action	A5
	13.3.4	Laboratory/Field Station Administration NOTE: Excludes records to be retained for OSH requirements	<ul style="list-style-type: none"> • Rosters • Instructions for use of facilities • Consumables requests • Cleaning records • Maintenance rosters/requests 	Destroy	2 years after date of last action	D1
13.4 Performance Based Research Fund						
	13.4.1	Administration and Management of Performance Based Research Fund	<ul style="list-style-type: none"> • Correspondence with TEC • Evidence portfolios • Peer esteem items • Digital record of the research output 	Destroy	7 years after date of last action	D1
13.5 Product Management						
	13.5.1	Management of Intellectual Property Records relating to the registration of patents, copyright and ownership of intellectual property where owned in part or completely by the university.		Archive	10 years after date of last action	A5

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
13. RESEARCH MANAGEMENT						
	13.5.2	Use of Intellectual Property Records relating to use of intellectual property of the university.	<ul style="list-style-type: none"> • Contracts • Licensing • Agreements • Other formal arrangements 	Destroy	7 years after the conditions of the contract or agreement have been met	D1
13.6 Radiation and Radioactive Materials						
	13.6.1	Records of Radioactive Materials	<ul style="list-style-type: none"> • Receipts • Inventories 	Destroy	10 years after date of last action	D1
	13.6.2	Records of Transfer of Material to Another Licensee		Destroy	10 years after date of last action	D1
	13.6.3	Use of X-ray Analytical Equipment	<ul style="list-style-type: none"> • Registers • Procedures • Maintenance and repair work • Written local rules for the safe operation of equipment • Incident and accident investigation records • Written emergency procedures 	Destroy	5 years after date of last action	D1
	13.6.4	Radiation Safety Plan		Destroy	10 years after date of last action	D1
	13.6.5	Radiation Dose Records		Destroy	10 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
14. STUDENT ADMINISTRATION						
Administration and management of students						
Student Records						
Due to the wide variety of practices relating to what documents are placed on a student file it is not possible to cover these in one disposal class. To sentence student files it will be necessary to check what records are placed on the file, match those to the relevant disposal classes then apply the longest retention period to the whole file.						
14.1 Admissions						
14.1.1		Criteria Development and establishment of admission criteria.	<ul style="list-style-type: none"> • Policy statements 	Archive	Retain permanently	A8
14.1.2		Applications - successful Applications/offers of admission which are successful and accepted to any course of study offered by the university (including: undergraduate and postgraduate courses; short courses) This activity also relates to special applications such as those from mature-age students.	<ul style="list-style-type: none"> • Application forms and supporting documents • Offers of places • Supporting documents • Interviews • Selection tests • Vetting • Acceptances etc 	Destroy	7 years after completion or discontinuation of course or programme of study by student	D1
14.1.3		Applications - unsuccessful Applications/offers of admission which were unsuccessful or not accepted for any course of study offered by the university (including: undergraduate and postgraduate courses; short courses) This activity also relates to special admission.	<ul style="list-style-type: none"> • Application forms and supporting documents • Offers of places • Supporting documents • Interviews • Selection tests • Correspondence 	Destroy	1 year after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
14. STUDENT ADMINISTRATION						
14.2 Disciplinary Matters						
		The activities associated with the disciplinary processes involving individual students. This includes both academic (e.g. plagiarism, cheating etc) and non-academic misconduct (e.g. damage to property, violence etc) and covers: investigations, charges, formal inquiries, disciplinary action and appeals.				D1
14.2.1	Disciplinary Hearing Where Allegations Investigated and Found to be Supported (Serious)	Disciplinary hearings where a student is found to have committed a breach and a serious disciplinary action is taken. This includes records concerning investigations, charges, inquiries and punishments and matters that have been referred to external bodies for investigation (e.g. Police).	<ul style="list-style-type: none"> • Advice of allegation and response • Reports • Investigations • Signed statements • Inquiry records • Representations • Referrals to external bodies • Records of remedial and/or disciplinary action (including exclusion) • Submissions in relation to disciplinary action 	Archive	10 years after date of last action or until no longer administratively required, whichever is longer	A15
14.2.2	Disciplinary Hearing Where Allegations Investigated and Found to be Supported (Minor)	Disciplinary hearings where a student is found to have committed a breach but minor or no disciplinary action is taken (e.g. caution or reprimand).	<ul style="list-style-type: none"> • Advice of allegation and response • Reports • Investigations • Signed statements • Inquiry records • Representations • Referrals to external bodies • Records of remedial and/or disciplinary action (including exclusion) • Submissions in relation to disciplinary action 	Destroy	7 years after date of last action or until no longer administratively required, whichever is longer	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
14. STUDENT ADMINISTRATION						
	14.2.3	Not Proceeded/No Offence Records related to preliminary/fact-finding investigations of misconduct that were not proceeded with and disciplinary matters where a student is found not to have committed a breach (i.e. the allegations have been found to be false, vexatious or misconceived or could not be proved. This includes unsubstantiated allegations.	<ul style="list-style-type: none"> • Advice of allegation and response • Reports • Investigations • Signed statements 	Destroy	7 years after date of last action or until no longer administratively required, whichever is longer	D1
	14.2.4	Administration Records relating to the management and administrative processes associated with disciplinary hearings.	<ul style="list-style-type: none"> • Minutes • Agendas • Membership lists • Meeting arrangements 	Destroy	7 years after date of last action or until no longer administratively required, whichever is longer	D2
14.3 Enrolment						
	14.3.1	Administrative Arrangements Records relating to the administrative arrangements for enrolments. This includes preparations for and the management of the enrolment process.	<ul style="list-style-type: none"> • Mail-outs 	Destroy	2 years after enrolment period concerned or until administratively no longer required, whichever is longer	D2
	14.3.2	Enrolling and Registering The enrolment of students into courses or programmes of study.	<ul style="list-style-type: none"> • Enrolment forms • Declarations signed by students (for example in which they agree to abide by University Acts, Regulations, by-laws, rules, policies etc.) • Registration Forms • Course Approval Forms 	Destroy	6 years after completion or discontinuation of course or programme of study by student, then destroy	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
14. STUDENT ADMINISTRATION						
	14.3.3	Student Identification The provision of student identification usually in the form of student ID cards, including university library cards.	<ul style="list-style-type: none"> • Records relating to the provision of student identification. • Supporting documentation received as part of process of student identification 	Destroy	Until no longer required for reference or administrative purposes	D1
14.4 Fees						
	14.4.1	Schedules of fees set		Destroy	7 years after date of last action or until administratively no longer required, whichever is longer	D1
▶ Records relating to payment of fees (see Financial and Accounting Records 4.5.1)						

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
14. STUDENT ADMINISTRATION						
14.5 Graduation						
	14.5.1	Approval to Graduate Records relating to the determination and notification to students of their eligibility to graduate.	<ul style="list-style-type: none"> • Application to graduate • Offers to graduate • Lists of students eligible to graduate 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1
	14.5.2	Register of Graduates Master record of university graduates (including those who graduate in absentia).	<ul style="list-style-type: none"> • Register 	Archive	10 years after date of last action	A16
	14.5.3	Graduation Ceremony Records relating to the organisation of the graduation ceremony.	<ul style="list-style-type: none"> • Administrative arrangements (e.g. speakers, venue catering) • Production of award certificates • Transcripts of guest speeches 	Destroy	1 year after date of last action or until administratively no longer required, whichever is longer	D2
	14.5.4	Graduation Programme	<ul style="list-style-type: none"> • Graduation Programme 	Retain master copy	10 years after date of last action	A16
	14.5.5	Graduation Protocols Records relating to academic dress protocols.	<ul style="list-style-type: none"> • Policies 	Archive	10 years after date of last action	A15
	14.5.6	Honorary Degrees	<ul style="list-style-type: none"> • Records relating to nomination and recommendation for the award of an honorary degree 	Archive	10 years after date of last action	A15
14.6 Employment Services						
	14.6.1	Records relating to linking students with employees for industrial/practical work experience	<ul style="list-style-type: none"> • Records of enquiry • Liaison with prospective employers • Record of work 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
14. STUDENT ADMINISTRATION						
14.7 Scholarships/Awards/Bursaries/Fellowships						
Includes both internal and external scholarships, bursaries, prizes or fellowships:						
<ul style="list-style-type: none"> • Scholarships: Benefits, usually in the form of money, which are tenable by students for specified periods of time under certain conditions, e.g. proceeding to the next year in a course. They are generally gained on the basis of performance at examinations. • Awards: Rewards for results in annual examinations, essay, compositions and other forms of assessment. • Fellowships: Benefits, usually in the form of money, travel or accommodation costs, tenable for specific periods and usually offered by, or in conjunction with another university or other institution. • Bursaries: Financial support available to students, usually on the home campus, who meet specified criteria. 						
14.7.1		Applications and Nominations Records relating to successful applications and nominations to receive scholarships, awards, bursaries or fellowships.	<ul style="list-style-type: none"> • Records of decisions • Successful applications • Notifications • Supporting documentation 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1
14.7.2		Master list	<ul style="list-style-type: none"> • Register of recipients of scholarships, awards, bursaries and fellowships 	Archive	10 years after date of last action	A15
14.7.3		Establishment Records relating to the establishment and conditions of scholarships, awards, bursaries and fellowships.	<ul style="list-style-type: none"> • Correspondence • Terms and conditions 	Archive	10 years after date of last action	A15
14.7.4		Management Records relating to the management of scholarships, awards, bursaries and fellowships.	<ul style="list-style-type: none"> • Funds management • Correspondence 	Destroy	7 years after date of last action or until administratively no longer required, whichever is longer	D1
14.7.5		Unsuccessful Scholarship Applications Records relating to unsuccessful applications and nominations to receive scholarships, awards, bursaries or fellowships.	<ul style="list-style-type: none"> • Unsuccessful applications or nominations • Notifications • Supporting documentation 	Destroy	3 months after date of last action or until administratively no longer required, whichever is longer	D1
14.8 Student Exchange Programmes						

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
14. STUDENT ADMINISTRATION						
	14.8.1	Applications Records relating to applications received for placement as an exchange student.	<ul style="list-style-type: none"> • Applications forms • Correspondence • Notification of acceptance/refusal 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1
	14.8.2	Agreements Records relating to arrangements, contracts or agreements with other Universities for student exchange programmes.	<ul style="list-style-type: none"> • Contracts • Agreements 	Destroy	7 years after date of last action or until administratively no longer required, whichever is longer	D1
14.9 Student Recruitment						
	14.9.1	Marketing Marketing of services and courses offered by the university in order to encourage prospective students and researchers to apply. These can include: <ul style="list-style-type: none"> • Open days • Careers markets • Promotional material 	<ul style="list-style-type: none"> • Draft advertising • Recruitment activity files • Display files • Roadshow documentation 	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1
14.10 Student Record Maintenance						
	14.10.1	Maintenance of Student Record Additions/amendments to the student record between the period of admission and graduation	<ul style="list-style-type: none"> • Applications for credit • Applications for concessions • Applications for reassignment • Late deletions • Correspondence • Unsatisfactory progress records • Exclusions • Signed student advice 	Destroy	7 years after date of last action	D1
14.11 Student Visas						

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	<u>Minimum Retention Period</u>	<u>Disposal Criterion</u>
14. STUDENT ADMINISTRATION						
	14.11.1	Visa Applications for International Students	<ul style="list-style-type: none"> • Applications and supporting documentation • Audits • Visa 	Destroy	7 years from date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
14. STUDENT ADMINISTRATION						
	14.11.2	Pastoral Care Monitoring of international students	<ul style="list-style-type: none"> • Interview records • Reports • Compliance with Code of Practice for the Pastoral Care of International Students 	Destroy	7 years from date of last action	D1
14.12 Timetabling						
	14.12.1	Records relating to the compilation of timetables including constraints, available rooms, courses and equipment needed by courses	<ul style="list-style-type: none"> • Booking forms • Published timetables 	Destroy	Until administratively no longer required	D1
14.13 Transcripts/Final Reports						
	14.13.1	Student Academic Transcript/final results		Archive	Retain permanently	A16
	14.13.2	Requests Records relating to requests for transcripts, verification or graduation status.		Destroy	Until administratively no longer required	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
15. STUDENT SERVICES						
Provision of services to students either by the university or an entity that has an agreement or contract with the university.						
15.1 Accommodation						
<i>Provision of accommodation whether through residential colleges or residential placements where the accommodation service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has the right to control the records.</i>						
	15.1.1	Administration Operation and maintenance records relating to student accommodation.	<ul style="list-style-type: none"> • Meal requests • Dietary requirements • Catering orders • Rosters • Timetables • Instructions for use of facilities • Laundry and cleaning forms • Surveys and feedback forms • Applications for student residence 	Destroy	1 year after date of last action	D2
	15.1.2	Management Management of student residents within student accommodation.	<ul style="list-style-type: none"> • Residence files • Correspondence • Complaints • Requests for additional services 	Destroy	7 years after date of last action	D1
15.2 Child Care Services						
<i>The provision of child care services or centres where the service is provided directly by the University or where, for other reasons (such as contractual agreements), the university has a right to control the records.</i>						
	15.2.1	Administration Operation and maintenance of child care facilities.	<ul style="list-style-type: none"> • Fees assessment • Meals requests • Dietary requirements • Menu planning • Catering orders • Laundry and cleaning documentation • Surveys/feedback forms • Stationery orders 	Destroy	2 years from date of last action	D2

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	<u>Minimum</u> Retention Period	<u>Disposal</u> Criterion
15. STUDENT SERVICES						
	15.2.2	Application and Selection The registration of children for a place at the child care facility and the selection of successful applicants.	<ul style="list-style-type: none"> • Application forms • Selection documentation 	Destroy	2 years from date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
15. STUDENT SERVICES						
	15.2.3	Client Management Personal record of each child.	<ul style="list-style-type: none"> • Attendance records • Parental authorisations • Contact details • Medical reports • Special requirements (e.g. health and dietary) • Injury reports 	Destroy	7 years from date of last action	D1
	15.2.4	Learning and Development	<ul style="list-style-type: none"> • Learning and developmental plans for individual children 	Destroy	2 years from the date the child ceases to attend the service	D1
15.3 Financial Support						
	15.3.1	Student Financial Support	<ul style="list-style-type: none"> • Personal case notes • Award applications • Award decisions • Budgeting advice 	Destroy	7 years from date of last action	D1
15.4 Health Services						
<i>Provision of health services where the service is provided directly by the university or where, for other reasons (such as contractual agreements), the University has a right of control of the records. Health Services can include medical services, dental services, speech etc.</i>						
	15.4.1	Appointment Registers Management of patient bookings	<ul style="list-style-type: none"> • Appointment books • Appointment registers 	Destroy	2 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
15. STUDENT SERVICES						
	15.4.2	<p>Patient files</p> <p>NOTE: Includes Counselling Services</p>	<ul style="list-style-type: none"> • Components of the Patient File include but are not limited to: • In-patient/out-patient/consumer/client • Key health information summary • Consents • Referrals) - received and sent • Correspondence • Assessments) • Investigations and results • Diagnoses • Treatment/care/management plans including records of: <ul style="list-style-type: none"> • Treatment/care provided • Evaluation of treatment/care provided • Medication orders and administration documentation • Information that is provided to the consumer • Consumer/patient consent to treatment/care • Advance directives • Other procedures and therapies • Progress/review • Medication • Discharge letters D20summary • Follow up 	Destroy or Discharge	10 years beginning on the day after the date shown in the health information as the most recent date on which a provider provided services to that individual.	D1
	15.4.3	<p>Prescription/Drug Management</p> <p>Management of the prescription and administration of medicines.</p>	<ul style="list-style-type: none"> • Drug registers • Prescription file copies 	Destroy	10 years after date of last action	D1
15.5 Orientation						

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
15. STUDENT SERVICES						
	15.5.1	Records relating to the planning and management of student orientation (such as orientation week activities and programmes).	<ul style="list-style-type: none"> • Venue bookings • Display arrangements • Information session rosters 	Destroy	2 years after date of last action	D1
15.6 Recreational Services						
	15.6.1	Management of Services Provision of recreational services and management of facilities	<ul style="list-style-type: none"> • Bookings • Timetables • Client files 	Destroy	2 years after date of last action	D1
15.7 Support Services						
	15.7.1	Management of Services Provision of services such as career advisory services, student learning support centres, religious services, Maori services, Pacific Island Services and disability support	<ul style="list-style-type: none"> • Application forms • Client files 	Destroy	7 years after date of last action	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criteria
16. UNIVERSITY MARAE						
The administration and management of university marae						
16.1 University Marae						
	16.1.1	<ul style="list-style-type: none"> • Record of koha • Record of events • Teaching resources • Contracts with iwi • Oral histories • Committee minutes 		To be appraised		

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
17. UNIVERSITY PRESS						
The commissioning, editing and publication of books by the University Press						
17.1 Book files						
	17.1.1	Book files Files on every book published by the University Press	<ul style="list-style-type: none"> • Correspondence with the author • Reports • Licensing agreements with other book publishers 	Archive	10 years after date of last action	A15
	17.1.2	Catalogues Catalogues of books published by the University Press		Archive	10 years after date of last action	A15
	17.1.3	Manuscripts of books, drafts and proof copies		Destroy	Until administratively no longer required	D1

Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum Retention Period	Disposal Criterion
18. SPECIALIST SERVICES TO EXTERNAL CLIENTS						
18.1 Client services						
	18.1.1	Client services Advice given to external clients in a professional capacity that may be subject to possible future scrutiny	• Call logs of the National Poisons Centre	Destroy	10 years after date of last action	D1