

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period
1.0	Patient Treatment and Care <i>Provision of health assessment, diagnosis, management, treatment and care services and/or advice to individual patients/clients</i>					
1.1	Patient File	General Admission Community Services Allied Services	Refers to the process of documenting every aspect of healthcare provided by a DHB and its allied services to an identifiable in-patient/out-patient/consumer/client and may be in either single file, multiple files, hard copy (e.g. paper based) or electronic (digital, audio, videos etc).	<p><i>Components of the Patient File include but are not limited to:</i></p> <p>(a) <i>In-patient/out-patient/consumer/client</i> (b) <i>Key health information summary</i> (c) <i>Consents</i> (d) <i>Outpatient/inpatient care episodes</i> (e) <i>Referral(s) - received and sent</i> (f) <i>Correspondence</i> (g) <i>Assessment(s)</i> (h) <i>Investigations and results</i> (i) <i>Diagnoses</i> (j) <i>Treatment/care/management plans including records of:</i></p> <ul style="list-style-type: none"> - <i>Treatment/care provided</i> - <i>Evaluation of treatment/care provided</i> - <i>Medication orders and administration documentation</i> - <i>Information that is provided to the consumer</i> - <i>Consumer/patient consent to treatment/care</i> - <i>Peri operative/operative/postoperative and anesthetic records</i> - <i>Advance directives</i> - <i>Other procedures and therapies</i> <p>(k) <i>Accident, serious and sentinel event summaries</i> (l) <i>Progress/review</i> (m) <i>Medication</i> (n) <i>Discharge letter(s)/summary</i> (o) <i>Follow up</i></p>	Discharge or Destroy	Retain for a minimum of 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.
1.2	Patient File	Paediatric Care	Refers to the process of documenting every aspect of pediatric health care provided to an identifiable in-patient/out-patient/consumer/client and may be in either single file, multiple files, hard copy (e.g. paper based) or electronic (digital, audio, videos etc).	See Patient Files for examples	Discharge or Destroy	Retain for minimum of 20 years from date of contact with the organisation, or when the respective child has reaches 25 years of age, whichever is greater

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1.3	Patient File	Maternal Health Care	Records documenting birth episodes	See Patient Files for examples	Discharge or Destroy	Retain for a minimum of 20 years from birth episode date of discharge
1.4	Patient File	Radiotherapy Care	Refers to the process of documenting every aspect of radiotherapy care provided to an identifiable in-patient/out-patient/consumer/client and may be in either single file, multiple files, hard copy (e.g. paper based) or electronic (digital, audio, videos etc).	See Patient Files for examples	Discharge or Destroy	Retain for a minimum of 40 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 or 10 years after the date of death.
1.5	Client File	Mental Health	Refers to the process of documenting every aspect of mental health care provided to an identifiable in-patient/out-patient/consumer/client and may be in either single file, multiple files, hard copy (e.g. paper based) or electronic (digital, audio, videos etc).	See Patient Files for examples	Discharge or Destroy	Retain for a minimum of 20 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.

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1.6	Collections or samples of patient records retained for a specific purpose	Patient/Client files	<p>Collections or samples of patient/client records identified as having continuing value for medical or social research purposes.</p> <p>Records may be selected because:</p> <ul style="list-style-type: none"> • The service has taken a leading role in the development and delivery of new or specialised treatments; Or because the records <ul style="list-style-type: none"> • Illustrate or provide comparative insight into the provision of services to particular community groups; • Illustrate or provide comparative insights into aspects of treatment, care and the delivery of services over time; • Document significant achievements in research or break through in research or relate to research of major national or international significance, interest or controversy; • Document significant outbreaks of disease that represented major public health risks and their impact; • Document critical points of change or developments in the treatment or management of a particular type of condition, illness or disease; • Relate to the diagnosis, management, treatment of or research into particularly rare diseases or <p>Data warehouses or databases created by individual DHBs to undertake research on particular aspects of health conditions and treatment in order to provide appropriate services e.g. treatment and care of diabetes patients</p>	See Patient Files for examples	To be offered to nearest regional Archives New Zealand office for appraisal	Retain for a minimum of 20 years then offer to nearest Archives New Zealand office for appraisal
1.7	Research data warehouses or databases				To be offered to nearest regional Archives New Zealand office for appraisal	Retain for a minimum of 20 years then offer to nearest Archives New Zealand office for appraisal
2.0	Patient Diagnostics					
	Imaging	<i>Refers to the process of creating procedures and tests of a non textual nature for the purpose of patient/client diagnosis. Includes diagnostic radiology, magnetic resonance imaging (MRI), ultrasound, mammography and related diagnostic digital imaging procedures.</i>				
2.1	Imaging	Requests	Diagnostic service copy of medical officer's request for an imaging procedure.	Request forms	Destroy	Retain for 18 months from date of request
2.2	Imaging	Diagnostic reports Original	- Should be attached to the patient/client file - see 1.0.0 for patient/client file	Includes diagnostic radiology, nuclear medicine, ultra-sound, computed tomography, MRI.		

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2.3	Imaging		Diagnostic reports - Copies of reports held by Radiology Department Copy		Destroy	Retain until no longer required for administrative purposes
2.4	Imaging	Recordings	Recordings produced for diagnostic purposes	Includes x-rays videotapes films photographs ultrasound devices CDs DVDs Imaging register	Destroy or Discharge	Retain for 10 years from date of last treatment then Discharge or Destroy
2.5	Imaging	Identification and Tracing Systems	Recording systems maintained by the imaging service to identify and trace all images created		Destroy	Retain until no longer required for administrative purposes
2.6	Pathology and Laboratory Services	Requests	Request for a pathology procedure	Request forms	Destroy	Retain for a minimum of 18 months from date of request, then destroy
2.7	Pathology and Laboratory Services	Diagnostic Reports and Results	Records documenting recordings and results.	Worksheets, QA, QC and test result validity	Destroy	Retain for a minimum of 3 years from date the record was created, then destroy
		Diagnostic Reports and Results		Final report	Destroy	Retain for a minimum of 10 years from the date the report was created, then destroy
2.8	Pathology and Laboratory Services	Procedures and Methods -	Records relating to the services' approved methodologies and standard procedures for the conduct of tests and procedures	Manuals, guidelines	Destroy	Retain minimum of 3 years after methods/ procedures superceded, then destroy
2.9	Pathology and Laboratory Services	<i>Specimens and Samples</i>	<i>Note - the issue of retention periods for specimens is currently being addressed as part of the Human Tissues Bill. Once this Bill has been enacted retention periods will be incorporated into the General Disposal Authority</i>			
3.0	Patient Registration and Identification					

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3.1	Summary and control records	Registers and Indexes		Patient/Client Master Index	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.2	Summary and control records	Registers and Indexes		Admission and Discharge Register	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.3	Summary and control records	Registers and Indexes		Register of Birth	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.4	Summary and control records	Registers and Indexes		Register of Death	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.5	Summary and control records	Registers and Indexes		Operation or Theatre Register	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.6	Summary and control records	Registers and Indexes		Register of surgical operations and other medical procedures	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.7	Summary and control records	Registers and Indexes		Register of Restraint and Seclusion	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.8	Summary and control records	Registers and Indexes		Accident and Emergency Register	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.9	Summary and control records	Registers and Indexes		Community Health Register	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.10	Summary and control records	Registers and Indexes		Anesthesia Register	Transfer to Archives New Zealand	Retain until no longer administratively required then transfer to Archives
3.11	Summary and control records	Ward Records	Records relating to the management, treatment and care of patients on the ward not incorporated into the main patient record	Controlled drug registers	Destroy	Retain a minimum of 10 years after date of last entry
3.12	Summary and control records	Lists/ Schedules	Theatre lists Waiting lists	Theatre bookings	Destroy	Retain until no longer administratively required
3.13	Summary and control records	Censuses/ Statistics/ returns	Periodical returns or routine reports to external agencies	Booking status information	Destroy	Retain until no longer administratively required

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3.14	Summary and control records	Diaries and Appointments	Appointment Books recording detailing time and dates of appointments	Diaries of appointments compiled by individual wards containing clinical information Personal/work diaries or appointment books	Destroy	Retain until no longer administratively required
4.0	Notifications and Reporting					
4.1	Births and Deaths		Birth registration forms Death Certificates		To be retained and disposed of in accordance with the requirements for the type of patient record they comprise	
4.2	Births and Deaths		Summary reports to appropriate authorities		Destroy	Retain minimum of 1 year after notification then destroy
4.3	Notification of Diseases		Reports to EpiSurv on notifiable diseases		Destroy	Retain a minimum of 10 years after reporting then destroy
4.4	Notification of Diseases		Registers in paper format created prior to 1996		Transfer to Archives New Zealand	Retain a minimum of 10 years then transfer to Archives
5.0	Quality Control					
5.1	Legal Matters and Incident Reporting		Incident reports Serious events reports Correspondence	Working papers Report	Destroy	Retain minimum of 15 years after date of incident
5.2	Summaries of Patient Injuries		Register of Patient Injuries, Index of Complaints Correspondence		Destroy	Retain minimum of 15 years after date of last entry
5.3	Equipment Sterilisation		Sterilisation print outs Log book/sterilisation register used to keep a record of a sterilisers' performance		Destroy	Retain a minimum of 7 years after date of last entry
6.0	Pharmaceutical Supply and Administration					
6.1	Supply and Administration		Prescriptions - Controlled Drugs Prescriptions including NSS		Destroy	Retain a minimum of 10 years after date of last clinical entry then destroy
6.2	Supply and Administration		Drug Information Queries		Destroy	Retain a minimum of 10 years after date of last entry then destroy

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6.3	Supply and Administration		Fridge Temperature Chart records		Destroy	Retain a minimum of 5 years after date of last entry then destroy
6.4	Supply and Administration		Manufacturing Worksheets Chemotherapy Worksheets Aseptic Worksheets		Destroy	Retain a minimum of 10 years after date of last entry then destroy
6.5	Stock Control and Inventory		Script batch details Requisitions and orders Receipts/records of delivery		Destroy	Retain a minimum of 5 years after date of last entry then destroy
6.6	Stock Control and Inventory		Repacking worksheets		Destroy	Retain a minimum of 5 years after date of last entry then destroy
6.7	Stock Control and Inventory		Ward Controlled Drugs requisitions		Destroy	Retain a minimum of 5 years after date of last entry then destroy
6.8	Registers		Restricted Medicines Book		Destroy	Retain a minimum of 10 years after date of last entry then destroy
6.9	Clinical Trials		Delivery of drugs receipts Recording of drugs distribution		Destroy	Retain minimum of 10 years after completion of trial then destroy
7.00	Electronic Health Record					
			Original Data where the electronic record is the only record	To be retained and disposed of in accordance with the requirements for the type of patient record they comprise		
8.0	Historical Records					
8.1	All records created prior to 1920			All records. Note this includes patient files	Transfer to Archives New Zealand	Transfer to Archives New Zealand
8.2	Records created prior to 1946			Hospital Report Book Birth Delivery Reports Maternity Registers Patient Fees Register Labour records Morgue books Post Mortem Book	To be offered to nearest regional Archives New Zealand office for appraisal	

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9	ADMINISTRATION <i>Administration records outline distinct corporate administrative processes such as the recording of meetings. 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.)</i>						
9.1	Administration	Contact and Address Lists		Contact and address lists produced or held by the DHB. For example telephone lists, address lists, email lists	Destroy	Until administratively no longer required	D20
9.2	Administration	Housekeeping	Background information	Background informational material kept by an employee and used in the preparation of DHB correspondence, reports, audits, discussion papers etc. For example: information from published sources, reference material from external sources (eg brochures, circulars) raw data, working drafts.	Destroy	Retain until production of the completed version or record	D20
9.3	Administration	Housekeeping	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 reference or informational purposes OR records that are not part of a formal information system and contain only drafts, duplicates and / or working copies. For example, duplicate records created for reference, record copies kept for back up / security reasons, duplicates of external documents and publications. NOTE: Does not apply to copies used as a basis for further changes, or where the copy has become a different record in its own right due to changes. NOTE: If original file is lost, duplicate file may need to be retained. If this is the case, refer to appropriate record class / subclass for retention period. NOTE: Does not apply where a hardcopy original has been scanned or otherwise imaged. Formal authorisations is required to dispose of the original (see Archives New Zealand A/3 Advisory notice: Copying and Digitising Public Records) where no master copy exists.	Destroy	Until administratively no longer required	D20
9.4	Administration	Housekeeping	Drafts (Minor)	Preparation of preliminary drafts or outlines of reports, correspondence etc, prior to production of final work. For example: drafts used to prepare correspondence, file notes, reports, spreadsheets, plans, statistics. 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	Destroy	Retain until production of the completed version or record	D20

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9.5	Administration	Housekeeping	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. For example, evidence, affidavits and judgements. NOTE: Does not include information placed on an employee's personnel file. See under Human Resources and Personnel: Personnel Files	Destroy	Until administratively no longer required	D20
9.6	Administration	Housekeeping	Externally available information	Records that are readily available from other sources that are not kept as background information by individual employees. For example: Cabinet minutes and Ministerial circulars, Cabinet papers, Ministerial answers to Parliamentary questions, New Zealand statutes and regulations, parliamentary papers (e.g. duplicates and copies of Select Committee hearing papers), written answers, material not directly addressed to the recipient or their DHB such as information downloaded from libraries, databases or received due to membership in a discussion group or listserv etc. NOTE: See also under Administration: Housekeeping: Background Information	Destroy	Until administratively no longer required	D20
9.7	Administration	Housekeeping	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	D20
9.8	Administration	Housekeeping	Personal Correspondence	Correspondence with family or friends, doctor's appointments, light-hearted banter, lunch dates etc	Destroy	Until administratively no longer required	D20
9.9	Administration	Housekeeping	Received advertising material	Information received by external agencies advertising their products / services. For example advertising flyers, brochures, catalogues, price lists. NOTE: Some external advertising material may need to be kept for 7 years to prove financial compliance. NOTE: This section does not apply to advertising material created by the DHB. See under Public Relations and Communications: Publications: In-House.	Destroy	Until administratively no longer required	D20
9.10	Administration	Housekeeping	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. For example, bulletins, newsletters, internal circulars etc.	Destroy	Until administratively no longer required	D20
9.11	Administration	Housekeeping	Superseded administrative instructions	Instructions, systems procedures, training material, facilitation instructions and queries, user manuals etc where a master copy is in the corporate recordkeeping system. For example: How to instructions, including general procedures. Computer operating system-type records. User guides and manuals for DHB systems. Training instructions or handouts from training exercises	Destroy	Until administratively no longer required	D20

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9.12	Administration	Housekeeping	Trivial Work Related Material	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	D20
9.13	Administration	Housekeeping	Working Papers (Minor)	Papers, background notes, reference materials used to prepare or complete other documents. For example: 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. NOTE: Some working papers are considered significant, such as working papers associated with Annual Reports. See under "Working Papers" in the Cross References for exceptions.	Destroy	Retain until production of the completed version or record	D20
9.14	Administration	Meetings	Administrative Records	Internal and external routine and low level administration records that aid the <i>facilitation</i> of meetings. For example 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	D20
9.15	Administration	Meetings	Non Governance (Minor)	Records generated by external organisations within NZ and overseas where DHB has minimal input and participation (e.g. inter-agency committees where records are maintained and meetings chaired by other agencies) or records of meetings held within the DHB dealing with minor management issues, housekeeping and / or administrative matters. For example: minutes, agendas, papers presented at section / employee team meetings or at meetings developing routine procedures, external reports, external papers received, circular notices. Specific examples include meetings of occupational health and safety committee, publication facilitation meetings	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D20

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9.16	Administration	Meetings	Non Governance (Significant)	Records outlining significant DHB input and participation into external committees, meetings, boards, working parties, international committees and associations etc as well as significant original master records (e.g. signed copies) of meetings created, sponsored or administered by the DHB that cover high - level and significant management, compliance, decision-making and deliberations relating to key DHB functions and the rationale behind them. For example, minutes / agendas, terms of reference, appointment of members, record of proceedings, record of decisions, major commissioned reports and evaluations, submissions, substantial correspondence, establishment records. Meeting examples include quality management / improvement, medication safety meetings, meetings about medication / care testing etc, policy committees, clinical systems meetings, infection control meetings etc	Transfer to Archives New Zealand	10 years after date of last action	A1
9.17	Administration	Secretarial and Processing Services		Records relating to the administration of secretarial and stenographic services, word processing and typing services, transcribing and dictation services. for example, requests for secretarial/ typing services, dictation audio tapes, shorthand notes, drafts for typing	Destroy	Until administratively no longer required	D20
10	COMPLIANCE, AUDIT AND RISK MANAGEMENT						
	<i>Compliance, Audit and Risk Management records cover all compliance, auditing and risk management requirements (both internal and external) relating to non-clinical</i>						
10.1	Compliance, Audit and Risk Management	Accident and First Aid Records (Employees)	Minor	Incident, Accident, "Near Miss" and first aid records (e.g. sick room register), not involving fatalities and/or prosecution , for example accident, incident, near miss reports , first aid records (e.g. sick room register). NOTE: Does not cover information placed on Personnel File. See under Human Resources and Personnel: Personnel Files	Destroy	7 years after date of last action or when no longer legally required to be retained	D35
10.2	Compliance, Audit and Risk Management	Accident Fatalities / Serious Harm (Employees)		Accident records covering fatalities / serious harm to employees (as defined by Health and Safety in Employment Act) , as well as prosecution. For example: DHB fatalities accident record, DHB records on prosecution. NOTE: Does not cover information placed on Personnel File. See under Human Resources and Personnel: Personnel Files	Transfer to Archives New Zealand	10 years after date of last action	A32

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
10.3	Compliance, Audit and Risk Management	Audits, Reviews and Evaluations	Administration of	Records that facilitate / administer to the auditing process such as audit programme arrangements, and records facilitating routine office inspections	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1
10.4	Compliance, Audit and Risk Management	Audits, Reviews and Evaluations	Minor	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 for implementation and when implemented do not have significant effect on DHB policy and procedures. For example: audit trail reports, routine internal control reviews, routine contract performance reviews, internal control registers, audits of travel arrangements, contractor reviews and evaluations, records relating to integrity of the payroll system and payments, routine correspondence	Destroy	7 years after date of last action	D1
10.5	Compliance, Audit and Risk Management	Audits, Reviews and Evaluations	Significant	Major audits, reviews and evaluations that significantly impact on planning, policies, procedures, services and operational delivery. For example: Internal / Clinical / Health and Safety risk management analysis / evaluation reports, audit reviews on meeting of standards by external providers, 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), proposals to establish or disestablish core DHB functions, substantial information systems reviews (e.g. major information systems that impact on service delivery) and risk management analysis / evaluation reports, significant change management proposals, evaluation of key policy initiatives, significant quality / quality assurance audits etc	Transfer to Archives New Zealand	10 years after date of last action	A2
10.6	Compliance, Audit and Risk Management	Delegations and Authorities	Written Authorities within DHBs	Written authority given to managers allowing them to allocate resources and make decisions. For example: allowing hiring and promotion of employees, creation of new positions, transfer of employees, etc.	Destroy	7 years after date of last action	D1

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10.7	Compliance, Audit and Risk Management	Emergency Management and Contingency Planning	Administration	Records that administer and facilitate emergency management and contingency planning activities	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1
10.8	Compliance, Audit and Risk Management	Emergency Management and Contingency Planning	Development	Records that outline the development of emergency management and contingency planning procedures and standards. For example, working papers, draft emergency plans. NOTE: Does not include final plans. See under Policy and Procedure: Master Documents	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1
10.9	Compliance, Audit and Risk Management	Fraud and Theft	Reports (Minor)	Records detailing minor internal fraud, misappropriations, theft and negligence. For Example: petty theft, one-off opportunistic insignificant misappropriations, Small over-claims on expenses. NOTE: Does not cover information placed on Personnel File. See under Human Resources and Personnel: Personnel Files	Destroy	7 years from date of last action	D25
10.10	Compliance, Audit and Risk Management	Fraud and Theft	Reports (Significant)	Records detailing serious internal instances of fraud, theft, misappropriations or negligence within the DHB. For Example: 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. NOTE: Does not cover information placed on Personnel File. See under Human Resources and Personnel: Personnel Files	Transfer to Archives New Zealand	10 years from date of last action	A27
10.11	Compliance, Audit and Risk Management	Issues Management (Non Clinical)	Administration and Facilitation	Records that document the issue management process such as complaint management / incident reporting process, and the quality control of that process	Destroy	7 years after date of last action	D1
10.12	Compliance, Audit and Risk Management	Issues Management (Non Clinical)	Incidences (Minor)	Records that document reportable issues, events and incidents (and how they are resolved) that do not have an ongoing / significant effect on DHB policy, practice, precedent, strategy etc. For example, 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

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10.13	Compliance, Audit and Risk Management	Issues Management (Non Clinical)	Incidences (Significant)	Records of incidences / issues / complaints monitored OR addressed by the DHB that result in the setting of significant precedent when it comes to the DHB's strategies, policies, business practice etc, Ministerial intervention, major changes in government or DHB policies and procedures, high level discussion within the DHB, legal action, public concern or wide media coverage. Examples could include: environmental concerns such as contamination of land or water, high level employee grievances, public health concerns such as disease outbreak management etc. This can come in the form of initial complaint documentation, associated correspondence and attachments, DHB reports, records of decisions, legal advice, records outlining resolution etc. NOTE: Although this section includes issues relating to employees, see also under Compliance, Audit Risk Management: Accident for further records relating to employee incidences / issues. For incidences / issues / complaints relating to individual patients, see under Clinical: Quality Control: Legal Matters and Incident Reporting.	Transfer to Archives New Zealand	10 years after event resolved and all legal and administrative requirements completed	A2
10.14	Compliance, Audit and Risk Management	Issues Monitoring	Minor Issues	Records that outline the ongoing monitoring of issues that had no impact on DHB policies, procedures, strategy, risk and compliance etc. For example, low-level monitoring reports	Destroy	2 years after date of last action or until administratively no longer required for reference purposes, whichever is longer	D2
10.15	Compliance, Audit and Risk Management	Issues Monitoring	Significant Issues	Records that outline the ongoing monitoring of issues that resulted in significant changes to DHB policies, procedures, strategy, risk and compliance etc. For example, monitoring reports to do with the monitoring of significant issues	Transfer to Archives New Zealand	10 years from date of last action	A2
10.16	Compliance, Audit and Risk Management	Ministerial Correspondence	Analysis	DHB's summary analysis and / or audits of Ministerial Correspondence such as analysis of ministerial correspondence by topic / subject / output. Also audits / evaluations of ministerial correspondence by numbers received and response times (i.e. performance measurement of timeliness of ministerial processing)	Transfer to Archives New Zealand	10 years after date of last action	A2

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10.17	Compliance, Audit and Risk Management	Reporting	Administration of	Information that facilitates the reporting process for reports that are not audits, reviews or evaluations. For example routine correspondence, reporting arrangements.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D2
10.18	Compliance, Audit and Risk Management	Reporting	Non-Financial (Minor)	Low level reporting / records associated with report development that are not covered under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations (Minor) and only have specific, low level impact on DHB business OR reports that are in summarised or consolidated form elsewhere. For example: background papers, research, drafts, data, comments etc, low level audit responses, project reports, daily, weekly, monthly summary or scorecard reports, ad-hoc reporting for external agencies such as the Ministry of Health, Local Government, reporting on National Nurses Document, reports on information requests, summarised certification reports, OSH reports, monthly activity reports etc. NOTE: for financial reporting, see under Financial and Accounting: Reporting: Minor Financial	Destroy	7 years after date of last action	D1
10.19	Compliance, Audit and Risk Management	Reporting	Non-Financial (Significant)	Consolidated and / or summarised clinical or 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 DHB functions AND are not covered under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations (Significant) OR under Information Management Systems and Services: Control and Location Indices / Guides (Significant). For example: monitoring reports of significant projects, survey reports, business cases etc. For example, internal summary reports of incidents and events and their outcomes. NOTE: for financial reporting, see under Financial and Accounting: Reporting: Significant Financial	Transfer to Archives New Zealand	10 years after last date of action	A2
10.20	Compliance, Audit and Risk Management	Resource consents		Consents applied for by the DHB and monitored under the Resource Management Act 1991, and other acts, international regulations etc that relate to environmental compliance. Also includes any significant documentation relating to the application or ongoing maintenance of the resource consent.		DHB to retain permanently	Appraisal Report Ref: 4.10

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
10.21	Compliance, Audit and Risk Management	Resource consents	Administration	Information that administers or facilitates the resources consent application process such as applications, low-level discussion, drafts. NOTE: Does not cover significant documentation that explains or validates the resource consent application.	Destroy	7 years after date of last action or when administratively no longer required, whichever is longer.	D1
10.22	Compliance, Audit and Risk Management	Security and Vetting	Employee Vetting	DHB records covering the vetting of employees with regard to security clearances, criminal convictions, and criminal history. Examples include: Forms filled out by employees (e.g. Privacy Application Form), and communications with agencies about vetting / security issues. NOTE: Does not include material that appears on the personnel file or on files relating to the appointment / dismissal of Board / Committee members. See under Human Resources and Personnel: Personnel Files or under Governance: Selection and Membership	Destroy	7 years after date of last action or last date of employment, whichever is relevant	D1
10.23	Compliance, Audit and Risk Management	Security and Vetting	DHB Surveillance Tapes	Surveillance Camera Tapes	Destroy	2 years after date of last action or when administratively no longer required	D1
10.24	Compliance, Audit and Risk Management	Standards and Regulations	Monitoring and Administration	Records of external voluntary and mandatory standards and regulations relating to DHBs as well as the facilitation and administration of these standards. For example, records that document accreditation to voluntary health compliance standards such as ISO 9000, records outlining the facilitation, administration and compliance processes behind mandatory health standards, records that monitor and relate to DHB compliance with external codes and standards, as well as the standards themselves. Specific examples include records that monitor external standards associated with patient rights, child care, financial standards, food, additive standards, Health and Disability Sector Standards compliance documentation, reports, certificates, permits, correspondence with Quality Health NZ etc. NOTE: If compliance (or non-compliance) results in legal action, significant DHB involvement, or raises a major public health issue or precedent etc, see under Compliance, Audit and Risk Management: Issues Management (Significant), or under Legal.	Destroy	7 years after standard / regulation etc superseded / completed and no longer required for administrative purposes	D1

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
10.25	Compliance, Audit and Risk Management	Suggestion Schemes Mandate and Decisions	Administration	Records that cover the administration of DHB suggestion schemes. For example: Suggestion submissions by employees, Evaluation of suggestion, Correspondence	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D1
10.26	Compliance, Audit and Risk Management	Suggestion Schemes Mandate and Decisions	Employees	Records that summarise purpose and scope of DHB suggestion schemes, and decisions taken. For example terms of reference, minutes of meetings, summary of awards to employees, outcome of suggestions implementation	Transfer to Archives New Zealand	10 years after date of last action	A2
10.27	Compliance, Audit and Risk Management	Superannuation and Medical Schemes	Management of	Significant documents relating to the DHB's direct management of employee superannuation and medical schemes. For example all trust deeds and rules, trustee minute books, funds' annual accounts, investment policy, investment records, actuarial valuation reports	Transfer to Archives New Zealand	10 years after date of last action	A22
10.28	Compliance, Audit and Risk Management	Treaty of Waitangi and Partnership Issues	DHB compliance and dealings under the Treaty, and relationships with Maori (significant)	Significant / high-level records that cover significant DHB compliance and dealings under the Treaty, and relationships with Maori. For example: Te Urupare Rangapu Partnership Response, claims and settlements involving DHB, Maori input into DHB planning and policy (e.g. DHB 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, terms of reference and minutes of DHB Maori Advisory Group, Maori input into legislative development	Transfer to Archives New Zealand	10 years after date of last action	A3
11	FINANCIAL AND ACCOUNTING RECORDS <i>Financial and accounting records cover all financial and accounting processes and activities within a DHB, from group level to DHB-wide.</i>						
11.1	Financial and Accounting	Approvals	From Ministers	Ministerial financial approvals such Ministerial approval of capital and/or operational expenditure by the DHB	Transfer to Archives New Zealand	10 years after date of last action	A22
11.2	Financial and Accounting	Delegations	Financial delegations and authorities	Written authority given to managers allowing financial expenditure and/or the incurring of debt	Destroy	7 years after date of last action	D22

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
11.3	Financial and Accounting	Payroll	Administration	Operational records relating to the administration of payments to employees. For example: Payroll input data, Payroll deduction authorities, Payroll contribution, Payroll printouts, Salary/wage cards, Salary ledger cards, Salary/wage calculations, Employee pay records, ACC employer and employees 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. NOTE: Does not include payroll information in Personnel Files. See under Human Resources and Personnel: Personnel Files.	Destroy	7 years after date of last action	D34
11.4	Financial and Accounting	Reporting	Minor Financial	Financial reports that are summarised elsewhere, or financial reports that are transactional and / or processing in nature. For example: Information covered by major financial reports or by summarised strategic planning and funding, governance etc reports etc. Also regional financial reports, Quarterly, Monthly, Weekly Reports, Budget reports, position Summaries, Reconciliation Reports, monthly operation reports, statistical packs, Month end reports, Journal transaction reports, and other occasional and ad-hoc financial reporting. NOTE: Does not include financial reporting associated with planning and funding. See under Strategic Planning and Funding: Reporting	Destroy	7 years after date of last action	D22
11.5	Financial and Accounting	Reporting	Significant Financial	Consolidated accountability reporting records. For example: consolidated annual financial statements, annual financial performance reports against purchase agreement with Minister, consolidated major capital expenditure budget and expenditure, analysis and monitoring reports of major capital expenditure projects etc. NOTE: Does not include financial reporting associated with planning and funding. See under Strategic Planning and Funding: Reporting	Transfer to Archives New Zealand	10 years after date of last action	A22
11.6	Financial and Accounting	Taxation	Administration	Routine taxation administration records. For example: GST returns, routine correspondence on taxation, fringe benefit tax returns	Destroy	7 years after date of last action	D24
11.7	Financial and Accounting	Taxation	Employee Taxation	Personnel records relating to Tax and IRD. For example: 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 and when no longer required to be retained under legislation	D34

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
11.8	Financial and Accounting	Transactions	Administration	Covering routine and low level financial and accounting transactions and administration. For example: 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, copies of printouts, forms design and printing, signing authority budget codes	Destroy	7 years after date of last action	D3
11.9	Financial and Accounting	Transactions	Banking Records	Routine banking administration records. For example: cheques, bills of exchange and other negotiable instruments, bank statements and reconciliations, instructions to banks, automatic payments/direct debit authorities, cheques and associated documents, cheque orders, deposit and supporting documents, credit card records, voucher receipts and reconciliations, term investments	Destroy	7 years after date of last action	D24
11.10	Financial and Accounting	Transactions	General Ledger and Subsidiary Ledgers	General ledgers and subsidiary ledgers (including journals and cash book. For example: general ledger, cash book and equivalents, creditors ledger, debtors ledger, contract ledger, purchase ledger, sales ledger, asset register, stock records NOTE: excludes consolidated major capital asset register – see under Property and Asset Management: Assets.	Destroy	7 years after date of last action	D24
11.11	Financial and Accounting	Transactions	Receipts and Expenditure	Routine and low level financial transactional records relating to receipts and expenditure. For example: 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	Destroy	7 years after date of last action	D24
12	GOVERNANCE <i>Governance records cover all high-level corporate governance records, that is, information that relates to the top-level decision-making processes within a DHB, and how they are carried out.</i>						
12.1	Governance	Approvals / Rejections from Minister	Non-financial	Ministerial approval or rejection of decisions sought by DHB or others, i.e. proposals put up to Minister, Ministerial decision approvals or rejections	Transfer to Archives New Zealand	10 years after date of last action	A4
12.2	Governance	Board, Sub-Committees (Legislated and Non-Legislated)	Administration	Records that <i>facilitate</i> meetings as well as the facilitation of selection, employment, reimbursement, travel etc of members	Destroy	10 years after date of last action	D4

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
12.3	Governance	Board, Sub-Committees (Legislated and Non-Legislated)	Correspondence (minor)	Administrative / facilitative correspondence to / from members	Destroy	10 years after date of last action	D4
12.4	Governance	Board, Sub-Committees (Legislated and Non-Legislated)	Correspondence (significant)	Correspondence to / from Executive / High-Level Management about significant / far reaching corporate / service issues. NOTE: does not include correspondence attached to official record of meetings.	Transfer to Archives New Zealand	10 years after date of last action	A5
12.5	Governance	Board, Sub-Committees (Legislated and Non-Legislated)	Meetings	Documentation that provides an official record of all meetings such as agendas, signed minutes, matters arising, associated reports and other documentation	Transfer to Archives New Zealand	10 years after date of last action	A5
12.6	Governance	Board, Sub-Committees (Legislated and Non-Legislated)	Reports (minor)	Reports, reviews etc to / from Board / Committee about areas that have a short term impact / low influence on DHB strategies and plans, policies and procedures or services and have low compliance / business ramifications	Destroy	10 years after date of last action	D4
12.7	Governance	Board, Sub-Committees (Legislated and Non-Legislated)	Reports (significant)	Reports, reviews etc to /from Board / Committee about areas of significant impact and / or influence on key DHB 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.	Transfer to Archives New Zealand	10 years after date of last action	A5
12.8	Governance	Board, Sub-Committees (Legislated and Non-Legislated)	Selection and Membership	Information about the selection, employment, compensation, reimbursement, training, education, evaluation, delegations, rotation, travel, retirement, resignation etc of members	Destroy	10 years after retirement / resignation and if administratively no longer required for reference or legal purposes.	D4
12.9	Governance	CEO	Performance Agreement		Transfer to Archives New Zealand	10 years after date of last action	A29
12.10	Governance	CEO	Correspondence (minor)	Correspondence of a routine nature replying to administrative / low -level requests such as meeting attendance, travel arrangements etc	Destroy	7 years after date of last action	D4
12.11	Governance	CEO	Correspondence (significant)	Correspondence to / from Board and high level committees, significant external agencies etc about high level corporate, service etc issues that have a significant / ongoing effect on the DHB	Transfer to Archives New Zealand	10 years after date of last action	A5

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
12.12	Governance	Clinical Boards	Administration	Records that facilitate the membership, meetings etc of Clinical Boards	Destroy	10 years after date of last action	D4
12.13	Governance	Corporate Identity / Brand		Records that cover the development of the DHB's identity, brand and image, Examples include: development and approval, rationale for decisions made, DHB intellectual property, trademarks, agency logo designs etc.	Transfer to Archives New Zealand	10 years after date of last action	A5
12.14	Governance	Corporate Objects	Significant objects of corporate identification	Key DHB objects relating to corporate identification and recognition, authorisation, approval and guarantee of authenticity, creation of significant documents such as coat of arms cast, logo prints blocks, office seal, engraved plates	Transfer to Archives New Zealand	10 years after date of last action	A5
12.15	Governance	Correspondence	Ministerial (minor / routine)	Routine inward and outward Ministerial correspondence to / from DHBs or from constituents, general public and organisations that do not have any direct impact on government and DHB decisions. For example general enquiries, general support/opposition to government policies, correspondence referred to DHB for reply/action, routine responses prepared by DHB for ministerial signature	Destroy	2 years after date of last action	D4
12.16	Governance	Correspondence	Ministerial (significant)	Significant inward and outward Ministerial correspondence to / from DHBs or public that result in key ministerial decisions or recommendations, major changes in government or DHB policies, major DHB decisions, major public interest, debate and/or controversy. For example, correspondence and any associated attachments, Ministerial decisions	Transfer to Archives New Zealand	10 years after date of last action	A4
12.17	Governance	Delegations	by Minister	Power delegated by Minister to DHB employees or others	Transfer to Archives New Zealand	10 years after date of last action	A4
12.18	Governance	Establishment	of DHB	Significant governance / high level corporate and records of high historical value relating to the establishment of the DHB or any predecessor agencies. For example, letters of establishment from Minister.	Transfer to Archives New Zealand	10 years after date of last action	A5
12.19	Governance	Executive Groups	Administration	Administration and facilitation of meetings etc for Executive Groups	Destroy	7 years after date of last action	D4
12.20	Governance	Executive Groups	Meetings	Official record of executive group meetings such as Clinical Boards, Executive Clinical Groups, Senior Management Groups.	Transfer to Archives New Zealand	10 years after date of last action	A5
12.21	Governance	Executive Groups	Reports	Records that outline the decision making process of high level executive groups on areas that have significant impact on DHB policies, processes, clients and business. For example significant decisions on resource allocation.	Transfer to Archives New Zealand	10 years after date of last action	A5

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
12.22	Governance	Maori	Administration	Records that administer meetings and facilitate attendance etc for Maori Governance and Executive Groups	Destroy	7 years after date of last action	D4
12.23	Governance	Maori	Meetings	Official record of Maori Governance meetings such as Iwi / Maori Council Meetings, Kaumatua Kaunihera	Transfer to Archives New Zealand	10 years after date of last action	A5
12.24	Governance	Maori	Reports	Records that outline the decision making process of Maori Executive / Governance Groups that have significant impact on DHB policies, processes, clients and business. For example significant decisions relating to Te Punga Oranga (Maori Health)	Transfer to Archives New Zealand	10 years after date of last action	A5
12.25	Governance	Planning and Reporting		Consolidated high-level governance-related plans. For example: District Plan, Statement of Intent, Output Plan, Reports of performance measurement against output targets, Annual and strategic plans, Monitoring of performance against targets, annual financial performance reports against purchase agreement with Minister etc. NOTE: Does not include annual reporting on areas other than those described above. For other areas see under Strategic Planning and Funding: Planning and Reporting	Transfer to Archives New Zealand	10 years after date of last action	A5
12.26	Governance	Relationship Management	Administration	Records that administer the relationship management process. For example meeting arrangements, routine correspondence	Destroy	2 years after date of last action or when administratively no longer required, whatever is longer	D4
12.27	Governance	Relationship Management	Minor / Low-Level Routine Relationships	Records that outline low level / routine negotiations and agreements with external agencies and stakeholders. For example low level, routine correspondence and discussion with external agencies and stakeholders	Destroy	7 years after date of last action	D4
12.28	Governance	Relationship Management	Significant Relationships	Records that outline high level corporate / governance negotiations and agreements and inquiries with / from key external agencies and stakeholders relating to the monitoring, compliance, carrying out etc of services within the DHB. For example: high level discussions with the Ministry of Health, DHBNZ, Commissions of Inquiry relating to the DHB etc	Transfer to Archives New Zealand	10 years after date of last action	A5

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
12.29	Governance	Reports and Briefing Papers	for attendance at Cabinet and Select Committees	Briefing papers and reports prepared by DHB for attendance at Cabinet and Select Committees that do not appear in Cabinet or Parliamentary records. For Example: • Management briefing notes/papers for DHB employee attendance at Cabinet and Select Committees re financial and operational performance, legislation, Vote and similar	Transfer to Archives New Zealand	10 years after date of last action	A22
12.30	Governance	Reports and Briefing Papers	To Ministers	Reporting and submissions to Ministers. For example financial information such as capital funding submissions, regular status summaries to Minister, exceptional reporting to Minister. Also non-financial information such as DHB submissions / correspondence giving advice to Minister, records of DHB meetings, regular status summaries, exceptional reporting, reports identifying significant issues, background or briefing notes, quick reference guides, reports on requests under Official Information Act 1982	Transfer to Archives New Zealand	10 years after date of last action	A5
12.31	Governance	Statutory and Regulatory Appointments	Administration	Administrative records relating to the appointment process. For example: information on persons nominated but not appointed, general enquiries, remuneration	Destroy	7 years after date of last action	D4
12.32	Governance	Statutory and Regulatory Appointments	Appointments	Significant records outlining statutory and regulatory appointments made by the DHB or on its recommendation (e.g. appointments to statutory bodies). For example: summary information on persons appointed, appointment terms of reference, official record of appointment decisions	Transfer to Archives New Zealand	10 years after date of last action	A6
13	HUMAN RESOURCES AND PERSONNEL <i>All records that relate to the recruitment, monitoring, training, support etc of DHB employees (regardless of whether they are created by a Manager or the HR Department) are included here.</i>						
13.1	Human Resources and Personnel	Administration		Records that administer to Human Resources transactions, processes, procedures etc. For example: routine administration, administrative reports, general correspondence, duplicates and copies of documents, employee departure administration (e.g. exit interviews), minor and routine employment relation matters, information requests, release of employee, credit card administration, copies of printouts, 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, whatever is longer	D36
13.2	Human Resources and Personnel	Assistance to Employee Groups	by DHBs	Employer assistance to employee groups, e.g. employee social club, employee sports teams etc. For example: Records relating to DHB funding, sponsorship or other assistance	Destroy	7 years after date of last action	D35

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
13.3	Human Resources and Personnel	Associations	Employee membership (non financial)	Non-financial records relating to associations to which employees belong, as well as membership information and administration. For example, information from organisations, correspondence arranging membership. NOTE: Does not include information placed in Personnel Files. See under Human Resources and Personnel: Personnel Files. For financial information, see under Financial and Accounting: Transactions	Destroy	2 years after date of last action or when administratively no longer required	D36
13.4	Human Resources and Personnel	Attendance (Employees)	Attendance records and use of time	Rosters, Timesheets, Attendance registers, Time use recording, reports, daily work records, Training/conference attendance returns and low-level reports on employee use of time. NOTE: Does not include information placed in Personnel Files. See under Human Resources and Personnel: Personnel Files	Destroy	7 years after date of last action	D31
13.5	Human Resources and Personnel	Awards and Honours (Employees)	Nominations	Records covering DHB's nomination of employees for major Honours, awards, etc. (e.g. New Zealand's Honours awards).	Transfer to Archives New Zealand	10 years after date of last action	A33
13.6	Human Resources and Personnel	Certification of Employees	Administration of	Records that facilitate the certification / credentialing process. For example, administrative correspondence	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D6
13.7	Human Resources and Personnel	Certification of Employees	Individual Certification	Information outlining certification / credentialing process for individual employees. For example: service records, final report, Medical Council of New Zealand certification. NOTE: Does not include information placed in Personnel Files. See under Human Resources and Personnel: Personnel Files	Destroy	7 years after last date of employment.	D6
13.8	Human Resources and Personnel	Child Care Services for DHB Employees	Administration of	Records that cover the administration of childcare facilities and programmes. For example: School Holiday programmes, Crèche facilities, after school programmes. NOTE: does not cover issues management or compliance. See under Compliance, Audit and Risk Management: Issues Management OR Compliance, Audit and Risk Management: Audits, Reviews and Evaluations	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D35

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
13.9	Human Resources and Personnel	Employment Documentation	Standard	Standard records that relate to the employment, establishment of positions, organisational and staffing structures. For example: position justification, desk files, position specifications, individual contracts, job evaluation / sizing of individual positions, organisational / establishment charts (that are not covered under Compliance, Audit and Risk Management), establishment files, restructuring information, administration of accommodation and housing assistance. NOTE: Does not include information placed in Personnel Files. See under Human Resources and Personnel: Personnel Files	Destroy	7 years after date of last action	D36
13.10	Human Resources and Personnel	Grievances, Disputes and Dismissals	by / of individual employees	Employee grievances, disputes, discrimination complaints, disciplinary matters, misconduct cases and dismissals. For example: records documenting individual cases. 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.	Destroy	7 years after date of last action	D37
13.11	Human Resources and Personnel	Health, Safety and Welfare (Employees)	Administration	Administration of OHS (Occupational, Health and Safety), employee welfare and support services such as safety administration, accident compensation claims / returns, vaccination and health checks, workplace support services (employee counselling), employee assistance programmes (EAP)	Destroy	7 years after date of last action	D35
13.12	Human Resources and Personnel	Health, Safety and Welfare (Employees)	Individual Employee Files	Records outlining occupational health and safety issues in a separate employee file that contains information summarised or reported elsewhere. For examples, incident, accident, near miss reports, Employee health information.	Destroy	10 years after last date of employment	D35
13.13	Human Resources and Personnel	Indices/Finding Aids	Employees	Employee indices and/or finding aids. For example, employee index cards, employee registers	Transfer to Archives New Zealand	10 years after date of last action	A36
13.14	Human Resources and Personnel	Industrial Relations	Administration	Records relating to the administration surrounding union discussions, negotiations, disputes etc. For example: facilitative correspondence.	Destroy	2 years after date of last action or when administratively no longer required, whatever is longer	D37

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
13.15	Human Resources and Personnel	Industrial Relations	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	Destroy	2 years after all conditions have been met and administratively no longer required	D37
13.16	Human Resources and Personnel	Industrial Relations	Negotiations, discussions, disputes with unions (significant)	Significant records covering major negotiations, discussions and disputes with unions that are not held by the Department of Labour, e.g. significant pay / salary rates and condition negotiations, strike action, stop works, lockouts, etc. Also includes including master records of national awards. For example: minutes of meetings, significant correspondence	Transfer to Archives New Zealand	10 years after date of last action	A34
13.17	Human Resources and Personnel	Leave	Employees	Documentation of the various types of leave requested and taken by employees. For example leave cards, leave balances, leave applications, leave approvals/confirmations , leave reports. NOTE: Does not include information placed on Personnel Files. See under Human Resources and Personnel: Personnel Files	Destroy	7 years after date of last action	D31
13.18	Human Resources and Personnel	Networks (Employees)	Significant input	Significant employee input to the formation of DHB decisions and policies, through employee networks and other similar empowering initiatives. For example meeting minutes, submissions and input into DHB policy development	Transfer to Archives New Zealand	10 years after date of last action	A13
13.19	Human Resources and Personnel	Organisational and Staffing Structures	Consolidated records	Consolidated summarised corporate level records that give the DHB organisational and staffing structures. For example consolidated organisational charts and annual consolidated summaries of employee establishment numbers and structure	Transfer to Archives New Zealand	10 years after date of last action	A21
13.20	Human Resources and Personnel	Performance Management and Employee Assessments	Employee Performance Administration	Records relating to the administrative / facilitative planning and evaluation of employee performance <i>not placed on personnel files</i> . For example managerial / facilitative records associated with employee performance plans, performance appraisal forms, employee performance agreements, assessment interviews, performance review reports, judgements/decisions after performance reviews etc. Also records to do with the administration of the performance management system. NOTE: for records placed on personnel files, see under Human Resources and Personnel: Personnel Files	Destroy	7 years after date of last action	D32

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
13.21	Human Resources and Personnel	Personnel Files	Chief Executive Officer	Personnel file of Chief Executive Officer	Transfer to Archives New Zealand	10 years after last date of employment	A29
13.22	Human Resources and Personnel	Personnel Files	Corporate 2nd Tier Managers/Statutory Officers	Personnel files of corporate level 2nd tier managers who report directly to the CEO and employees holding a statutory office designated in legislation. For example corporate level 2nd tier managers personnel files, statutory Officers personnel files	Transfer to Archives New Zealand	10 years after last date of employment. Records may need to be retained longer for administrative reasons, e.g., rights and entitlements to long service leave, superannuation etc	A29
13.23	Human Resources and Personnel	Personnel Files	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. e.g. Order of New Zealand, Order of Merit, honorary doctorates, academic medals, literary prizes, olympic medals, world titles. NOTE: This section should only be applied where such personnel files are easily identifiable	Transfer to Archives New Zealand	10 years after last date of employment	A30
13.24	Human Resources and Personnel	Personnel Files	Employees dismissed for Serious Misconduct or Major Criminal Offences	Personnel files of employees dismissed for serious misconduct or major criminal offences. 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, patient complaints etc	Destroy	10 years after last date of employment AND when administratively no longer required	D28
13.25	Human Resources and Personnel	Personnel Files	Employees killed or seriously injured while on duty	Personnel files of employees who in the course of their duties are killed or receive injuries that result in, permanent disability or serious injury.	Destroy	7 years after last date of employment AND when no administratively no longer required	D29

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
13.26	Human Resources and Personnel	Personnel Files	Non-clinical staff not covered by other sections under the sub-class Personnel Files	Personnel files of orderlies, administration, service support employees etc <i>excluding</i> clinical staff . 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	Destroy	7 years after last date of employment AND when administratively no longer required.	D30
13.27	Human Resources and Personnel	Personnel Files	Clinical staff not covered by other sections under the sub-class Personnel files	Personnel files of clinical employees who are in regular contact with patients / clients during their employment	Destroy	10 years after last date of employment AND when no administratively no longer required	D30
13.28	Human Resources and Personnel	Recruitment and Selection	Administration of	Day to day administrative and facilitative records relating to recruitment and selection. For example: 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. NOTE: Does not include employee screening. See under Compliance Audit and Risk Management: Security Vetting. Also does not include information placed in Personnel Files. See under Human Resources and Personnel: Personnel Files	Destroy	2 years after date of last action or when administratively no longer required, whatever is longer	D33
13.29	Human Resources and Personnel	Recruitment and Selection	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 DHBs. For example: high level / key information relating to Maori and Pacific Island recruitment, monitoring of programme effectiveness, targeted recruitment by gender	Transfer to Archives New Zealand	10 years after date of last action	A7
13.30	Human Resources and Personnel	Recruitment and Selection	International Recruitment Programmes	Significant / key summary documentation relating to the management of international recruitment programmes sponsored by DHBs. For example, summary reports on recruitment programme establishment / success etc	Transfer to Archives New Zealand	10 years after date of last action	A7

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
13.31	Human Resources and Personnel	Recruitment and Selection	National/Regional Recruitment Programmes	Significant / key summary documentation relating to the management of national and/or regional recruitment programmes sponsored by DHBs. For example: high level / key information to do with graduate recruitment, cadetships, apprenticeships, scholarships/bursaries, nurse / doctor recruitment	Transfer to Archives New Zealand	10 years after date of last action	A7
13.32	Human Resources and Personnel	Rental Payments and Agreements	Employee accommodation rental payments	Rental payments, accommodation agreements etc	Destroy	7 years after date of last action	D36
13.33	Human Resources and Personnel	Routine Returns		Routine Human Resources returns to external organisations. For example: Labour and Statistics Departments returns (i.e. stoppage returns to Labour Department), EEO returns to State Services Commission	Destroy	7 years after date of last action	D36
13.34	Human Resources and Personnel	Salary Rates and Ranges	for Occupational groups and positions	Salary / wage rates and ranges scales for employee occupational groups and positions that are not included within the collective agreement. For example, rates charts that show salary ranges for positions within occupation groups, salary progression summaries not in personnel files	Destroy	7 years after date of last action	D34
13.35	Human Resources and Personnel	Social Functions	Management and administration of (financial)	DHB records relating to the management and administration of official / formal and employee social functions that need to be kept for accounting purposes. For example: venue payments, bookings, catering payments.	Destroy	7 years after date of last action	D35
13.36	Human Resources and Personnel	Social Functions	Management and Administration of (non-financial)	Management and administrative records that facilitate official / formal and employee social functions 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). For example, non-financial venue administration, guest lists, invitations, catering correspondence	Destroy	2 years after last action or until administratively no longer required	D35
13.37	Human Resources and Personnel	Social / Sports Clubs (Employees)	Financial	Records relating to employee social activities and social/sports club records that need to be kept for accounting purposes. For example minutes, account records	Destroy	7 years after date of last action	D35
13.38	Human Resources and Personnel	Social / Sports Clubs (Employees)	Non-financial	Administrative records that facilitate employee social and sports clubs 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). For example, information on events, planning and arrangement documentation	Destroy	2 years after last action or until administratively no longer required	D35

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
13.39	Human Resources and Personnel	Summaries of Employee Histories	Summaries of personnel history from information systems documenting employee details	<i>As a minimum requirement</i> agencies are to produce a readily accessible summary record of all employees that contains employee information such as name, employment location, date of birth, positions held and salary, dates of employment, gender. The following information should <i>also be</i> contained in the summary records IF it can be readily produced: marital status, occupational grading level, educational qualifications, superannuation service summary. Specific examples for retention could be personnel file cover sheets (remove from personnel files), or employee summary sheets, or salary cards, or service schedules / records cards, or information within electronic databases etc. In more recent years this information is most likely to be in electronic form. NOTE: If a DHB is <i>unable to easily produce</i> personnel history summaries containing the above information, then it should contact Archives New Zealand <i>before</i> implementing instructions under Human Resources and Personnel: Personnel Files: Personnel Files of all other employees.	Transfer to Archives New Zealand	10 years after date of last action.	A31
13.40	Human Resources and Personnel	Superannuation and Medical Schemes	Administration of	Facilitation of material sent by external bodies. For example: Duplicates of documents held by external body, Information only records	Destroy	7 years after date of last action	D35
13.41	Human Resources and Personnel	State Services Commission and Employer Groups	DHB involvement with	Significant dealings with State Services Commission and/or employer groups (e.g. Employers Federation). For example: minutes of meetings, significant correspondence with unions	Transfer to Archives New Zealand	10 years after date of last action	A34
13.42	Human Resources and Personnel	Surveys of employees	Attitudes and concerns	Summary reports of surveys of employees' attitudes and concerns. For example: summary reports of survey results	Transfer to Archives New Zealand	10 years after date of last action	A32

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
13.43	Human Resources and Personnel	Training and Career Development (Employees)	Administration	Operational administration of training and career development for employees that do not need to be kept for accounting purposes. For example: training needs analysis, competency models and competency standards, course syllabi and curricula, training and development, staff rotation plans/schedules, career management planning, routine planning, course nominations, course attendance, timetabling, promotional information/brochures, course evaluations, promotion information. NOTE: Does not include information placed on Personnel Files. See under Human Resources and Personnel: Personnel Files	Destroy	2 years after date of last action or when administratively no longer required, whatever is longer	D38
13.44	Human Resources and Personnel	Training and Career Development (Employees)	DHB Training of Medical Specialists (Minor)	Administrative and low-level DHB input and involvement with medical training within the DHB. For example: exam papers, lecture notes, student administrative instructions etc	Destroy	2 years after date of last action or when administratively no longer required, whatever is longer	D38
13.45	Human Resources and Personnel	Training and Career Development (Employees)	DHB Training of Medical Specialists (Significant)	Summarised significant or significant examples of key records relating to DHB input and involvement with medical training carried out within the DHB. For example: transcripts of student records, curriculum / course programmes and materials. NOTE: Only one example of each curriculum / course programme / set of materials should be archived	Transfer to Archives New Zealand	10 years after date of last action	A8
13.46	Human Resources and Personnel	Training and Career Development (Employees)	Industry Training Organisations	Major DHB input and involvement with Industry Training Organisations and/or tertiary level training/academic institution. For example: DHB submissions, meeting minutes recording DHB input	Transfer to Archives New Zealand	10 years after date of last action	A35
13.47	Human Resources and Personnel	Training and Career Development (Employees)	Post-Study and Training Reports	Post evaluation reports for major study awards and training paid for by the DHB	Transfer to Archives New Zealand	10 years after date of last action	A35
13.48	Human Resources and Personnel	Training and Career Development (Patients)	Management of	Records relating to the management of training, schooling etc for patients. For example: correspondence with Ministry of Education, Correspondence School, DHB schools, school materials etc	Destroy	7 years after date of last action	D5

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
13.49	Human Resources and Personnel	Travel (Employee)	Administration (Financial)	Records relating to the management of travel by DHB employees that need to be kept for accounting purposes. For example: travel insurance, final travel plans, payment of travel club memberships (e.g. Koru Club), final arrangements from travel agents, accommodation bookings, taxi chits, final car rental arrangements, foreign exchange, bank drafts, travel advances and expenses. NOTE: Does not include travel information on personnel file. See under Human Resources and Personnel: Personnel Files	Destroy	7 years after date of last action	D36
13.50	Human Resources and Personnel	Travel (Employee)	Administration (Non-Financial)	Administrative records that facilitate travel for DHB 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). For example, 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	D36
13.51	Human Resources and Personnel	Volunteer Management	Administration	Records covering the administration, management of volunteers within the hospital. For example: rosters, correspondence. NOTE: if complaint is raised on file that results in legal action, significant DHB involvement, or investigation raises a major public health issue etc, see under Compliance, Audit and Risk Management: Complaints and Incidents	Destroy	2 years after last action or until administratively no longer required	D6
13.52	Human Resources and Personnel	Volunteer Management	Monitoring of Volunteers	Records covering the monitoring / reporting on volunteers within the hospital. For example, reports on volunteer behaviour. NOTE: if complaint is raised on file that results in legal action, significant DHB involvement, or investigation raises a major public health issue etc, see under Compliance, Audit and Risk Management: Complaints and Incidents	Destroy	7 years after last date of work and when administratively no longer required	D6
14	INFORMATION MANAGEMENT SYSTEMS AND SERVICES <i>Information Management Systems and Services cover the creation, monitoring, maintenance, administration etc of Information Technology, Information Systems (including records, library management), Information Control Systems and Mail and Distribution Management Systems.</i>						

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
14.1	Information Management Systems and Services	Administration		Administration of day to day routine / business as usual processes surrounding records and information systems. For example, administration of access and security, administration of linkage / updates to national information systems, administration of transcription services from written to electronic information, day to day administration of processes surrounding electronic document storage, mail, courier and distribution services, database management etc. Also administration of scanning, micrographic and imaging processes and services, administration of duplication, reproduction and copying services, allocation of equipment and services (e.g. shelving, computers, etc.). Specific examples may include: work requests, website logins, equipment requests and testing, domain name registration, records surrounding delivery of records to /from off-site storage etc. NOTE: For actual system administration, see under Information Management Systems and Services: Installation, testing and ongoing maintenance of systems.	Destroy	2 years after all conditions have been met or when administratively no longer required for reference purposes	D39
14.2	Information Management Systems and Services	Control and Location Indices/Guides	For significant systems and holdings	Finding aids (manual and electronic) that establish physical, administrative and intellectual control over significant clinical, corporate and non-clinical records (paper-based and electronic) and other significant informational holdings. That is, cards indices/catalogues, correspondence registers, letter books, registers to plans and maps, descriptive inventories, electronic indices, metadata (data about data), case file registers. For example high level risk registers, indexes to Board minutes and meetings.	Transfer to Archives New Zealand	10 years after system is defunct	A36
14.3	Information Management Systems and Services	Control and Location Indices/Guides	For non-significant systems and holdings	Finding aids (manual and electronic) that establish physical, administrative and intellectual control over records (paper-based and electronic) and other informational holdings that are summarised elsewhere, administrative and low level in nature. That is, cards indices/catalogues, correspondence registers, letter books, registers to plans and maps, descriptive inventories, electronic indices, metadata (data about data), case file registers. For example: Research Management Registers	Destroy	7 years after date of last action	D39

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
14.4	Information Management Systems and Services	Information System Structures	For routine, administrative, low - level systems and networks	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). For example: low level / administrative classification systems, file structure lists, data dictionary, data flow diagrams, data structures (e.g. files, trees, tables), schema, low-level in-house system development (e.g. development of low-level software), low-level DHB data models, information architecture, thesauri.	Destroy	7 years after date of last action	D39
14.5	Information Management Systems and Services	Information System Structures	For vital and significant systems and networks	Records that show the design and structure of vital and significant information systems and networks (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 or network (e.g. to recreate it after a major computer crash). Eg: classification and compliance systems, file structure lists, record location documentation, data dictionaries (e.g. entity relationship and data flow diagrams), data structures (e.g. files, trees, tables) and schema (e.g. file classification schemes). Also in-house systems development (e.g. development of software), DHB data models, information architecture, thesauri. NOTE: Does NOT apply to records WITHIN information systems. When a system becomes defunct, all records must be migrated to another system or remain accessible in the defunct system for the appropriate length of time outlined in the GDA. (Eg, for financial records, refer under Financial Records in the GDA.)	Destroy	10 years after system is defunct	D39

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
14.6	Information Management Systems and Services	Installation, testing, and ongoing maintenance	of systems and networks	Installation, testing and ongoing maintenance of information management systems (Peoplesoft, Payroll, Records Management, Finance Management, Customer Management, Document Management etc) AND networks. For example: installation and capacity planning, installation (e.g. modems, cabling, etc.) "as built", upgrade and modification documentation (eg test scripts, fixes, customisation), testing, network operations / monitoring, database management, user training manuals. NOTE: Does NOT apply to records WITHIN information systems. When a system becomes defunct, all records must be migrated to another system or remain accessible in the defunct system for <i>the appropriate length of time outlined in the GDA</i> . NOTE: Applies to existing information systems only. See also under Information Management Systems and Services: Administration. NOTE: For purchase, maintenance, operational, service contracts / agreements / licences see under Legal: legal agreements. NOTE: For procurement information , see under Procurement and Supply Management: Information Systems.	Destroy	Retain for active life of system	D34
14.7	Information Management and Systems	Internet / Intranet	Administration	Records relating to the ongoing administration / facilitation / management of DHB internet and intranet sites such as day to day web content updates, management and development meetings	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D39
14.8	Information Management Systems and Services	Internet / Intranet	Minor Development and Design	Low level / routine records detailing the development and design of DHB sites as well as minor site updates. For example administrative correspondence. NOTE: This section does not cover actual online websites and web pages. See Archives New Zealand's "Guide to Developing Recordkeeping Strategies for Websites".	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D39
14.9	Information Management Systems and Services	Internet / Intranet	Significant Development and Design	Summarised / significant records detailing the development and design of DHB sites, as well as significant site updates. NOTE: This section does not cover actual online websites and web pages. See Archives New Zealand's "Guide to Developing Recordkeeping Strategies for Websites".	Transfer to Archives New Zealand	10 years after date of last action	A36

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
14.10	Information Management Systems and Services	Library and Information Services	Management and operation of	Records relating to the operation of library and information services to internal and external customers. For example: publication ordering and purchasing, collection development and maintenance, library requests, issue records, indices and catalogues, interloan services, database connections, catalogues, reference services, deaccessioning of externally sourced holdings (e.g. selling, giving away)	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D39
14.11	Information Management Systems and Services	Mail and Distribution Services	Administration of	Records that administer / facilitate the administration of mail and courier, delivery services. For example: 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	D39
14.12	Information Management Systems and Services	Mail and Distribution Services	Operation of	Records detailing the day the day operation and management of mail and distribution services. For example: 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	D39
14.13	Information Management Systems and Services	Records Disposal Decisions	Records of disposal decisions prior to application of this General Disposal Authority	Records detailing ultimate disposal decisions for DHB records (both paper-based and electronic), not carried out under Archives New Zealand approved schedules. Examples include significant records disposal information such as registers, transit cards that contain disposal decisions, -in-house disposal decisions and schedules, annotated and electronic lists of records destroyed. For records disposed of under Archives New Zealand approved schedules, see under Records of Disposal Decisions under this General Disposal Authority. NOTE: Some records covered by this Section may also fall under Information Management Systems and Services: Control and Location Indices and Guides. For example, registers and indices giving disposal details.	Transfer to Archives New Zealand	10 years after date of last action	A9

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
14.14	Information Management Systems and Services	Records Disposal Decisions	Records of disposal decisions under this General Disposal Authority	Records detailing ultimate disposal decisions for DHB records (both paper-based and electronic), i.e. the retention and destruction of records under approved DHB GDA's signed off by the Chief Archivist. Examples include significant records disposal information such as Registers, Transit cards that contain disposal decisions), Disposal schedules, Appraisal reports, Annotated and electronic lists. NOTE: Some records covered by this section may also fall under Information Management Systems and Services: Control and Location Indices and Guides. For example, registers and indices giving disposal details. Core documentation relating to disposal decisions on DHB's records will be held by Archives New Zealand.	Destroy	DHB to retain permanently	D39
14.15	Information Management Systems and Services	Software	Development / Establishment of	Information surrounding the development of software in-house, as well as modifications to externally sourced software. For example: Programmes, applications, configuration files, set up routines, installers, patches, executables etc. NOTE: If removal / destruction of software results would result in the loss of the DHB data / metadata it originally managed, processes must be put in place to ensure that the data / metadata be maintained in an accessible form for the retention period outlined in the GDA IF that data / metadata is NOT accessible elsewhere. (For example, financial information must be kept for the retention period outlined under "Financial and Accounting" in the GDA.)	Destroy	Once software is defunct and / or new version installed and is no longer required for reference purposes	D39
14.16	Information Management Systems and Services	Software	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. NOTE: If removal / destruction of software results would result in the loss of the DHB data / metadata it originally managed, processes must be put in place to ensure that the data / metadata be maintained in an accessible form for the retention period outlined in the GDA IF that data / metadata is NOT accessible elsewhere. (For example, financial information must be kept for the retention period outlined under "Financial and Accounting" in the GDA.)	Destroy	After update is defunct and / or new version installed and is no longer required for reference purposes	D39
14.17	Information Management Systems and Services	System Development / Establishment	Minor	Administrative records that describe the facilitation of in-house system development as well as minor records of a short-term nature that have low-level compliance requirements. For example: Emails arranging meetings, correspondence discussing RFP responses, employee feedback, unsuccessful proposals and correspondence with unsuccessful vendors etc	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D39

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
14.18	Information Management Systems and Services	System Development / Establishment	Significant	Significant records providing evidence of the in-house development / commission of development / installation / rollout of any in-house or "off the shelf" information system. For example: RFP's, 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	Destroy	After system is defunct and all other records relating to the system have been destroyed according to the recommendations of this schedule	D39
	Information Management Systems and Services	User Guides	External and "Off the Shelf" systems	User guides for externally-developed software, hardware, programmes, systems etc. NOTE: For user guides developed within the DHB, see under Policy and Procedure: Master Documents	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 / programs.	D39
15	LEGAL <i>Legal records cover legal activities and processes by / for the DHB such as maintenance of legal agreements, contract management etc, as well as legal monitoring of issues and incidences that have impact on DHB business.</i>						
15.1	Legal	Administration		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. For example: contract templates, administrative and routine correspondence with Healthpac etc. NOTE: Does not cover the administration of Human Resources Contracts relating to Employees. See under Human Resource Management.	Destroy	7 years after date of last action	D7

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
15.2	Legal	Contract Management	Background information	Information on contractors, suppliers, products etc which help to obtain final contractual decisions. For example: 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	D7
15.3	Legal	Contract Management	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. Specific examples include development of IT maintenance agreements, minor / routine outsourcing contract documentation, routine ACC service contracts, general agency agreements / contracts with ACC and / or other accident insurers, summary documentation of provider contracts, internal and external insurance policies and portfolios etc. NOTE: Does not cover FINAL contracts. See under Legal: Legal Agreements. Does not cover the administration of Human Resources Contracts relating to Employees. See under Human Resource Management. Also does not cover Relationship Management Contracts and Agreements. See under Governance: Relationship Management	Destroy	7 years after all conditions have been met and administratively no longer required for reference, legal purposes	D7
15.4	Legal	Contract Management	Negotiation, Development and Facilitation of Contracts (Significant)	Records outlining the negotiation and facilitation of high level corporate / governance contracts and agreements as well as negotiations relating to new contracts (or significant variations to existing contracts) that use a significant amount of funding AND / OR have high levels of associated compliance / risk management. For example: Health Funding Authority Public Health contract negotiations / DHB negotiations, negotiations relating to significant health service contracts, significant outsourcing contracts and all joint venture contracts. NOTE: Does not cover FINAL contracts. See under Legal: Legal Agreements. Does not cover the administration of Human Resources Contracts relating to Employees. See under Human Resource Management. Also does not cover Relationship Management Contracts and Agreements. See under Governance: Relationship Management	Transfer to Archives New Zealand	When all conditions have been met and administratively no longer required for reference purposes	A26

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
15.5	Legal	Deeds of Title and Ownership		Certificates and other documents of title	Transfer to Archives New Zealand	10 years after date of last action or administratively no longer required for reference purposes	A28
15.6	Legal	Legal Action, Litigation, Claims and Disputes Involving the DHB	DHB records of	Significant records relating to civil legal action directly involving the DHB (e.g. court cases, dispute and mediation hearings, etc.), that are not held in the court or some other judicial body's records (Does not include employment mediation. See under Human Resources and Personnel: Employee Grievances. See also under Compliance, Audit and Risk Management: Issues Management). For example: legal advice, background summaries, negotiation before formal action, briefings and instructions to lawyers, out-of-court settlements, DHB-annotated copies of court records	Transfer to Archives New Zealand	10 years after date of last action	A10
15.7	Legal	Legal Action, Litigation, Claims and Disputes Involving the DHB	Implications of minor court and judicial decisions	Records covering the implications of minor civil court and judicial decisions for the DHB that have low level / short term compliance / risk management issues. (Does not include employment mediation. See under Human Resources and Personnel: Employee Grievances. See also under Compliance, Audit and Risk Management: Issues Management). For example: Reports, briefs, reviews or similar research.	Destroy	10 years after date of last action and administratively no longer required for reference purposes	D8
15.8	Legal	Legal Action, Litigation, Claims and Disputes Involving the DHB	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 DHB functions, policies, processes etc and / or that have major ongoing compliance / risk management issues.	Transfer to Archives New Zealand	10 years after all conditions have been met and administratively no longer required for reference purposes	A11
15.9	Legal	Lease Agreements		Lease agreements such as leasing agreements and contracts on expensive captial items, lease and rental agreements on tenanted DHB properties. For example signed lease and rental agreements and revisions, lease agreements on buildings, land, major plant etc	Destroy	20 years after termination of lease	D26

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
15.10	Legal	Legal Agreements	Minor	Minor legal agreements and licenses signed or monitored by DHB, such as service contracts and leases, software licences. Also routine contracts and specifications for supply, purchase, services, rentals. For example: internal service level agreements, minor IT maintenance contracts and agreements, stationery and supply purchase agreements, maintenance agreements such as minor operational level agreements, telephone and equipment rentals, cleaning contracts etc	Destroy	7 years after date of last action and when licence / agreement void.	D26
15.11	Legal	Legal Agreements	Significant	Final major contracts agreements and related specifications signed by the DHB that incur significant revenue / expenditure associated with operational and/or capital funding, and / or relate to statutory or core functions and place major liability / obligations on the DHB in terms of compliance or risk management. This includes records that cover major agreements with external organisations that have been contracted and / or funded to provide and / or deliver health services to the public / community. Examples include: cost recovery agreements between DHBs and external agencies for cost recovery of services, significant health service agreements and contracts with external providers that outline the services to be provided, performance standard and / or funding level, original purchase contract for major capital assets, agreements that commit the expenditure of a significant proportion of DHB funding, successful partnership agreements with significant business partners or service agreements with service providers that involve significant resourcing, significant operational level agreements.	Transfer to Archives New Zealand	10 years after date of last action and when all conditions have been met and administratively no longer required for reference purposes	A26
15.12	Legal	Legal Opinions	Minor	Records that review and comment on minor / routine DHB internal processes or decision making that does not escalate to management or legal action and set no significant precedent. For example: commentary on DHB reports to external agencies such as the Coroner, the Privacy Commissioner etc, reviews of project finance or procurement, reviews of research findings, opinions on HDC code of rights and general minor privacy / procurement and supply / HR medico-legal advice and oversight etc	Destroy	7 years after date of last action	D8

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
15.13	Legal	Legal Opinions	Significant	Records covering: Legal opinions and advice on significant legal issues and events that are escalated to top management or to legal action, legal opinions on significant clinical research, precedent-setting legal opinions relating to DHB policies and / or practices within the DHB, interpretations of DHB's own legislation and its statutory responsibilities.	Transfer to Archives New Zealand	10 years after date of last action	A10
15.14	Legal	Legislation	Development, amendment, drafting by DHB	Records covering the significant development, amendment and / or substantive drafting of legislation administered by DHB or the review of legislation administered by the DHB including submissions (and submission summaries), substantive legislative drafts, legislative review reports, legal advice on legislation, explanatory reports / notes, working party deliberations (e.g. inter-DHB working groups), update reports to Chief Executive, Ministers and Cabinet Legislative Committee. Examples include: DHB consultation with stakeholder and/or interested parties (e.g. comments from agencies and individuals. NOTE: Non-substantive legislative drafts may be destroyed when administratively no longer required)	Transfer to Archives New Zealand	10 years after date of last action	A12
15.15	Legal	Legislation	Introduction of New or Amended Legislation	Significant records relating to the introduction of new or amended legislation administered by the DHB. For example: implementation plans, transfer of functions to / from other agencies, inter-agency agreements, internal DHB working groups	Transfer to Archives New Zealand	10 years after date of last action	A12
15.16	Legal	Legislation	Parliamentary Counsel Office	Communication between DHB and Parliamentary Counsel Office. For example: drafting instructions.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D7
15.17	Legal	Legislation	Minor Input	DHB's low level input / minor comments on statutory regulations administered by other agencies OR routine / low-level submissions on legislation that does not contain any significant input. For example minor comments on other agencies' regulations such as acknowledgement replies that contain no DHB specific input or comments, 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	D7

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
15.18	Legal	Legislation	Significant input	Significant records covering the DHB's requests for new and / or changes to regulations under legislation administered by the DHB, and any significant / major input or comments on regulations administered by other agencies OR significant DHB submissions and input regarding legislation that impacts on the DHB's function, activities and / or jurisdictions. For example: DHB requests to introduce or amend regulations, rationale for regulations, original signed Orders in Council, major comments on other agencies' regulations, written submissions by the DHB, management briefing notes / papers for DHB attendance at Cabinet and Select Committees.	Transfer to Archives New Zealand	10 years after date of last action	A12
15.19	Legal	Property Access and Concession Rights (Fixed Term)	Agreements	Agreements granted by or to the DHB that give fixed-term property access and concession rights (e.g. right of way, easements, concessions, land encroachments, irrigation agreements, etc.). For example: copies of agreements, and associated documents (e.g. plans, diagrams). NOTE: This section does not cover leases. See under Legal: Lease Agreements	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D41
15.20	Legal	Property Access and Concession Rights (In Perpetuity)	Agreements	Agreements granted by or to the DHB that give property access and concession rights in perpetuity (e.g. right of way, easements, concessions, land encroachments, irrigation agreements, etc.) For example: master copy of agreement and associated documents. NOTE: This section does not cover leases. See under Legal: Lease Agreements	Destroy	2 years after last action (eg sale or disposal of property) or until administratively no longer required, whichever is longer	D41
16	POLICY AND PROCEDURE RECORDS <i>Policy and Procedure Records is a "catch all" for all records, documentation etc that develops, describes, instructs, informs etc on DHB policy, procedure, activities, processes, best practice. For reviews of risk, analysis of issues etc associated with the use of these records, see under Compliance, Audit and Risk Management.</i>						
16.1	Policy and Procedure	Administration		Records developed to facilitate / organise the development and implementation of policies, procedures, directives and instructions and their review cycle	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D9

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
16.2	Policy and Procedure	Development of	Minor	Documentation that provides explanation and / or reasoning that has minor or short term effect on areas such as DHB management, employees, employee activities, or patients / clients. For example: development of travel card procedures, development of facilitative financial procedures	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D9
16.3	Policy and Procedure	Development of	Significant	Key documentation that provides explanation and / or reasoning for policies, procedures etc that are key or wide-ranging in nature and that have significant and ongoing business / compliance impact on areas such as DHB management, employees, employee activities, or patients / clients that is not summarised elsewhere	Transfer to Archives New Zealand	10 years after date of last action	A13
16.4	Policy and Procedure	Master Documents	Minor Financial	Final copies of financial policies, procedures etc as well as policies and procedures to do with the facilitation of financial activities. For example: FBT, GST, PAYE policies or payment procedures	Destroy	7 years after date of last action	D21
16.5	Policy and Procedure	Master Documents	Minor (short term compliance)	Records that provide the final record of a policy, procedure etc that focuses on internal, administrative activities with low compliance risk such as the documentation of routine administrative processes, and low level internal documented instructions. For example: low-level user guides for in-house systems, instructions on routine office procedures, documentation of routine administrative processes, and low-level internal instructions (e.g. data input codes) , library policy, records retention and disposal schedules, processes and guidelines for DHB publications.	Destroy	2 years after superseded or until administratively no longer required, whichever is longer	D9
16.6	Policy and Procedure	Master Documents	Minor (ongoing compliance)	Records that provide the final record of a policies, procedures etc that focus on minor / administrative activities BUT need to be kept longer for compliance / risk reasons. For example, HR and recruitment policies and procedures such as time recording requirements, training procedures, instruction on applying for allowances, travel policy, IT policies, property management policies and procedures. NOTE: If policies refer to DHB - 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.	Destroy	7 years after superseded and administratively no longer required	D9

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
16.7	Policy and Procedure	Master Documents	Significant	Provides the final record of policies, procedures etc that have significant / wide ranging influence on areas such as DHB governance, accountability, relations, patient / client care and management , financial / business decision making, and corporate and strategic finance and accounting. For example: board policies and procedures, quality management systems relating to significant health services, complaint and incident management policies, clinical care policies, public relations policy, DHB corporate vision statements, DHB legal manuals, information services policy, corporate circulars / instructions, legal authorisations given by or to the DHB to undertake major operational activities), policy and procedure manuals such as pandemic plans, standard conditions of employment, standards of practice and accommodation, personnel and staff circulars, guidelines for employee relations, codes of conduct, internal audit criteria, policy on financial management information systems, environmental management guidelines, District Nursing Protocols	Transfer to Archives New Zealand	Once superseded and administratively no longer required for reference purposes	A22
17	POPULATION HEALTH <i>Population Health records relate to public health concerns, issues etc and the monitoring of agencies, processes and procedures that relate to those concerns or issues</i>						
17.1	Population Health	Air Quality	Administration	Records that facilitate the administrative processes associated with DHB monitoring and review of air quality	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D10(b)

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
17.2	Population Health	Air Quality	Monitoring of (IF significant information is available elsewhere in the DHB or is being transferred from the relevant external agency).	DHB records that monitor, investigate and report on indoor and outdoor air quality <i>as a service to external agencies</i> , as well as significant background information from associated agencies. NOTE: if investigation results in legal issues / action, significant DHB involvement, or investigation raises a major public health issue etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal. NOTE: Does not cover DHB resource consents or master plans. See under Compliance, Audit and Risk Management: Resource Consents or Policy and Procedure: Master Documents.	Destroy	20 years after date of last action	D11(a)
17.3	Population Health	Air Quality	Monitoring of (IF significant information not available elsewhere in the DHB or is not being transferred from the relevant external agency. Discuss with Archives New Zealand prior to disposal.)	DHB records that monitor, investigate and report on indoor and outdoor air quality <i>as a service to external agencies</i> , as well as significant background information from associated agencies. NOTE: if investigation results in legal issues / action, significant DHB involvement, or investigation raises a major public health issue etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal. NOTE: Does not cover DHB resource consents or master plans. See under Compliance, Audit and Risk Management: Resource Consents or Policy and Procedure: Master Documents.	Transfer to Archives New Zealand	20 years after date of last action	A15(a)

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
17.4	Population Health	Child Care Centres	Monitoring of and reporting to external agencies.	DHB records that monitor, investigate and report <i>to external agencies</i> (such as the Ministry of Education and the Early Childhood Development Unit) on child care premises, as well as significant background information from agencies that relate to investigations etc. NOTE: if investigation results in legal action, significant DHB involvement, or investigation raises a major public health issue etc, see also under Compliance, Audit and Risk Management: Complaints and Incidents, or under Legal. NOTE: for childcare centres and services provided by the DHB to its employees, see also under Human Resources and Personnel Management; Child Care Services for DHB Employees	Destroy	20 years after date of last action	D11(b)
17.5	Population Health	Civil Defence	Administration	Facilitation of DHB planning as well as background information from external agencies such as Civil Defence and Territorial Local Authorities (TLAs). For example national and regional plans, training information, key contact lists, and copies of local and regional civil defence plans from Civil Defence, as well as records relating to DHB health planning for civil emergencies. NOTE: Does not cover master plans created by the DHB. See under Policy and Procedure: Master Documents.	Destroy	2 years after plan superceded or until administratively no longer required, whichever is longer	D10
17.6	Population Health	Civil Defence	DHB involvement with	Significant / high-level records relating to significant DHB involvement in Civil Defence emergencies such as floods, fires, pandemics etc. For example, aftermath reports, plans of action.	Transfer to Archives New Zealand	10 years after date of last action	A14
17.7	Population Health	Communicable Disease Control	Administration	Records that outline the administration processes relating to internal facilitation as well as administrative communication with external agencies such as the facilitation of information into national databases	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D10(c)

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
17.8	Population Health	Communicable Disease Control	Monitoring of	DHB records that relate to the monitoring and reporting of disease outbreaks etc within the DHB area, as well as significant background information from agencies that relate to investigations etc. NOTE: Does not include records of DHB clinical services <i>in response</i> to outbreaks or clinical records relating to outbreaks. (See under Clinical section of the GDA). Does not include DHB master plans. (See under Policy and Procedure: Master Documents). If investigation results in legal issues / action, significant DHB involvement, or raises a major public health issue etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal.	Destroy	20 years after date of last action	D11(c)
17.9	Population Health	Community Services	Community Health Monitoring	Records created within the DHB that monitor general community health issues, as well as any significant background information from external agencies that relate to DHB investigations etc, for example, cervical and breast screening programmes. NOTE: Does not cover master plans created by the DHB. (See under Policy and Procedure: Master Documents). Does not cover programmes developed by the DHB that promote / monitor etc community health (See under Project Management: Programmes) or DHB clinical advice or monitoring. (See under Clinical). Also does not cover patient results of any monitoring programme (see Patient File)	Destroy	20 years after date of last action	D11(d)
17.10	Population Health	Dental Health Care	Administration	Records that outline the administration processes relating to the provision of DHB dental health care to the public as well as administrative communication with external agencies such as the facilitation of information into national databases. For example, staff weekly lists, training registers, stationery orders, monthly returns	Destroy	2 years after last action or until administratively no longer required, whichever is longer	D10(d)
17.11	Population Health	Environmental Health	Administration	Records that outline the administration processes relating to internal facilitation as well as administrative communication with external agencies about areas such as the facilitation of information relating to routine approvals, placement of information into national databases etc	Destroy	7 years after date of last action	D10(e)

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
17.12	Population Health	Environmental Health	Monitoring of	DHB records that monitor and report on possible environmental health issues within the DHB area as a service to external agencies . Areas include environmental noise, lead contamination, radioactivity, offensive trades and nuisances, toxic substance spills, 1080 drops, aerial spraying, liquid waste issues, hazardous waste disposal, rifle ranges, health issues relating to resource management and environmental impact reports, public health submissions on resource consents, shellfish quality, smoke-free environments etc. NOTE: if investigation results in legal issues / action, significant DHB involvement, sets a precedent or raises a major public health issue or concern etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal. NOTE: Does not cover DHB resource consents or master plans. See under Compliance, Audit and Risk Management: Resource Consents or Policy and Procedure: Master Documents. Also does not include DHB clinical monitoring / testing / notifications on individuals. (See under Clinical).	Destroy (IF significant information is available elsewhere in the DHB or is being transferred from the relevant external agency.)	20 years after date of last action	D11(e)
17.13	Population Health	Environmental Health	Monitoring of (IF significant information not available elsewhere in the DHB or is not being transferred from the relevant external agency. Discuss with Archives New Zealand prior to disposal.)	DHB records that monitor and report on possible environmental health issues within the DHB area as a service to external agencies . Areas include environmental noise, lead contamination, radioactivity, offensive trades and nuisances, toxic substance spills, 1080 drops, aerial spraying, liquid waste issues, hazardous waste disposal, rifle ranges, health issues relating to resource management and environmental impact reports, public health submissions on resource consents, shellfish quality, smoke-free environments etc. NOTE: if investigation results in legal issues / action, significant DHB involvement, sets a precedent or raises a major public health issue or concern etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal. NOTE: Does not cover DHB resource consents or master plans. See under Compliance, Audit and Risk Management: Resource Consents or Policy and Procedure: Master Documents. Also does not include DHB clinical monitoring / testing / notifications on individuals. (See under Clinical).	Transfer to Archives New Zealand (IF significant information not available elsewhere in the DHB or is not being transferred from the relevant external agency. Discuss with Archives New Zealand prior to disposal.)	20 years after date of last action	A15(e)

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
17.14	Population Health	Food Safety	Monitoring of Licences	DHB records that monitor and report on food safety and suspected food borne illnesses that are not specifically related to monitoring of licensed premises <i>as a service to external agencies</i> . NOTE: if investigation results in legal issues / action, significant DHB involvement, or investigation raises a major public health issue etc, see under Compliance, Audit and Risk Management: Issues Management, or under Legal.	Destroy	7 years after licence revoked / business closed AND premises no longer used as a licensed premises	D11(f)
17.15	Population Health	Housing and Health	Monitoring of	DHB records that monitor and report on housing and health issues within the DHB area, their effect on town planning etc <i>as a service to external agencies</i> as well as significant background information from agencies that relate to investigations etc. NOTE: if investigation results in legal issues / action, significant DHB involvement, or raises a major public health issue etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal. NOTE: Does not cover DHB resource consents or master plans. See under Compliance, Audit and Risk Management: Resource Consents or under Policy and Procedure: Master Documents.	Destroy	20 years after date of last action	D11(g)
17.16	Population Health	Premises	Administration	DHB records that outline the administration and facilitation of DHB premises monitoring services that are carried out for external agencies. For example license monitoring liaison with NZFSA, programme registration etc	Destroy	7 years after date of last action	D10(f)
17.17	Population Health	Premises	Monitoring of Licences	DHB records that monitor and report on licensed premises holding licenses such as Liquor Licenses, Hazardous Substances / Poisons Licenses or Food Safety Licenses etc <i>as a service to external agencies</i> . Also includes fumigation notifications. NOTE: if investigation results in legal issues /action, significant DHB involvement, or investigation raises a major public health issue etc, see under Compliance, Audit and Risk Management: Issues Management, or under Legal. NOTE: Does not cover DHB resource consents or master plans. See under Compliance, Audit and Risk Management: Resource Consents or under Policy and Procedure: Master Documents.	Destroy	7 years after licence or notification expired / revoked OR business closed AND premises no longer used as a licensed premises	D11(h)

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
17.18	Population Health	Quarantine Health	Administration	Records that outline the administration processes relating to internal facilitation as well as administrative communication with external agencies about areas such as rodent control certification etc	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D10(g)
17.19	Population Health	Quarantine Health	Monitoring of	DHB records that monitor and report on quarantine and health issues within airports and ports within the DHB area as a <i>service to external agencies</i> and their resolution / control. Includes monitoring of biosecurity. NOTE: if investigation results in legal issues / action, significant DHB involvement, or raises a major public health issue etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal.	Transfer to Archives New Zealand (IF significant information not available elsewhere in the DHB or is not being transferred from the relevant external agency. Discuss with Archives New Zealand prior to disposal.)	7 years after date of last action and no longer required for legal purposes	A15(h)
17.2	Population Health	Solid Waste Disposal (Non-DHB)	Administration	Records that outline the administration processes relating to internal facilitation as well as administrative communication with local councils etc	Destroy	7 years after date of last action	D10(h)

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
17.21	Population Health	Solid Waste Disposal (Non-DHB)	Monitoring of	DHB records that monitor and report on solid waste disposal and associated management plans, issues as a <i>service to external agencies</i> such as local councils. NOTE: if investigation results in legal issues / action, significant DHB involvement, or investigation raises a major public health issue etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal. NOTE: Does not cover DHB resource consents or master plans. See under Compliance, Audit and Risk Management: Resource Consents or under Policy and Procedure: Master Documents.	Transfer to Archives New Zealand (IF significant information not available elsewhere in the DHB or is not being transferred from the relevant external agency. Discuss with Archives New Zealand prior to disposal.)	20 years after date of last action and / or landfill / station closed.	A15(i)
17.22	Population Health	Tobacco Control	Administration	Records that outline the administration and facilitation of processes relating to monitoring of legislation and health promotion etc well as administrative communication with external agencies relating to ongoing monitoring, control etc. NOTE: Does not cover DHB master plans or DHB programmes relating to smoke-free initiatives. See under Policy and Procedure: Master Documents or under Project Management: Programmes.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D10(j)
17.23	Population Health	Tuberculosis	Administration	Records that outline the administration and facilitation of processes relating to internal avoidance and control as well as administrative communication with external agencies relating to ongoing monitoring, avoidance, control etc. NOTE: Does not cover DHB master plans. See under Policy and Procedure: Master Documents.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D10(k)
17.24	Population Health	Water Quality	Administration	Records that outline the administration processes relating to internal facilitation as well as administrative communication with external agencies such as the Ministry of Health about areas such as placement of information into national databases, equipment maintenance, training etc	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D10(i)

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
17.25	Population Health	Water Quality	Monitoring of	DHB records that monitor and report on the quality of drinking water supplies and recreational waters within the DHB area as a <i>service to external agencies</i> . Includes water quality reports, microbiological surveillance, water sample results, grading and registration of drinking water for community supplies, monitoring of issues such as fluoridation, oil spills and chemical contamination. NOTE: if investigation results in legal issues / action, significant DHB involvement, or investigation raises a major public health issue etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal. NOTE: Does not cover DHB resource consents or master plans. See under Compliance, Audit and Risk Management: Resource Consents or Policy and Procedure: Master Documents.	Transfer to Archives New Zealand (IF significant information not available elsewhere in the DHB or is not being transferred from the relevant external agency. Discuss with Archives New Zealand prior to disposal.)	20 years after date of last action	A15(j)
17.26	Population Health	Water Quality	Monitoring of	DHB records that monitor and report on the quality of drinking water supplies and recreational waters within the DHB area as a <i>service to external agencies</i> . Includes water quality reports, microbiological surveillance, water sample results, grading and registration of drinking water for community supplies, monitoring of issues such as fluoridation, oil spills and chemical contamination. NOTE: if investigation results in legal issues / action, significant DHB involvement, or investigation raises a major public health issue etc, see also under Compliance, Audit and Risk Management: Issues Management, or under Legal. NOTE: Does not cover DHB resource consents or master plans. See under Compliance, Audit and Risk Management: Resource Consents or Policy and Procedure: Master Documents.	Destroy (IF significant information is available elsewhere in the DHB or is being transferred from the relevant external agency.)	20 years after date of last action	D11(k)
18	PROCUREMENT AND SUPPLY MANAGEMENT <i>Procurement and supply records relate to the purchase, ordering, transfer, supply, disposal etc of assets, supplies, items etc required by DHBs</i>						
18.1	Procurement and Supply Management	Disposal of Assets	Major Capital Assets	Records detailing sale, transfer, disposal and/or write-offs of major capital assets. For example: Sale agreements and contracts, Asset transfer agreements	Transfer to Archives New Zealand	10 years after date of last action	A28

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
18.2	Procurement and Supply Management	Information Systems	Purchase of (manual and electronic)	Records dealing with the purchase of information management systems, including both manual and electronic systems. For example: system specifications, development and acquisition, successful IT proposals, correspondence with vendors. NOTE: Does not cover contracts, agreements, licences. See under Legal: Legal Agreements. Does not cover unsuccessful IT proposals. See under Information Management Systems and Services: System Development / Establishment: Administration.	Destroy	Keep current while system is active and destroy when system is defunct.	D27
18.3	Procurement and Supply Management	Stationery	Acquisition and disposal	Records dealing with acquisition and disposal of stationery, including forms. For example: order/purchase documentation, stock and inventory records, service contract and requisition orders, paper recycling and document destruction.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D27
18.4	Procurement and Supply Management	Stores, supplies, fixtures, fittings and plant / equipment	Procurement, issue, disposal of	Records documenting the procurement, issue and disposal of stores, supplies and equipment, both within the DHB and provided to patients and employees. Also records relating to procurement, issue of fixture and fittings, e.g. office furniture, furnishings, floor coverings, etc. For example: Freight consignments and delivery dockets, Stock records and inventories, Tender documentations, Sales brochures and information, Order/purchase documentation, Service contracts and requisition orders, Financial authority forms, Equipment supply forms.	Destroy	7 years after date of last action	D27
18.5	Procurement and Supply Management	Tender Documentation	Records of tenders made by the DHB, and by suppliers to the DHB	Tender records of successful and unsuccessful bidders	Destroy	7 years after date of last action	D26

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
18.6	Procurement and Supply Management	Uniform / Wardrobe (Employees)	Selection, design, allocation	Records covering the selection and allocation of clothing and associated items worn by employees, as well as records outlining final design and description of clothing. For example, the selection of uniform process, employees input / comments on corporate wardrobe, distribution of uniforms to employees	Destroy	2 years after date of last action or until administratively no longer required for reference purposes, whichever is longer	D27
18.7	Procurement and Supply Management	Vehicles	Records relating to the purchase, hire, and disposal of DHB vehicles	Acquisition documentation, staff arrangements for hire	Destroy	7 years after date of last action	D27
19	PROJECT MANAGEMENT <i>Project management records record the administration, maintenance, monitoring of DHB-related projects, big or small</i>						
19.1	Project Management	Administration		Records that administer or facilitate the processes of project establishment, maintenance and reporting	Destroy	2 years after date of project completion, or when superseded / administratively no longer required , whichever is longer	D12
19.2	Project Management	Project Maintenance	Minor Non-Property, Non-Financial	Records that document the day to day establishment / maintenance of minor / administrative projects that have low -level effect on the DHB's operations. For example time management reports, project management charts. NOTE: For IT projects, see under Information Management Systems and Services. For minor property projects, see under Property and Asset Management: Construction, Works and Engineering. For financial maintenance of projects see under Financial and Accounting	Destroy	2 years from date of completion or until administratively no longer required, whichever is longer	D12

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
19.3	Project Management	Project Maintenance	Significant Non-Property, Non-Financial	High level records that document the establishment / maintenance of capital or significant projects that either have a key or wide ranging effect on the DHB's operations, or have ongoing relevance to DHB business. For example, final reports. NOTE: for significant IT projects, see under Information Management Systems and Services. For significant property projects, see under Property and Asset Management: Construction, Works and Engineering. For financial maintenance of projects see under Financial and Accounting	Transfer to Archives New Zealand	10 years from date of last action	A16
19.4	Project Management	Programmes	External	Records that administer DHB's registration and participation in programmes that are run by external agencies	Destroy	2 years after date of last action or until administratively no longer required	D12
19.5	Project Management	Programmes	Maintenance (Minor)	Records that document the establishment and maintenance of minor programmes that have a low level / administrative effect on the DHB's operations, or have short-term relevance to DHB business, such as the development of education and training	Destroy	7 years after date of last action	D12
19.6	Project Management	Programmes	Maintenance (Significant)	Vital / Significant records that document at a high level the establishment, maintenance of capital or significant programmes that have a key or wide ranging effect on DHB operations, or have ongoing relevance to DHB business, e.g. Immunisation programmes	Transfer to Archives New Zealand	10 years after date of last action	A16
20	PROPERTY AND ASSET MANAGEMENT <i>Property and Asset Management records outline the development and ongoing maintenance of property and assets</i>						
20.1	Property and Asset Management	Assets	Compliance (minor)	Records that document the recording of minor capital assets for legal and compliance requirements. For example, fixed asset register	Destroy	7 years after date of last action	D22
20.2	Property and Asset Management	Assets	Compliance (significant)	Records that document consolidated major capital assets for legal and compliance requirements e.g. consolidated major capital assets register listing buildings, major plant and equipment etc	Transfer to Archives New Zealand	10 years after date of last action	A22
20.3	Property and Asset Management	Compliance	Administration	Records that facilitate the building compliance process. For example: code of compliance facilitation, defect notices, background to building codes and building warrants of fitness etc	Destroy	7 years after date of last action	D41

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
20.4	Property and Asset Management	Compliance	Compliance and Approval Certificates	Approval and compliance certificates for DHB owned buildings and major construction works and engineering	Transfer to Archives New Zealand	10 years after superseded	D41
20.5	Property and Asset Management	Construction, Works and Engineering	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. For example: Drawings / plans, records of methods and designs used, project progress and inspection summary reports, approval certificates. NOTE: For legal agreements see under Legal: Legal Agreements (Minor)	Destroy	7 years after date of last action	D41
20.6	Property and Asset Management	Construction, Works and Engineering	Projects (Significant)	Significant original or master records relating to significant construction, works and engineering projects undertaken by or on behalf of the DHB. For example DHB properties involving large capital expenditure, that are purpose-designed and built, that result in DHB ownership of a significant capital asset, or involve construction of a first-type standard design. (This also includes minor types such as wards, 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). Records include: records of methods and designs used, summary project progress and inspection reports by architects and contractors, environmental reports. NOTE: For legal agreements see under Legal: Legal Agreements (Minor)	Transfer to Archives New Zealand	10 years after date of last action	A38
20.7	Property and Asset Management	Hazardous Substances	Management of	Records documenting the presence, installation, use, neutralisation and / or disposal of hazardous substances (e.g. asbestos, toxic waste, radioactive substances, etc) on property, premises, facilities and land owned or rented / leased by the DHB. Record examples include: locations, nature of the hazardous substances, risk evaluations, preventive and safety measures, disposal / neutralisation measures	Transfer to Archives New Zealand	10 years after date of last action	A38

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
20.8	Property and Asset Management	Land Claims over DHB property	Records covering Maori claims	Significant records covering Maori claims on assets and/or resources owned and /or administered by DHB, investigations into claim, negotiations and claim settlements, details of sale and / or disposal. For example, significant correspondence and reports. NOTE: See also under Compliance, Audit and Risk Management: Treaty of Waitangi and Partnership Issues	Transfer to Archives New Zealand	10 years after date of last action	A38
20.9	Property and Asset Management	Patents and Trade Marks	Records of patents and trade marks owned by DHB	Certificates of ownership	Transfer to Archives New Zealand	10 years after date of last action	A28
20.10	Property and Asset Management	Property, Assets, Buildings	Routine Management	Provision of building services (e.g. cleaning, heating, refrigeration, power, gardening, lifts, pumping, lighting, pest control, furnishings, air-conditioning), provision of accommodation (e.g. layout planning, space allocation, parking, plant/equipment), telecommunications (e.g. systems installation and maintenance systems, telephone extension allocation), occupational health and safety, rent /rates and valuations, directional signage, accommodation moves, building warrant of fitness, fire protection, building certification, energy conservation, booking rooms and venues, building registration, naming, numbering, notification of plant, electrical, reticulation shutdowns, building management systems, provision of storage for equipment, records, routine maintenance of waste management	Destroy	7 years after date of last action	D41
20.11	Property and Asset Management	Security	Buildings and Facilities (Minor)	Low level / minor routine management and administration of security (both physical and electronic) of buildings and facilities. For example: 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	D41
20.12	Property and Asset Management	Security	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. For example: Installation of security equipment, minor security breaches/infringements, administration surrounding the engagement of security firms, Inspection reports.	Destroy	7 years after date of last action	D41

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
20.13	Property and Asset Management	Site Plans and Building Details	DHB-owned property	Original or master copies of site plans and building details of DHB-owned property. For example: final building specifications, final plans (e.g. floor plans), final drawings (e.g. site elevations), plan/map registers and indexes, final construction designs / plans and specifications (e.g. as built plans / specifications). NOTE: Records covering the following may be destroyed when administratively no longer required: duplicates and copies of records of the former Ministry of Works and Government Accommodation Board, minor and/or standard structures/alterations and plans used only for accommodation allocation (e.g. furniture layouts). Original / master copies of plans from satellite hospitals etc must be retained for appraisal by Archives New Zealand	Transfer to Archives New Zealand	10 years after date of last action	D41
20.14	Property and Asset Management	Site Plans and Building Details	Non-DHB property	Records of site plans and building details of property not owned by the DHB (e.g. rented, leased) such as building specifications, Plans (e.g. floor plans) and Drawings (e.g. site elevations)	Destroy	7 years after end of lease	D41
20.15	Property and Asset Management	Stores, supplies, fixtures, fittings and plant / equipment	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. For example: 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	D27
20.16	Property and Asset Management	Tea Room, Cafeteria and Food Service Facilities	Administration and Maintenance	Records that cover administration and property maintenance of employee and patient lunch areas, cafeteria, tea/coffee making, kitchens, catering, etc. For example: 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	D41
20.17	Property and Asset Management	Tenanted DHB Properties	Management of	Records covering the leasing and rental of property owned and/or administered by the DHB. For Example: Correspondence with tenants, and Lists of tenants	Destroy	7 years after date of last action.	D41
20.18	Property and Asset Management	Vehicles	Maintenance	Records relating to the maintenance, service, operation of DHB vehicles. For example: damage reports, fleet / vehicle maintenance, fleetcard records, vehicle running sheets etc	Destroy	7 years after date of last action	D27
21	PUBLIC RELATIONS AND COMMUNICATIONS						

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
Public Relations and Communications Records outline how DHBs communicate with external agencies in official or promotional ways							
21.1	Public Relations and Communications	Administration	Financial	Administrative records relating to the management of Public Relations and Communications etc that need to be kept for accounting purposes. For example, 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	D40
21.2	Public Relations and Communications	Administration	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). For example, 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 DHB material held under copyright, general enquiries from public, subscription lists, administration of VIP visits such as foreign exchange, thank you notes, travel itineraries, security, transportation, etc	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D40
21.3	Public Relations and Communications	Campaigns	Administration of (financial)	Records that cover DHB administrative and facilitative support when it comes to the development and organisation of national or local campaigns that need to be kept for accounting purposes. For example, accounting information relating to campaign payments.	Destroy	7 years after date of last action	D40
21.4	Public Relations and Communications	Campaigns	Administration of (non-financial)	Records that cover DHB administrative and facilitative support when it comes to the development and organisation of national or local campaigns 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). For example, minor correspondence relating to organisation of brochure printing.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D40
21.5	Public Relations and Communications	Campaigns	Minor	Records that outline DHB management of National Campaigns, or development and organisation of campaigns which are administrative / low level etc in nature	Destroy	7 years after date of last action	D40
21.6	Public Relations and Communications	Campaigns	Significant	Summary records outlining the development and management of promotional / preventative campaigns that relate to significant DHB issues / functions, or an important unique DHB aspect of a National Campaign	Transfer to Archives New Zealand	10 years after date of last action	A37

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
21.7	Public Relations and Communications	Ceremonies, Celebrations, Exhibitions, Displays, etc.	Administration	Records that cover DHB administrative input into ceremonial and celebratory events, exhibitions, displays, etc. For example: routine administration (e.g. mundane correspondence), public relations and promotions, construction and assembly, exhibition openings, invitations.	Destroy	7 years after date of last action	D40
21.8	Public Relations and Communications	Ceremonies, Celebrations, Exhibitions, Displays etc	Development and Management of significant ceremonies etc	Development and management records of significant ceremonies, celebrations, exhibitions, displays and their related projects etc that have significant DHB input, participation and / or contribution (i.e. events of national importance, significant for the DHB). For example: planning briefs, concept designs, decision-making records, project files, copy of programmes, significant visitors books. NOTE: does not cover the physical exhibitions / displays, which may be destroyed when administratively no longer required. See also under Research Management: Historical and Research Material for historical documentation.	Transfer to Archives New Zealand	10 years after date of last action	A37
21.9	Public Relations and Communications	Complaints	Minor	Minor complaints by clients, patients, employees, contractors etc against the DHB that do not have any direct impact on government or DHB policies or decisions and are not officially registered as an incident or placed on an employee's personnel file. For example: 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). NOTE: Does not include Privacy Act complaints. See under Public Relations and Communications: Privacy Act Requests and Complaints.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D40
21.10	Public Relations and Communications	Conferences, Seminars, Workshops, etc.	Administration (Financial)	Records relating to the management of conferences etc that need to be kept for accounting purposes. For example booking information, deposit information, payment information and associated correspondence	Destroy	7 years after date of last action	D40
21.11	Public Relations and Communications	Conferences, Seminars, Workshops etc	Administration (Non-Financial)	Administrative records that facilitate conferences, workshops etc for DHB 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). For example, reference and information only records, notifications, invitations and acceptances, attendance correspondence, venue arrangements, secretarial administration, catering correspondence.	Destroy	2 years after last action or until administratively no longer required	D40

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
21.12	Public Relations and Communications	Conferences, Seminars, Workshops etc	Not sponsored or administered by the DHB	Copies of records of conferences, seminars, workshops attended by DHB staff that are generated by external organisations and where the DHB does not have significant input or participation. For example: record of proceedings, commissioned reports and evaluations; speeches, addresses and submissions, programmes, correspondence, invitations. NOTE: Conference proceedings should be added to the DHB library and covered under their collection management policy.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D40
21.13	Public Relations and Communications	Conferences, Seminars, Workshops etc	Significant DHB Participation and Input.	Significant original master records of conferences, seminars, workshops etc that summarise the deliberations, discussions, proceedings and presentations relevant to key / significant DHB's functions and/or mandates. Examples include: record of proceedings, record of remit decisions, major reports and evaluations presented, speeches, addresses and submissions, programmes, minutes/papers that contain significant annotations (e.g. handwritten notes by chairperson). NOTE: conference proceedings should be added to the DHB library and covered under their Collection management policy. DHB publications that have been lodged with the Legal Deposit Office may be destroyed when no longer administratively required	Transfer to Archives New Zealand one copy of published / printed material not lodged with Legal Deposit Office	10 years after date of publication.	A17
21.14	Public Relations and Communications	External Communications	Produced by DHB (Minor)	Records of the information communicated externally to clients, stakeholders, interested parties and / or the general public that is routine or minor in nature. For example: routine speeches and addresses regarding minor-issues, minor articles written by DHB employees, copies of photographs, minor campaigns, low - level non-published promotional / informational material etc. NOTE: Does not include published material. See under Public Relations and Communications: External Communications: Significant promotional / informational produced by DHB.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D13

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
21.15	Public Relations and Communications	External Communications	Produced by DHB (Significant)	Records of the significant promotional / informational information communicated externally to clients, stakeholders, interested parties and / or the general public. For example: Agency news releases, significant articles written by DHB employees, major DHB speeches and addresses, significant articles written by agency employees, publications issued/sponsored by agency (e.g. newsletters, circulars, pamphlets, brochures), news briefings, significant films, videos, DVD's etc produced by the DHB as well as scripts of films, videos or DVD's produced or commissioned by the DHB, key / significant publicity campaigns, photographs, education resource kits, posters, brochures, new agency launches etc. 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	Transfer to Archives New Zealand one copy of published / printed material and where a duplicate has been extensively annotated by DHB employees	10 years after date of last action	A37
21.16	Public Relations and Communication	External Communications	Public communications prepared for Minister	Communications prepared by DHB for public release by the Minister. For example: Ministerial speech notes and speeches, Ministerial news releases, Reports issued under Ministerial approval	Transfer to Archives New Zealand	10 years from date of last action	A18
21.17	Public Relations and Communications	External Communications	Received by DHB	Public relations and information records received/sourced externally by DHB. For example: news clippings, external publications, external advertisements and brochures, external invitations to functions.	Destroy	2 years after date or last action or until administratively no longer required	D40
21.18	Public Relations and Communications	Gifts	Presented or Received by DHBs (Minor)	Records relating to the receipt of minor / token gifts by the DHB, i.e. token gifts that have little monetary or other value. For example: details of gift selection, purchase and presentation by DHB, and DHB receipt of gifts received. 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 an DHB's business	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D40

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
21.19	Public Relations and Communications	Gifts	Presented or Received by DHBs (Significant)	Records relating to the receipt of major gifts by the DHB, i.e. gifts that have substantial value, national importance, long-term benefit, etc. For example: register giving details of gift selection, purchase and presentation by DHB and DHB receipt of gifts received. 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 an DHB's business	Transfer to Archives New Zealand	10 years after date of last action	A37
21.20	Public Relations and Communications	Media	Monitoring	Records that monitor media information published or aired about significant "hot topics" to do with the DHB, as well as records that summarise or document key DHB's responses to media articles, questions, reports etc, for example, press clippings, media releases	Transfer to Archives New Zealand	10 years after date of last action	A37
21.21	Public Relations and Communications	Media	Relations with	Records that outline unpublished DHB discussions/ relations with media. For example, correspondence asking for information	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D14
21.22	Public Relations and Communications	Messages of Condolence, Appreciation, Greeting, Congratulation, etc.	Either produced or received by the DHB	Letters of condolence, thanks and appreciation, greeting cards (e.g. Christmas cards)	Destroy	Until administratively no longer required	D40
21.23	Public Relations and Communications	Official Information Act	Requests	Records dealing with information requests under the Official Information Act 1982, including OIA-related enquiries from Ombudsmen. For example, correspondence, reports, investigations. NOTE: All Ombudsmen investigation case files under the Official Information Act 1982 are scheduled and transferred to Archives New Zealand by the Office of the Ombudsmen	Destroy	7 years after date of last action and when no longer required for administrative / legal purposes	D40
21.24	Public Relations and Communication	Parliamentary Questions	Draft DHB responses to Parliamentary Questions	Draft responses prepared by DHB to Parliamentary Questions. For example, background information, answers prepared by DHB	Destroy	Until administratively no longer required for references purposes	D15

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
21.25	Public Relations and Communications	Privacy Act Requests and Complaints	Requests and complaints that set precedent	Records relating to requests to the DHB under the Privacy Act 1993 which result in complaints to the Privacy Commissioner that set precedent. For example, Information requests, DHB reply to requests, Communication with Privacy Commissioner, DHB investigations into complaints	Transfer to Archives New Zealand	10 years after date of last action	A37
21.26	Public Relations and Communications	Privacy Act Requests and Complaints	Requests and complaints that set no precedent	Records relating to requests to the DHB under the Privacy Act 1993 and/or complaints to the Privacy Commissioner that set no precedent. For example: Information requests, DHB reply to requests, Communication with Privacy Commissioner, DHB investigations into complaints	Destroy	7 years after date of last action	D40
21.27	Public Relations and Communications	Publications	In-House	Publications produced or commissioned by the DHB for internal use. For example: published and printed material, CEO newsletter, internal presentation programme. NOTE: DHB publications that have been lodged with the Legal Deposit Office may be destroyed when no longer administratively required	Transfer to Archives New Zealand one copy of published / printed material not lodged with Legal Deposit Office	10 years after date of publication.	A37
21.28	Public Relations and Communications	Routine Information Requests	From Public	Routine requests for information from public	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D40
21.29	Public Relations and Communications	Sponsorship	Minor	Minor sponsorship and routine sponsorship administration. For example: application proposals, declined sponsorship (e.g. rejection letters), routine administration (e.g. low level administrative correspondence)	Destroy	7 years after date of last action	D40
21.30	Public Relations and Communications	Sponsorship	Significant	Records covering significant national or major new sponsorship that are precedent setting, contentious or controversial, granted and/or received by the DHB in support of public sector activities. For example: proposals, decision-making records, accountability reports	Transfer to Archives New Zealand	10 years after date of last action	A19
21.31	Public Relations and Communications	Stakeholder Relations	Significant	Records that outline significant relationship issues, discussions etc with key stakeholders. For example, reports on findings	Transfer to Archives New Zealand	10 years after date of last action	A19

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
21.32	Public Relations and Communications	VIP/Senior Officials' Visits	Significant	Major records covering significant DHB 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, ministers of state, senior officials, etc.). May come in the form of: Briefing notes, visitation programme, record of official discussions and meetings, visit reports, visitors' books etc	Transfer to Archives New Zealand	10 years after date of last action	A37
22	RESEARCH MANAGEMENT <i>Research Management records range from the management of current research, to the maintenance of past research and historical records</i>						
22.1	Research Management	Administration		Records that document the facilitation and administration of internal or external research and clinical trials. For example: research applications, approvals, associated correspondence etc. NOTE: Does not include administration of surveys. See under Research Management: Surveys and Opinion Polls	Destroy	7 years after date of last action	D16
22.2	Research Management	Ethics Committees	Administration	Records which administer committee membership, elections/selection of members, procedure and process. For example, facilitative correspondence	Destroy	7 years after date of last action	D17
22.3	Research Management	Ethics Committees	Approvals granted	Approvals granted by Ethics Committee	Transfer to Archives New Zealand a summary of approvals	10 years after date of last action	A20
22.4	Research Management	Historical and Research Material	Significant	Records containing information that has been collated and or consolidated, regarding the history and social development of the DHB. For example: include photographs, documents about the history of the DHB, consolidated records outlining growth and activities, original DHB documents that have been collected together for historical and social interest, original research material and notes, historical research papers, Jubilee and Centennial Histories not available in libraries, summary histories created by the DHB, both published and unpublished, information on notable / significant DHB events, employees and buildings, collated external communications received by the DHB (e.g. collections of newspaper clippings)	Transfer to Archives New Zealand 1 copy of each printed / published item	7 years after date of last action	A20
22.5	Research Management	Raw Data		Working documentation associated with the research, trialing and research reporting processes. For example questionnaires, interview notes, data sheets, computer input and output, sampling frames, correspondence, etc.	Destroy	2 years after date of last action or until administratively no longer required	D20

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
22.6	Research Management	Research Reports	Minor	Research reports, returns etc created or sponsored by the DHB about low level / administrative DHB areas, functions or issues that do not have compliance ramifications, or of public health issues and clinical trials that are summarised elsewhere	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D18
22.7	Research Management	Research Reports	Significant	Final consolidated and / or summarised research reports, returns etc created or sponsored by the DHB about key / significant DHB areas, functions or issues, delivery of appropriate health treatments or services or of areas of ongoing public health concern such as reports of significant clinical, health, drug trials, reports of environmental health programmes	Transfer to Archives New Zealand	10 years after date of last action	A20
22.8	Research Management	Surveys and Opinion Polls	Administration	Records that outline the administration of surveys such as draft questionnaires, outlines of returns etc	Destroy	As specified by Ethics Commitmtee, or, if Ethics Committee approval was not required, 2 years after survey or until administratively no longer required	D18
22.9	Research Management	Surveys and Opinion Polls (of public by or for DHB)		Consolidated summary of the objectives and outcomes of client/public surveys and/or opinion polls carried out or commissioned by the DHB. For example summary of survey/poll results, consolidated analysis reports, public attitude research, focus group summary reports, customer surveys, market research	Transfer to Archives New Zealand	10 years after date of last action	A20

23

STRATEGIC PLANNING AND FUNDING

Strategic planning and funding records cover all forms of strategic planning and needs assessments, as well as all forms of reporting on the strategic planning processes. It also covers the establishment of groups and services.

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
23.1	Strategic Planning and Funding	Administration		Records developed to facilitate / organise the establishment, development and implementation of strategy and planning, reports etc and their development, as well as Group / Unit contributions to corporate / strategic planning that are summarised within overall plans. For example, correspondence setting up planning meetings.	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D19
23.2	Strategic Planning and Funding	Development of Strategy	Minor	Documentation that provides evidence of the reasoning behind strategy that has minor or short-term effect on DHB areas / business or specific groups and service areas. For example: development of strategy for off-site records storage, development of group administrative strategy	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D19
23.3	Strategic Planning and Funding	Development of Strategy	Significant	Documentation that provides evidence of the reasoning behind key or wide-ranging strategy that has significant impact on key DHB areas such as business management, employees, services, customers or patient / population health. Also documentation that provides evidence of the reasoning behind strategy that has a key / significant and ongoing effect a significant group, section or service. For example: strategies regarding electronic record-keeping.	Transfer to Archives New Zealand	10 years from date of last action	A21
23.4	Strategic Planning and Funding	Establishment of Groups and Services	Minor	Records outlining low level / routine funding, development and establishment relating to low -level / administrative groups and services or records relating to key groups and services that are summarised in a form that is recommended for transfer to Archives New Zealand. For example, routine funding applications. NOTE: Does not include the establishment of projects or programmes. See under Project Management: Project Maintenance	Destroy	7 years after date of last action	D19
23.5	Strategic Planning and Funding	Establishment of Groups and Services	Significant	Significant records summarising the funding, development and establishment of corporate groups, DHB clinical / medical services that have a key part to play in DHB governance, business, compliance etc. NOTE: Does not include the establishment of projects or programmes. See under Project Management: Project Maintenance. For records relating to the establishment of the DHB, see under Governance	Transfer to Archives New Zealand	10 years after date of last action	A21

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
23.6	Strategic Planning and Funding	Funding and Budgeting	Estimate and Budget Formulation	Internal records relating to development of DHB's funding estimates and budgets. For example: internal budget planning meetings, budget working papers and assumptions, setting of draft and initial budgets, business cases for budget funding, allocations and commitments, resource allocation modelling. NOTE: for audits, reviews etc see under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations	Destroy	7 years after date of last action	D23
23.7	Strategic Planning and Funding	Funding and Budgeting	Funding Applications (Significant)	DHB case for major funding from government and/or other external sources. For example: minutes, reports, submissions and correspondence dealing with key interactions with external organisation on significant funding and budget issues, e.g. Crown Health Financing Agency, Treasury, State Services Commission, Government Estimate/budget briefings and notes for Minister	Transfer to Archives New Zealand	10 years after date of last action	A23
23.8	Strategic Planning and Funding	Loans	Significant	Records relating to the raising of major loans and use of loan funds. For example: Loan agreements/contracts, Record of loan negotiation decisions, Corporate summary records of loan use. NOTE: Does not cover risk analysis, audits, reviews etc. See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations	Transfer to Archives New Zealand	10 years after all conditions have been met and administratively no longer required for reference purposes	A24
23.9	Strategic Planning and Funding	Planning and Reporting	Financial (Minor)	Low level administrative planning and reporting records, which will generally have been developed at lower levels of the organisation such as operational head office level, regional /district office, workplace level, etc. For example: Information covered by summarised strategic corporate records, district / regional office financial plans, budget / cost centre monthly / quarterly reports, records relating to minor capital expenditure, projects and programmes, business unit reporting, internal variance reports, other occasional and ad hoc reporting. NOTE: Covers financial reporting associated with Planning and Funding only. For other corporate financial reporting, see under Financial and Accounting: Reporting	Destroy	7 years after date of last action	D22

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
23.1 0	Strategic Planning and Funding	Planning and Reporting	Financial (Significant)	Consolidated principal strategic financial plans and accountability reporting records. For example: purchase agreement, consolidated annual financial statements and reports, consolidated major capital expenditure budget and expenditure, consolidated major capital asset register (e.g. land, buildings, major plant and equipment), lead schedules, i.e. working papers of annual reports, financial analysis and monitoring of major capital expenditure projects. NOTE: Does not include governance planning and reporting or other corporate financial reporting . See under Governance: Planning and Reporting or Financial and Accounting: Reporting. NOTE: for audits, reviews etc see under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations (Significant)	Transfer to Archives New Zealand	10 years after date of last action	A22
23.1 1	Strategic Planning and Funding	Planning and Reporting	Non-Financial (Minor)	Low-level administrative strategy and plans and related reports which will generally have been developed at lower levels of the organisation, e.g. operational head office level, regional / district office, workplace level, etc. For example, accommodation reports and returns, administrative planning of information system installation (e.g. installation project plans, planning cable installation, equipment delivery coordination, etc.), low-level civil defence planning (e.g. building emergency planning/procedures), fire protection and inspection reports, service level quality and risk plans that are administrative or low level, low level needs assessments, information covered by summarised strategic corporate records, occupational health and safety planning and hazard identification, district / regional office administrative plans, business unit monthly reporting / quarterly reports, internal variance reports, monthly employee returns, low level employee charts and statistics, regional/district training plans and other occasional and ad hoc reporting	Destroy	7 years after date of last action	D1

Ref.	Class	Sub-class	Description of type of records in class	Examples	Disposal Action	Minimum DHB Retention Period	Disposal Criteria as identified in appraisal report
23.12	Strategic Planning and Funding	Planning and Reporting	Non-Financial (Significant)	Key and / or wide-ranging strategy that has significant impact on the DHB in areas such as quality / practice risk and compliance, affecting business, patients, employees etc Also records that identify and summarise DHB strategic needs and aid strategic development for key functions / significant / vital areas. For example: DHB-wide quality plans, significant service level quality and risk plans, significant needs assessments, consolidated management reports on key HR activities, health services and health risk plans, and specific plans such as plans for communicable disease control, Meningococcus B Vaccine strategy, Information services strategic plan, public relations and marketing plan, DHB strategic recovery plan (e.g. delivery of services after disaster), NOTE: Does not include governance - level (ie Board and Sub-Committee) planning and reporting. See under Governance: Planning and Reporting. NOTE: for audits, reviews etc see under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations (Significant)	Transfer to Archives New Zealand	10 years after date of last action	A21
23.13	Strategic Planning and Funding	Providers (Funding and Services)	Maintenance	Records outlining administration and routine monitoring of providers. NOTE: includes the RFP process, but excluding final contracts and agreements. See under Legal: Contract Management or Legal: Legal Agreements	Destroy	2 years after date of last action or until administratively no longer required, whichever is longer	D19
23.14	Strategic Planning and Funding	Trusts and Donations		Strategic records relating to trust funds, bequests and donations managed by the DHB, and how the DHB utilised/allocated the funds. For example: Trust deeds, Conditions of bequests, Records of decisions on money utilisation	Transfer to Archives New Zealand	10 years after date of last action	A25

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Accidents	Agreements and contracts with ACC etc		<i>See under Legal</i>
Accidents	Minor accidents to employees		<i>See under Audit, Compliance and Risk Management</i>
Accidents	Fatalities / serious injury to employees		<i>See under Audit, Compliance and Risk Management</i>
Accidents	Fatalities / serious injury to employees	Personnel files	<i>See under Human Resources and Personnel: Personnel Files</i>
Accidents	Information analysing, monitoring or reviewing employee accidents		<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Accounts	Consolidated		<i>See under Strategic Planning and Funding: Planning and Funding</i>
Accounts	Copies of Published		<i>See under Administration: Housekeeping</i>
Accreditation	of standards etc		<i>See under Audit, Compliance and Risk Management: Standards and Regulations</i>
Action plans			<i>See under Strategic Planning and Funding: Planning and Reporting</i>
Address Lists			<i>See under Administration: Contact and Address Lists</i>
Administration	Meetings	Board and Board Sub-Committees	<i>See under Governance</i>
Administration	Meetings	Committees and Non Executive Management Groups (Major)	<i>See under Administration: Meetings: Internal (Major Non-Governance)</i>
Administration	Meetings	Committees and Non Executive Management Groups (Minor)	<i>See under Administration: Meetings: Internal (Minor Non-Governance)</i>
Administration	Meetings	Executive Groups	<i>See under Governance</i>
Administration	Projects		<i>See under Project Management</i>
Administration	Publications (DHB)	for External Dissemination	<i>See under Public Relations and Communications: External Communications</i>
Administration	Publications (DHB)	Financial	<i>See under Strategic Planning and Funding: Financial (Corporate)</i>
Administration	Publications (DHB)	Internal Publications	<i>See under Public Relations and Communications: Internal Publications</i>
Administration	Publications (DHB)	As Background Information	<i>See under Administration: Housekeeping</i>
Administration	Publications (DHB)	Information readily available externally	<i>See under Administration: Housekeeping</i>
Administration	Routine Returns		<i>See under appropriate Class and Subclass. For example, Taxation returns: See under Financial and Accounting: Taxation</i>
Advertising Material	From outside DHB		<i>See under Administration: Housekeeping</i>
Agreements	Collective Agreements		<i>See under Human Resources and Personnel: Industrial Relations</i>
Agreements	Development of		<i>See under Legal: Contract Management</i>
Agreements	Final documents		<i>See under Legal</i>
Agreements	Management of		<i>See under Legal: Contract Management</i>
Agreements	Negotiations		<i>See under Legal: Contract Management</i>
Air Conditioning	Maintenance, monitoring of		<i>See under Property and Asset Management: Property, Assets, Buildings: Routine Management</i>
Airline Meals	Monitoring of		<i>See under Population Health: Premises: Monitoring of Licences</i>
Air Quality	Complaints		<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Air Quality	Monitoring of		<i>See under Population Health</i>
Annual Leave			<i>See under Human Resources and Personnel: Leave</i>
Annual Plans			<i>See under Governance: Planning and Reporting</i>
Annual Reports			<i>See under Strategic Planning and Funding: Planning and Reporting</i>
Annual Reports	Working Papers	Financial	<i>See under Strategic Planning and Funding: Planning and Reporting: Financial (Significant)</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Approvals / Rejections from Minister	From Minister		<i>See under Governance</i>
Assessment of Need	Planning		<i>See under Strategic Planning and Funding: Planning and Reporting: Non-Financial</i>
Asset Register			<i>See under Property and Asset Management: Assets</i>
Assets	Disposal	Stores, supplies, fixtures, fittings and plant / equipment etc	<i>See under Procurement and Supply Management: Stores, supplies, fixtures, fittings and plant / equipment</i>
Assets	Disposal	Vehicles	<i>See under Procurement and Supply Management: Vehicles</i>
Assets	Maintenance of		<i>See under Property and Asset Management: Assets</i>
Assets	Procurement of		<i>See under Procurement and Supply Management</i>
Assistance	From DHBs to employee groups		<i>See under Human Resources and Personnel</i>
Associations	Employee membership		<i>See under Human Resources and Personnel</i>
Attendance	of employees		<i>See under Human Resources and Personnel</i>
Audits	Administration of		<i>See under Compliance, Audit and Risk Management</i>
Audits	Reports, reviews etc		<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Audits	Quality Audits	Evaluations etc	<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Authorities	within DHBs		<i>See under Compliance, Audit and Risk Management: Delegations and Authorities</i>
Authorities	Financial		<i>See under Financial and Accounting Records: Delegations</i>
Awards	Collective		<i>See under Human Resources and Personnel: Industrial Relations</i>
Awards and Honours	to employees		<i>See under Human Resources and Personnel</i>
Background Information			<i>See under Administration: Housekeeping</i>
Boards	DHB Board		<i>See under Governance</i>
Boards	Non-International, not created, sponsored or administered by DHB		<i>See under Administration: Meetings</i>
Boards	of special inquiry	relating to DHB matters or issues	<i>See under Governance: Board, Sub-Committees (Legislated and Non-Legislated)</i>
Body Product	Removal of		<i>See under Clinical</i>
Branding			<i>See under Governance Records: Corporate Identity / Brand</i>
Breast Screening			<i>See under Population Health</i>
Budgeting			<i>See under Strategic Planning and Funding</i>
Building and Renovation	Projects		<i>See under Property and Asset Management</i>
Building and Renovation	Building Codes		<i>See under Property and Asset Management: Compliance</i>
Business Process Re-engineering	Reviews and investigations		<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Cabinet and Select Committee	Attendance		<i>See under Compliance, Audit and Risk Management</i>
Cabinet and Select Committees	Reports for presenting at		<i>See under Governance Records</i>
Campus Redevelopment			<i>See under Property and Asset Management: Construction, Works and Engineering</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class

Celebrations and Displays	Development of		<i>See under Public Relations and Communications</i>
CEO			<i>See under Governance</i>
Certification	of medical staff		<i>See under Human Resources and Personnel</i>
Certification	of standards etc		<i>See under Compliance, Audit and Risk Management: Standards and Regulations</i>
Cervical Screening			<i>See under Population Health</i>
Child Care Centres	Inspection and evaluation of Regional Centres		<i>See under Population Health</i>
Child Care Centres	Management of DHB Child Care Centres	Administration	<i>See under Human Resources and Personnel: Child Care Services for DHB employees</i>
Child Care Centres	Management of DHB Child Care Centres	Compliance with External Standards (Property and non-property)	<i>See under Compliance, Audit and Risk Management: Child Care Services for DHB Employees</i>
Child Health	Promotion of		<i>See under Public Relations and Communications</i>
Circulars and Memoranda	To all employees		<i>See under Policy and Procedure: Master Documents: DHB-Wide (Major)</i>
Circulars and Memoranda	Within Groups		<i>See under Policy and Procedure: Master Documents</i>
Civil Defence	Health Planning		<i>See under Population Health</i>
Cleaning	Management, maintenance, monitoring of		<i>See under Property and Asset Management: Property, Assets, Buildings: Routine Management</i>
Clinical	Audit		<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Clinical	Governance		<i>See under Governance</i>
Clinical Board	Meetings		<i>See under Governance: Executive Groups</i>
Clinical Trials			<i>See under Research Management</i>
Codes	of rights, of practice etc	Compliance with	<i>See under Compliance, Audit and Risk Management: Standards and Regulations</i>
Collective Agreements			<i>See under Human Resources and Personnel: Industrial Relations</i>
Commissions of Inquiry	relating to DHB		<i>See under Governance: Relationship Management: Significant Relationships</i>
Committees			<i>See under Administration: Meetings</i>
Communicable	Management of		<i>See under Population Health</i>
Disease Control			<i>See under Public Affairs and Communications</i>
Communications			<i>See under Governance Records: Board, Sub-Committees (Legislated and Non-Legislated)</i>
Communications	Meetings	Board and Board Sub-Committees	
Communications	Meetings	Non Board	<i>See under Public Affairs and Communications</i>
Community Services	Monitoring of health issues etc		<i>See under Population Health</i>
Complaints and Incidents		Clinical	<i>See under Clinical: Quality Control: Legal Matters and Incident Reporting</i>
Complaints and Incidents		Non Clinical	<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Compliance, Audit and Risk Management	Accident Reports and Reviews	Information analysing, monitoring or reviewing employee accidents	<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Compliance, Audit and Risk Management	Accreditation		<i>See under Compliance, Audit and Risk Management: Standards and Regulations: Accreditation</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Compliance, Audit and Risk Management	Assets		<i>See under Property and Asset Management: Assets</i>
Compliance, Audit and Risk Management	Audits	Contractors	<i>See under Legal: Contract Management</i>
Compliance, Audit and Risk Management	Audits	of Ministerial Correspondence	<i>See under Compliance, Audit and Risk Management: Ministerial Correspondence</i>
Compliance, Audit and Risk Management	Audits	Reports	<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Compliance, Audit and Risk Management	Audits	of externally-run services	<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Compliance, Audit and Risk Management	Audits	Reviews (Internal)	<i>Final reports of issues, recommendations, action plans, responses to do with major internal audits on areas such as clinical and corporate policy, compliance, governance, health and safety etc within the DHB. See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations: Major</i>
Compliance, Audit and Risk Management	Audits	Routine and Low Level Audit Administration	<i>See under Administration</i>
Compliance, Audit and Risk Management	Code of Rights		<i>See under Compliance, Audit and Risk Management: Standards and Regulations</i>
Compliance, Audit and Risk Management	Complaints and Incidents	Clinical	<i>See under Clinical: Quality Control: Legal Matters and Incident Reporting</i>
Compliance, Audit and Risk Management	Complaints and Incidents	Non Clinical	<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Compliance, Audit and Risk Management	Compliance	regarding standards, policies etc	<i>See under Compliance, Audit and Risk Management: Standards and Regulations</i>
Compliance, Audit and Risk Management	Compliance	Reports	<i>See under Compliance, Audit and Risk Management: Reporting</i>
Compliance, Audit and Risk Management	Compliance	Reviews and Evaluations regarding compliance	<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Compliance, Audit and Risk Management	Contract Management		<i>See under Legal: Contract Management</i>
Compliance, Audit and Risk Management	Delegations	By Minister	<i>See under Governance</i>
Compliance, Audit and Risk Management	Disaster Recovery		<i>See under Compliance, Audit and Risk Management: Emergency Management and Contingency Planning</i>

Compliance, Audit and Risk Management	Emergency Management and Contingency Planning	Master documents	<i>See under Policy and Procedure: Master Documents</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Compliance, Audit and Risk Management	Emergency Management and Contingency Planning	Meetings	<i>See under Administration: Meetings</i>
Compliance, Audit and Risk Management	Environmental Compliance	Environmental Health	<i>See under Population Health</i>
Compliance, Audit and Risk Management	Environmental Compliance	Complaints	<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Compliance, Audit and Risk Management	Environmental Compliance	Monitoring and Regulation of Premises, Food, Water compliance	<i>See under Population Health</i>
Compliance, Audit and Risk Management	Incident / Accident / Near Miss	Employees	<i>See under Compliance Audit Risk Management: Accident and First Aid Records (Employees)</i>
Compliance, Audit and Risk Management	Incidents	Serious and Minor	<i>See under Compliance Audit Risk Management: Complaint and Incident Management</i>
Compliance, Audit and Risk Management	Issues Management (Non Clinical)	External Reporting	<i>See under Compliance, Audit and Risk Management: Reporting</i>
Compliance, Audit and Risk Management	Issues Management (Non Clinical)	Indexes to	<i>See under Information Management Systems and Services: Control and Location Indices/Guides: Significant Systems and Holdings</i>
Compliance, Audit and Risk Management	Issues Management (Non Clinical)	Individual events and incidents (Significant)	<i>See under Issues Management (Non Clinical): Significant Incidences</i>
Compliance, Audit and Risk Management	Issues Management (Non Clinical)	Injury Treatment (Employees)	<i>See under Compliance, Audit and Risk Management: Accident and First Aid Records</i>
Compliance, Audit and Risk Management	Issues Management (Non Clinical)	Policies and Procedures	<i>See under Policy and Procedure</i>
Compliance, Audit and Risk Management	Issues Management (Non Clinical)	Significant Incidences	<i>See under Compliance, Audit and Risk Management</i>
Compliance, Audit and Risk Management	Issues Monitoring	Reports	<i>See under Compliance, Audit and Risk Management: Reporting</i>
Compliance, Audit and Risk Management	Liquor Licensing Compliance		<i>See under Population Health</i>

Compliance, Audit and Risk Management	Meetings and Representation		<i>See under Administration</i>
Compliance, Audit and Risk Management	Ministerial Correspondence	Routine Correspondence and Background Information OR Significant Correspondence	<i>See under Governance: Correspondence</i>
Compliance, Audit and Risk Management	Parliamentary Questions		<i>See under Public Relations and Communications</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Compliance, Audit and Risk Management	Planning	Action plans etc	<i>See under Strategic Planning and Funding: Planning and Reporting</i>
Compliance, Audit and Risk Management	Privacy Act	Compliance with etc	<i>See under Compliance, Audit and Risk Management: Standards and Regulations</i>
Compliance, Audit and Risk Management	Quality Management	Contract Management	<i>See under Legal: Contract Management</i>
Compliance, Audit and Risk Management	Quality Management	Human Resource Issues	<i>See under Human Resources and Personnel</i>
Compliance, Audit and Risk Management	Quality Management	Incidents and Events	<i>See under Compliance, Audit Risk Management: Issues Management (Non Clinical)</i>
Compliance, Audit and Risk Management	Quality Management	Meetings	<i>See under Administration: Meetings</i>
Compliance, Audit and Risk Management	Quality Management	Policies and Procedures	<i>See under Policy and Procedure Records</i>
Compliance, Audit and Risk Management	Quality Management	Procurement	<i>See under Procurement and Supply Management: Quality Management</i>
Compliance, Audit and Risk Management	Quality Management	Reporting	<i>See under Compliance Audit Risk Management: Reporting</i>
Compliance, Audit and Risk Management	Quality Management	Reviews and Evaluations	<i>See under Compliance Audit Risk Management: Audits, Reviews and Evaluations</i>
Compliance, Audit and Risk Management	Quality Management	Standards and Regulations	<i>See under Compliance, Audit Risk Management: Standards and Regulations</i>
Compliance, Audit and Risk Management	Quality Management	Strategy and Planning	<i>See under Strategic Planning and Funding</i>

Compliance, Audit and Risk Management	Registers	of risk etc	<i>See under Information Management Systems and Services: Control and Location Indices/Guides (Significant)</i>
Compliance, Audit and Risk Management	Regulatory Compliance	Local Government	<i>See under Reporting: Non-Financial (Minor)</i>
Compliance, Audit and Risk Management	Regulatory Compliance	Premises	<i>See under Population Health</i>
Compliance, Audit and Risk Management	Regulatory Compliance	Property and Assets	<i>See under Compliance, Audit Risk Management: Standards and Regulations</i>
Compliance, Audit and Risk Management	Regulatory Compliance	Standards and Regulations	<i>See under Compliance, Audit Risk Management: Standards and Regulations</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
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Compliance, Audit and Risk Management	Reporting	Issues	<i>See under Compliance, Audit Risk Management: Issues Monitoring</i>
Compliance, Audit and Risk Management	Reporting	Board Reports	<i>See under Governance</i>
Compliance, Audit and Risk Management	Reporting	Financial	<i>See under Financial and Accounting</i>
Compliance, Audit and Risk Management	Reporting	To Minister	<i>See under Governance Records: Reports and Briefing Papers</i>
Compliance, Audit and Risk Management	Reporting	Strategic	<i>See under Strategic Planning and Funding</i>
Compliance, Audit and Risk Management	Risk Management		<i>See under appropriate subclass of Compliance, Audit and Risk Management</i>
Compliance, Audit and Risk Management	Risk Management	Planning and Funding	<i>See under Strategic Planning and Funding</i>
Compliance, Audit and Risk Management	Risk Register		<i>See under Information Management Systems and Services: Control and Location Indices/Guides (Significant)</i>
Compliance, Audit and Risk Management	Security and Vetting	Building and Facilities	<i>See under Property and Asset Management</i>
Compliance, Audit and Risk Management	Service Level Agreements		<i>See under Legal: Contract Management</i>

Compliance, Audit and Risk Management	Standards and Regulations	Compliance with External Property Standards	<i>See under Property and Asset Management: Compliance</i>
Compliance, Audit and Risk Management	Standards and Regulations	Compliance Reviews and Evaluations	<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Compliance, Audit and Risk Management	Standards and Regulations	Compliance Training	<i>See under Human Resources and Personnel: Training and Career Development</i>
Compliance, Audit and Risk Management	Standards and Regulations	Indexes to	<i>See under Information Management Systems and Services: Control and Location Indices/Guides</i>
Compliance, Audit and Risk Management	Standards and Regulations	Masters created within the DHB	<i>See under Policy and Procedure Records</i>
Complaints	Employees		<i>See under Human Resources and Personnel: Grievances, Disputes and Dismissals</i>
Complaints	Complaints / Issues / Incident Management	Non Clinical	<i>See under Compliance, Audit and Risk: Issues Management (Non Clinical)</i>
Conferences	Papers, attendance at, administration of		<i>See under Public Relations and Communications</i>
Contact Lists			<i>See under Administration: Contact and Address Lists</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Contingency Planning			<i>See under Compliance, Audit and Risk Management: Emergency Management and Contingency Planning</i>
Contractors	Reviews of		<i>See under Compliance, Audit and Risk Management: Audits Reviews and Evaluations (Minor)</i>
Contracts	Administration and Facilitation of		<i>See under Legal: Contract Management</i>
Contracts	Audits, Reviews, Evaluations of		<i>See under Compliance, Audit and Risk: Audits, Reviews and Evaluations</i>
Contracts	Collective HR		<i>See under Human Resources and Personnel: Industrial Relations</i>
Contracts	Contracting out of services		<i>See under Legal: Contract Management</i>
Contracts	Development of		<i>See under Legal: Contract Management</i>
Contracts	Final documents		<i>See under Legal: Legal Agreements</i>
Contracts	General management		<i>See under Legal: Contract Management</i>
Contracts	Individual HR		<i>See under Human Resources and Personnel: Employment Documentation</i>
Contracts	Negotiations		<i>See under Legal: Contract Management</i>
Contracts	Negotiations	HR	<i>See under Human Resources and Personnel: Industrial Relations</i>
Contracts	Negotiations	External Relationships	<i>See under Governance: Relationship Management</i>
Contracts	Relationship Management		<i>See under Governance: Relationship Management</i>
Contracts	Relationship Management	Negotiations	<i>See under Governance: Relationship Management</i>
Copies	of records		<i>See under Administration: Housekeeping</i>
Corporate Identity	Development of		<i>See under Governance Records</i>
Correspondence	CEO		<i>See under Governance Records: CEO</i>
Correspondence	Ministerial		<i>See under Governance</i>
Correspondence	Ministerial - Audit and Analysis of		<i>See under Compliance, Audit and Risk Management</i>
Correspondence	Personal		<i>See under Administration and Administration: Housekeeping</i>
Cost Recovery	Agreements		<i>See under Legal: Legal Agreements</i>
Courier	Administration of		<i>See under Information Management Systems and Services: Mail and Distribution Services</i>

Court and Legal Decisions	Duplicates		<i>See under Administration: Housekeeping: Duplicates of Court and Judicial Records</i>
Court and Legal Decisions	Impacting on DHB		<i>See under Legal: Legal Action, Litigation, Claims and Disputes Involving the DHB</i>
Credentialing	of employees		<i>See under Human Resources and Personnel: Certification of Employees</i>
Deeds of title and ownership			<i>See under Legal</i>
Delegations			<i>See under Compliance, Audit and Risk Management</i>
Delegations	Financial		<i>See under Financial and Accounting Records: Delegations</i>
Delegations	By Minister		<i>See under Governance</i>
Delegations	Written Authorities		<i>See under Compliance, Audit, Risk Management: Delegations and Authorities</i>
Delivery	of DHB services	Compliance, External Standards etc	<i>See under Compliance, Audit, Risk Management</i>
Delivery	of DHB services	Employee Management	<i>See under Human Resources and Personnel</i>
Delivery	of DHB services	Development and Establishment	<i>See under Strategic Planning and Funding: Establishment of Groups and Services</i>
Delivery	of DHB services	Legal advice, joint ventures, contracts etc	<i>See under Legal</i>
Delivery	of DHB services	External services to community	<i>See under Population Health</i>
Delivery	of DHB services	Patient Management	<i>See under Clinical</i>
Delivery	of DHB services	Policies and Procedures	<i>See under Policy and Procedure</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Delivery	of DHB services	Procurement / supply of materials / supplies	<i>See under Procurement and Supply</i>
Delivery	of DHB services	Project Management	<i>See under Project Management</i>
Delivery	of DHB services	Maintenance, development of buildings and facilities	<i>See under Property and Facilities</i>
Dental Health Care			<i>See under Population Health</i>
Disaster Recovery Planning			<i>See under Compliance, Audit and Risk Management: Emergency Management and Contingency Planning</i>
Disciplinary Information			<i>See under Human Resources and Personnel: Grievances, Disputes and Dismissals AND ALSO under Human Resources and Personnel: Personnel Files</i>
Disease Notification	Communicable Disease Control	Management of	<i>See under Population Health</i>
Disposal	Major Capital Assets		<i>See under Procurement and Supply</i>
Disposal	Minor Assets such as stores, supplies, fixtures, fittings and plant / equipment etc		<i>See under Procurement and Supply</i>
Disposal	Vehicles etc		<i>See under Procurement and Supply: Vehicles</i>
Disputes	Employees		<i>See under Human Resources and Personnel</i>
Disputes	Non-Employee		<i>See under Compliance, Audit Risk Management: Issues Management (Non Clinical)</i>
Disputes	Unions		<i>See under Human Resources and Personnel</i>
Drafts	of work, records etc		<i>See under Administration: Housekeeping</i>
Education	of Employees		<i>See under Human Resources and Personnel: Training and Career Development (Employees)</i>
Education	of Patients	Schooling of children in hospital	<i>See under Human Resources and Personnel: Training and Career Development (Patients)</i>
Emergency Management and Contingency Planning			<i>See under Compliance, Audit and Risk Management</i>

Employees	Employment, Awards, Accidents, OSH issues, Agreements, Social Groups, Personnel files etc	See under <i>Human Resources and Personnel</i>
Employees	Vetting of	See under <i>Compliance, Audit and Risk Management: Security Vetting</i>
Environmental Effects	Assessment of	See under <i>Population Health: Environmental Health</i>
Environmental Health		See under <i>Population Health</i>
Epidemics	Guidelines for management of	See under <i>Population Health</i>
Equipment	Fridge Temperature Chart Records	See under <i>Clinical: Pharmaceutical Supply and Administration</i>
Equipment	Maintenance	See under <i>Property and Asset Maintenance: Stores, supplies, fixtures, fittings and plant / equipment</i>
Equipment	Procurement, Supply, Disposal	See under <i>Procurement and Supply Management: Stores, supplies, fixtures, fittings and plant / equipment</i>
Equipment	Sterilisation	See under <i>Clinical: Quality Control: Equipment Sterilisation</i>
Establishment	audits of establishment records / process etc	See under <i>Compliance, Audit and Risk Management: Audits, Reviews and Evaluations (Major)</i>
Establishment	of assets, buildings etc	See under <i>Property and Asset Management</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
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Establishment	of DHB		See under <i>Governance Records</i>
Establishment	of Groups		See under <i>Strategic Planning and Funding: Establishment of Groups and Services</i>
Establishment	of Projects, Programmes		See under <i>Project Management: Project Maintenance</i>
Establishment	of Services		See under <i>Strategic Planning and Funding: Establishment of Groups and Services</i>
Estate Services			See under <i>Property and Asset Management</i>
Ethics	Committee Meetings		See under <i>Administration: Meetings</i>
Evaluations	Certification of Employees		See under <i>Human Resources and Personnel: Certification of Employees</i>
Evaluations	Compliance, Audit etc		See under <i>Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Evaluations	of Employee performance		See under <i>Human Resources and Personnel: Performance Management and Employee Assessments</i>
Evaluations	Legal		See under <i>Legal: Legal Opinions</i>
Evaluations	Reports		See under <i>Compliance, Audit and Risk Management: Reporting</i>
Executive Groups			See under <i>Governance</i>
External Agencies	High Level Meetings with, ongoing relationships with (non-board)		See under <i>Governance: Relationship Management</i>
External Standards	Monitoring of compliance with, administration of		See under <i>Compliance, Audit and Risk Management: Standards and Regulations</i>
Fees and Charges			See under <i>Finance and Accounting Records: Transactions</i>
Financial and Accounting	Accounts	Published	See under <i>Strategic Planning and Funding: Financial</i>
Financial and Accounting	Asset Management		See under <i>Property and Asset Management</i>
Financial and Accounting	Audits		See under <i>Compliance, Audit and Risk Management</i>
Financial and Accounting	Authorities		See under <i>Financial and Accounting Records: Delegations</i>
Financial and Accounting	Budgeting	Estimates etc	See under <i>Strategic Planning and Funding: Funding and Budgeting</i>

Financial and Accounting	Contracts		<i>See under Legal</i>
Financial and Accounting	Contract Management		<i>See under Legal: Contract Management</i>
Financial and Accounting	Cost Recovery	Agreements	<i>See under Governance Records</i>
Financial and Accounting	Duplicates		<i>See under Administration: Housekeeping</i>
Financial and Accounting	For Your Information		<i>See under Administration: Housekeeping</i>
Financial and Accounting	Funding - Estimates, applications		<i>See under Strategic Planning and Funding</i>
Financial and Accounting	Legal Submissions and Opinions		<i>See under Legal</i>
Financial and Accounting	Loans - raising and use of		<i>See under Strategic Planning and Funding</i>
Financial and Accounting	Meetings		<i>See under Administration</i>
Financial and Accounting	Payroll	Audit	<i>See under Compliance, Audit and Risk Management</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Financial and Accounting	Projects	Finance and Accounting Projects (Management of)	<i>See under Project Management</i>
Financial and Accounting	Projects	Financial Management of	<i>See under the relevant sub-class under Financial and Accounting</i>
Financial and Accounting	Projects	Financing of (Planning)	<i>See under Strategy Planning and Funding</i>
Financial and Accounting	Property	Maintenance	<i>See under Property and Asset Management</i>
Financial and Accounting	Property	Procurement	<i>See under Procurement and Supply</i>
Financial and Accounting	Published Accounts		<i>See under Administration</i>
Financial and Accounting	Rental Payments	by employees	<i>See under Human Resources and Personnel: Rental Payments and Agreements</i>
Financial and Accounting	Reporting	To Ministers	<i>See under Governance Records</i>
Financial and Accounting	Reporting	To Treasury	<i>See under Compliance, Audit and Risk Management: Treasury Reports</i>
Financial and Accounting	Reviews		<i>See under Compliance, Audit and Risk Management</i>
Financial and Accounting	Risk Management		<i>See under Compliance, Audit and Risk Management</i>
Financial and Accounting	Service Agreements and Contracts	Development of etc	<i>See under Procurement and Supply</i>
Financial and Accounting	Service Agreements and Contracts	Master Copies, Signed Copies	<i>See under Legal</i>
Financial and Accounting	Strategy and Planning		<i>See under Strategic Planning and Funding</i>

Financial and Accounting	Treasury Reports		<i>See under Compliance, Audit and Risk Management: Treasury Reports</i>
Financial and Accounting	Trusts and Donations		<i>See under Strategic Planning and Funding</i>
Financial and Accounting	Working Papers	Minor	<i>See under Administration: Housekeeping</i>
Food "For Your Information"	Management, supply of		<i>See under Property and Asset Management: Tea Room, Cafeteria and Food Service Facilities</i> <i>See under Administration: Housekeeping</i>
Fraud and Theft	Records of		<i>See under Compliance, Audit and Risk Management: Fraud and Theft</i>
Fridge Temperature	Chart Records		<i>See under Clinical: Pharmaceutical Supply and Administration</i>
Funding	Records of		<i>See under Strategy and Funding</i>
Governance	Annual Reports		<i>See under Strategic Planning and Funding: Planning and Reporting</i>
Governance	Approvals / Rejections from Minister	Financial Approvals	<i>See under Financial and Accounting Records: Approvals</i>
Governance	Clinical Boards	Meetings	<i>See under Administration: Meetings</i>
Governance	Clinical Boards	Reports	<i>Records outlining Board discussion over clinical safety and quality: See under Governance: Board, Sub-Committees (Legislated and Non-Legislated)</i>
Governance	Corporate Objects	Significant objects NOT relating to corporate identification	<i>See under Administration: Housekeeping</i>
Governance	Correspondence	CEO	<i>See under Governance Records: CEO</i>
Governance	Correspondence	Non-Ministerial	<i>See under relevant class or sub-class</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Governance	Cost Recovery Agreements		<i>See under Legal: Legal Agreements</i>
Governance	Delegations	Financial Delegations and Authorities	<i>See under Financial and Accounting Records</i>
Governance	Establishment	specific DHB Services	<i>See under Strategic Planning and Funding: Establishment of Services</i>
Governance	Executive Groups	Administration	<i>See under Governance</i>
Governance	Executive Groups	Meetings	<i>See Administration: Meetings</i>
Governance	External Agencies	High Level Meetings with, ongoing relationships with (non-board)	<i>See under Governance: Relationship Management</i>
Governance	Legislative Comment and Opinion		<i>See under Legal: Legislation</i>
Governance	Meetings	Board, Board Sub-Committees etc	<i>See under Governance: Board, Sub-Committees (Legislated and Non-Legislated)</i>
Governance	Meetings	Meetings on issues other than internal governance	<i>See under Administration: Meetings</i>
Governance	National Bodies	Representation on	<i>See under Public Relations and Communications</i>
Governance	Ombudsmen Enquiries		<i>See under Public Relations and Communications: Official Information Act</i>
Governance	Organisational Structure	Summaries etc of	<i>See under Human Resources and Personnel</i>
Governance	Relationship Management	Contracts	<i>See under Legal: Legal agreements</i>
Governance	Relationship Management	Land Claims	<i>See under Property and Asset Management</i>
Governance	Relationship Management	Meetings with / about	<i>See under Administration: Meetings</i>
Governance	Relationship Management	Outsourcing / Joint Ventures	<i>See under Legal: Contract Management</i>
Governance	Relationship Management	Reporting	<i>See under: Governance: Reports and Briefing Papers OR Compliance, Audit and Risk Management: Reporting</i>
Governance	Relationship Management	Representation (National Bodies)	<i>See under Administration: Meetings</i>

Governance	Relationship Management	Requests for Information	<i>See under Public Relations and Communications: Requests for Information</i>
Governance	Relationship Management	Strategy and Planning	<i>See under Strategic Planning and Funding</i>
Governance	Reports and Briefing Papers	to Treasury	<i>See under Compliance, Audit and Risk Management</i>
Governance	Service Agreements	Core Public Services	<i>See under Legal: Legal Agreements</i>
Governance	Strategy and Planning		<i>See under Strategic Planning and Funding: High Level Planning and Reporting</i>
Governance	Strategy and Planning	Reporting	<i>See under Strategy and Planning: High Level Planning and Reporting</i>
Hardware	Maintenance		<i>See under Information Management Systems and Services: Installation, Testing and Ongoing Maintenance</i>
Hazardous Substances	Disposal / Management within DHB		<i>See under Property and Asset Management</i>
Hazardous Substances	Regional Monitoring of		<i>See under Population Health</i>
Health and Safety	Employees		<i>See under Human Resources and Personnel</i>
Health and Safety	Compliance		<i>See under Compliance Audit Risk Management: Reporting</i>
Health and Safety	Employees		<i>See under Human Resources and Personnel: Occupational Health and Safety</i>
Health Education and Training	on Public Health issues		<i>See under Population Health</i>
Health Education and Training	Training of medical staff		<i>See under Human Resources and Personnel: Training and Career Development (Employees)</i>
Health Services	Contracting out of		<i>See under Population Health</i>
Health Services	Contracts, Contract Management		<i>See under Legal</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Heating	Maintenance, monitoring of		<i>See under Property and Asset Management: Property, Assets, Buildings: Routine Management</i>
Historical Collections			<i>See under Research Management</i>
Historical Records and Research Material			<i>See under Research Management</i>
Hospital Re-Development	Buildings etc		<i>See under Property and Asset Management: Construction, Works and Engineering</i>
Hospital Re-Development	Project Management		<i>See under Project Management</i>
Housekeeping	Copies of records already held in the corporate recordkeeping system	Significant annotated copies	<i>Copies of significant records with original significant or major annotations that are used as a basis for further changes, or where the copy has become a different record in its own right due to these changes: See under appropriate record class / subclass for disposal action</i>
Housekeeping	Reproductions of records (in whatever format)	Significant Reproductions	<i>Records from outside the DHB where one copy should be kept in the corporate recordkeeping system as it effects DHB policy or operations. For example: Cabinet papers: See under appropriate record class / subclass for disposal action</i>
Human Resources and Personnel	Accident Agreements and Contracts	With ACC / insurers	<i>See under Legal: Contract Management</i>
Human Resources and Personnel	Accident and First Aid Records	of Fatalities and / or prosecution	<i>See under Compliance, Audit and Risk Management</i>
Human Resources and Personnel	Accident and First Aid Records	of Minor incidents	<i>See under Compliance, Audit and Risk Management</i>
Human Resources and Personnel	Annual Leave		<i>See under Human Resources and Personnel: Leave</i>
Human Resources and Personnel	Associations	Employee membership (payment of fees)	<i>See under Financial: Transactions</i>
Human Resources and Personnel	Audits		<i>See under Compliance, Audit and Risk Management</i>

Human Resources and Personnel	Certification of Employees	Legal Advice	<i>See under Legal: Legal Opinion</i>
Human Resources and Personnel	Certification of Employees	Reporting on	<i>See under Compliance, Audit and Risk Management: Reporting</i>
Human Resources and Personnel	Child Care Services for DHB Employees	Compliance	<i>See under Compliance, Audit and Risk Management</i>
Human Resources and Personnel	Conference Participation / Attendance	Administration of	<i>See under Administration</i>
Human Resources and Personnel	Conference Participation / Attendance	Reports on Conferences etc	<i>See under Human Resources and Personnel: Training and Career Development (Employees)</i>
Human Resources and Personnel	Contract Management		<i>See under Legal: Contract Management</i>
Human Resources and Personnel	Contracts	Administration and Facilitation of	<i>See under Legal: Contract Management</i>
Human Resources and Personnel	Contracts	Collective	<i>See under Human Resources and Personnel: Unions</i>
Human Resources and Personnel	Contracts	Individual	<i>See under Human Resources and Personnel: Employment Documentation (Standard)</i>
Human Resources and Personnel	Contracts	Services, Products etc (Final)	<i>See under Legal</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Human Resources and Personnel	Credentials (Employees)		<i>See under Human Resources and Personnel: Certification of Employees</i>
Human Resources and Personnel	Delegations and Authorities		<i>See under Compliance, Audit and Risk Management</i>
Human Resources and Personnel	Disciplinary Information		<i>See under Human Resources and Personnel: Grievances, Disputes and Dismissals AND ALSO under Human Resources and Personnel: Personnel Files</i>
Human Resources and Personnel	Disputes	by individual employees	<i>See under Human Resources and Personnel: Grievances, Disputes and Dismissals</i>
Human Resources and Personnel	Disputes	with Unions	<i>See under Human Resources and Personnel: Unions</i>
Human Resources and Personnel	Duplicates		<i>See under Administration: Housekeeping</i>
Human Resources and Personnel	Employee Groups	Assistance to	<i>See under Human Resources and Personnel: Assistance to Employee Groups</i>
Human Resources and Personnel	Employee Networks		<i>See under Human Resources and Personnel: Networks (Employee)</i>
Human Resources and Personnel	Employee Vetting		<i>See under Compliance, Audit and Risk Management: Security and Vetting</i>
Human Resources and Personnel	Employment	The process of recruiting and employing staff	<i>See under Human Resources and Personnel: Recruitment and Selection</i>
Human Resources and Personnel	Evaluations	Certification of employees	<i>See under Human Resources and Personnel: Certification of Employees</i>
Human Resources and Personnel	Evaluations	of Employee compliance	<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Human Resources and Personnel	Evaluations	of Employee performance	<i>See under Human Resources and Personnel: Performance Management and Employee Assessments</i>
Human Resources and Personnel	Evaluations	Reports	<i>See under Compliance, Audit and Risk Management: Reporting</i>

Human Resources and Personnel	For Your Information		<i>See under Administration: Housekeeping</i>
Human Resources and Personnel	Industry Training	DHB involvement with	<i>See under Human Resources and Personnel: Training and Career Development (Employees)</i>
Human Resources and Personnel	Issues (Employee)	Grievances, Misconduct etc	<i>See under Human Resources and Personnel: Grievances, Disputes and Dismissals</i>
Human Resources and Personnel	Legal Submissions and Opinions		<i>See under Legal</i>
Human Resources and Personnel	Meetings		<i>See under Administration</i>
Human Resources and Personnel	Misconduct (Employees)		<i>See under Human Resources and Personnel: Grievances, Disputes and Dismissals</i>
Human Resources and Personnel	Occupational Health and Safety	Incident / Accident / Near Miss	<i>See under Compliance, Audit and Risk Management: Incident/ Accident/ Near Miss</i>
Human Resources and Personnel	Occupational Health and Safety	Committee Meetings	<i>See under Administration: Meetings</i>
Human Resources and Personnel	Occupational Health and Safety	Planning	<i>See under Strategic Planning and Funding</i>
Human Resources and Personnel	Overtime		<i>See under Human Resources and Personnel: Attendance</i>
Human Resources and Personnel	Payroll	Administration	<i>See under Financial and Accounting: Payroll</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Human Resources and Personnel	Payroll	Audits (Routine)	<i>See under Compliance, Audit and Risk Management</i>
Human Resources and Personnel	Payroll	Management of Information Systems	<i>See under Information Management Systems and Services</i>
Human Resources and Personnel	Performance Agreements	Chief Executive	<i>See under Governance</i>
Human Resources and Personnel	Performance Agreements	All Employees apart from Chief Executive	<i>See under Human Resources and Personnel: Performance Management and Employee Assessments</i>
Human Resources and Personnel	Performance Appraisal		<i>See under Human Resources and Personnel: Performance Management and Employee Assessments</i>
Human Resources and Personnel	Performance Management and Employee Assessments	Certification of Medical Staff	<i>See under Human Resources and Personnel: Certification of Employees</i>
Human Resources and Personnel	Personnel Files	Employee Health and Safety	<i>See under Human Resources and Personnel: Occupational Health and Safety</i>
Human Resources and Personnel	Personnel Files	Summaries of personnel history	<i>See under Human Resources and Personnel: Summaries of Employee Histories</i>
Human Resources and Personnel	Policies and Procedures		<i>See under Policies and Procedure: Master Documents</i>
Human Resources and Personnel	Reporting		<i>See under Compliance, Audit and Risk Management: Reporting</i>
Human Resources and Personnel	Reporting	To Ministers	<i>See under Governance Records: Reports and Briefing Papers</i>
Human Resources and Personnel	Reviews		<i>See under Compliance, Audit and Risk Management</i>
Human Resources and Personnel	Risk Management		<i>See under Compliance, Audit and Risk Management</i>

Human Resources and Personnel	Rosters		<i>See under Human Resources and Personnel: Attendance</i>
Human Resources and Personnel	Salary Rates and Ranges	for Individual Employees	<i>If on Personnel file: apply the same retention period as for Human Resources and Personnel: Personnel Files</i>
Human Resources and Personnel	Screening	of Employees etc	<i>See under Compliance, Audit and Risk Management: Security Vetting</i>
Human Resources and Personnel	Screening	Information on Personnel File	<i>See under Human Resources and Personnel: Personnel Files</i>
Human Resources and Personnel	Staff Associations		<i>See under Human Resources and Personnel: Associations</i>
Human Resources and Personnel	Staff Grievances etc		<i>See under Human Resources and Personnel: Grievances, Disputes or Dismissals</i>
Human Resources and Personnel	Strategy and Planning		<i>See under Strategic Planning and Funding</i>
Human Resources and Personnel	Study Reports	from Employees	<i>See under Human Resources and Personnel: Training and Career Development</i>
Human Resources and Personnel	Superannuation and Medical Schemes	Management of	<i>See under Compliance, Audit and Risk Management</i>
Human Resources and Personnel	Taxation	of Employees	<i>See under Financial and Accounting</i>
Human Resources and Personnel	Timesheets		<i>See under Human Resources and Personnel: Attendance</i>
Human Resources and Personnel	Training and Career Development (Employees)	Conference participation / attendance by Employees	<i>See under Public Relations and Communications: Conferences, Seminars, Workshops etc</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
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Human Resources and Personnel	Training and Career Development (Employees)	Staff membership of Associations	<i>See under Human Resources and Personnel: Associations</i>
Human Resources and Personnel	Travel (Employee)	Administration	<i>See under Administration</i>
Human Resources and Personnel	Vetting	of Job Applicants	<i>See under Recruitment and Selection: Administration</i>
Human Resources and Personnel	Vetting	of employees	<i>See under Compliance Audit Risk Management: Security and Vetting</i>
Human Resources and Personnel	Volunteer Management	Guidelines for Volunteers	<i>See under Policy and Procedure: Master Documents</i>
Human Resources and Personnel	Volunteer Management	Vetting of Volunteers	<i>See under Compliance Audit Risk Management</i>
Human Resources and Personnel	Working Papers	Minor	<i>See under Administration: Housekeeping</i>
Incident Management	Clinical		<i>See under Clinical: Quality Control: Legal Matters and Incident Reporting</i>
Incident Management	Non Clinical		<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Immunisation	Programme Development		<i>See under Project Management: Project Maintenance</i>
Immunisation	Programme Management		<i>See under Project Management: Programmes</i>
Immunisation	Programme Strategy	Development	<i>See under Strategic Planning and Funding: Development of Strategy</i>
Industrial Relations			<i>See under Human Resources and Personnel</i>

Information Management Systems and Services	Contact and Address Lists		<i>See under Administration: Contact and Address Lists</i>
Information Management Systems and Services	Contracts and Contract Management		<i>See under Legal: Legal Agreements and Legal: Contract Management</i>
Information Management Systems and Services	Development		<i>See under Information Management Systems and Services: System Development</i>
Information Management Systems and Services	Duplicate and Guard Files/Records		<i>See under Administration: Housekeeping</i>
Information Management Systems and Services	Hardware Maintenance		<i>See under Information Management Systems and Services: Installation, Testing and Ongoing Maintenance</i>
Information Management Systems and Services	Projects	Management of	<i>See under Project Management</i>
Information Management Systems and Services	Meetings		<i>See under Administration: Meetings</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Information Management Systems and Services	Procurement, Purchase, Supply	of systems	<i>See under Procurement and Supply: Information Systems</i>
Information Management Systems and Services	Strategy		<i>See under Strategic Planning and Funding</i>
Information Management Systems and Services	System Development / Establishment	Contracts	<i>See under Legal: Legal Agreements and Legal: Contracts Management</i>
Information Management Systems and Services	System Maintenance		<i>See under Information Management Systems and Services: Installation, Testing and Ongoing Maintenance</i>

Information Management Systems and Services	System Management	Joint Ventures	<i>See under Legal: Contract Management</i>
Information Management Systems and Services	User Guides	Developed in-house	<i>See under Policy and Procedure: Master Copies</i>
Instructions	Superseded		<i>See under Administration: Housekeeping</i>
Insurance	Policies and claim documentation		<i>See under Legal: Contract Management</i>
Intellectual Property			<i>See under Governance: Corporate Identity</i>
IRD			<i>See under Finance and Accounting: Taxation</i>
Issues	Monitoring, reporting on	Clinical	<i>See under Clinical: Quality Control: Legal Matters and Incident Reporting</i>
Issues	Monitoring, reporting on	Non-Clinical	<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Issues	Employee	Grievances, Misconduct etc	<i>See under Human Resources and Personnel: Grievances, Disputes and Dismissals</i>
Joint Ventures	Contracts	Negotiation, Development etc	<i>See under Legal: Contract Management</i>
Joint Ventures	Management of		<i>See under Project Management</i>
Land Claims	Maori		<i>See under Property and Asset Management</i>
Lease Agreements			<i>See under Legal: Lease Agreements</i>
Leave	Employees		<i>See under Human Resources and Personnel</i>
Legislation	Comment on		<i>See under Legal: Legislation</i>
Legal	Action	on / for DHBs	<i>See under Legal: Legal Action, Litigation, Claims and Disputes Involving the DHB</i>
Legal	Advice		<i>See under Legal: Legal Opinions</i>
Legal	Contracts	Finals and Masters	<i>See under Legal: Legal Agreements</i>
Legal	Complaints and Incidents	Clinical	<i>See under Clinical: Quality Control: Legal Matters and Incident Reporting</i>
Legal	Complaints and Incidents	Non-Clinical	<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Legal	Contract Management	Contracts	<i>See under Legal: Legal Agreements</i>
Legal	Contract Management	Performance Evaluations / Reviews	<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
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Legal	Duplicates of court and judicial records		<i>See under Administration: Housekeeping</i>
Legal	Emergency Management and Contingency Planning		<i>See under Compliance Audit Risk Management</i>
Legal	Legal Action, Litigation, Claims and Disputes Involving the DHB	Duplicates	<i>See under Administration: Housekeeping: Duplicates of Court and Judicial Records</i>
Legal	Legal Advice		<i>See under Legal: Legal Opinions</i>
Legal	Meetings		<i>See under Administration</i>
Legal	Memoranda of Understanding	Finals and Masters	<i>See under Legal: Legal Agreements</i>
Legal	Regulations	Monitoring of, Application of	<i>See under Policy and Procedure</i>
Legal	Risk Management		<i>See under Compliance, Audit and Risk Management</i>
Legal	Statutory and Regulatory		<i>See under Governance Records</i>
Legal	Appointments		
Legal	Tender Documentation		<i>See under Procurement and Supply</i>
Library	Management of, Services etc		<i>See under Information Management Systems and Services: Library Services</i>
Licensing	of premises		<i>See under Population Health</i>

Liquid Waste	Monitoring of		<i>See under Population Health</i>
Loans	Raising and use of		<i>See under Strategic Planning and Funding: Loans</i>
Local Government	Information from		<i>See under Administration: Housekeeping</i>
Local Government	Meetings with		<i>See under Administration: Meetings</i>
Local Government	Relationships with		<i>See under Public Relations and Communications</i>
Local Government	Reports to		<i>See under Compliance Audit Risk Management: Reporting: Non-Financial (Minor)</i>
Local Government	Strategy and Planning with		<i>See under Strategic Planning and Funding</i>
Lost Records	Duplicates of		<i>See under Administration: Housekeeping: Duplicate Records</i>
Mail Services	Operation of, Distribution of mail etc		<i>See under Information Management Systems and Services</i>
Manuals	of quality systems, procedures etc	Created within DHB	<i>See under Policy and Procedure: Master Documents</i>
Manuals	of quality systems, procedures etc	from other agencies	<i>See under Administration: Housekeeping</i>
Maori	Health Management		<i>See under relevant class or sub-class. For example, for board liason, see under Governance. For meetings about, see under Administration: Meetings. For policy on, see under Policy and Policy and Procedures. For administration of property, facilities etc see under Property and Facilities Management. For career development, see under Human Resources and Personnel: Training and Career Development, for projects relating to Maori health, see under Project Management etc</i>
Maori	Land Claims		<i>See under Property and Asset Management</i>
Maori	Governance	Board liason, meetings etc	<i>See under Governance: Maori</i>
Maori	Meetings with / about		<i>See under Administration: Meetings</i>
Maori	Treaty of Waitangi Relationships		<i>See under Compliance, Audit and Risk Management</i>
Market research			<i>See under Research Management: Surveys and Opinion Polls</i>
Meals	Supply of meals to patients or employees		<i>See under Property and Asset Management: Tea Room, Cafeteria and Food Service Facilities</i>
Media	Monitoring of, relationships with		<i>See under Public Relations and Communications</i>
Medical Schemes	for staff	Management of DHB Schemes	<i>See under Compliance, Audit and Risk Management</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Medical Schemes	for staff	Administration of externally-run schemes	<i>See under Compliance, Audit and Risk Management</i>
Meetings	Board		<i>See under Governance Records</i>
Meetings	Board		<i>See under Governance Records</i>
Meetings	within DHBs		<i>See under Administration</i>
Memoranda of Understanding			<i>See under Legal</i>
Ministers	Correspondence		<i>See under Governance Records</i>
Ministers	Financial Approvals from		<i>See under Finance and Accounting Records</i>
Ministers	Public communications prepared for		<i>See under Public Relations and Communications: External Communications</i>
Ministers	Reports, Briefing Papers etc to		<i>See under Governance Records</i>
Misconduct (Employees)			<i>See under Human Resources and Personnel: Grievances, Disputes and Dismissals</i>
Mundane Records			<i>See under Administration: Housekeeping: Trivial Work Related Material</i>
National Bodies	Representation on		<i>See under Public Relations and Communications</i>
Networks	for employees		<i>See under Human Resources and Personnel</i>

Occupational Health and Safety	Administration of		<i>See under Human Resources and Personnel: Health Safety and Welfare (Employees)</i>
Occupational Health and Safety	Incident / Accident / Near Miss		<i>See under Compliance, Audit and Risk Management: Incident/ Accident/ Near Miss</i>
Occupational Health and Safety	Individual Employee Files		<i>See under Human Resources and Personnel: Health Safety and Welfare (Employees)</i>
Occupational Health and Safety	Committee Meetings		<i>See under Administration: Meetings</i>
Occupational Health and Safety	Planning		<i>See under Strategic Planning and Funding</i>
Offences	against patients		<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Offences	against employees		<i>See under Human Resources and Personnel: Grievances, Disputes, Dismissals</i>
Offences	legal advice		<i>See under Legal: Legal Opinion</i>
Official Information Act	Requests		<i>See under Public Relations and Communications</i>
Ombudsmen Enquiries	Official Information Act		<i>See under Public Relations and Communications: Official Information Act</i>
Organisational Structure	Summaries etc of		<i>See under Human Resources and Personnel</i>
Outbreaks of disease	Monitoring, management of		<i>See under Population Health</i>
Outsourcing	Contracts	Negotiation, Development etc	<i>See under Legal: Contract Management</i>
Outsourcing	Management of		<i>See under Project Management</i>
Overtime			<i>See under Human Resources and Personnel: Attendance</i>
Ownership documentation			<i>See under Legal: Deeds and Titles of Ownership</i>
Pandemics	Guidelines for management of		<i>See under Population Health</i>
Parliamentary Questions			<i>See under Public Relations and Communications</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Patient	Equipment	Procurement, Issue, Disposal of	<i>See under Procurement and Supply Management: Stores, supplies, fixtures, fittings and plant / equipment: Procurement, issue, disposal of</i>
Patient	Schooling		<i>See under Human Resources and Personnel: Training and Career Development (Patients)</i>
Partnerships	Programmes		<i>See under Project Management: Programme Management</i>
Partnerships	Relationship Management		<i>See under Governance: Relationship Management</i>
Partnerships	Reporting on		<i>See under Compliance, Audit and Risk Management: Reporting</i>
Payroll	Administration		<i>See under Financial and Accounting: Payroll</i>
Payroll	Audits (Routine)		<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations (Minor)</i>
Payroll	Management of Information Systems		<i>See under Information Management Systems and Services</i>
Performance Agreements	Chief Executive		<i>See under Governance</i>
Performance Agreements	All Employees apart from Chief Executive		<i>See under Human Resources and Personnel: Performance Management and Employee Assessments</i>
Performance Appraisals			<i>See under Human Resources and Personnel: Performance Management and Employee Assessments</i>
Performance Management	Employees		<i>See under Human Resources and Personnel: Performance Management and Employee Assessments</i>

Performance Management	of groups / sections / services Auditing / Evaluation of	See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations
Performance Management	of groups / sections / services Reports	See under Compliance, Audit and Risk Management: Reporting
Performance Management	of projects	See under Project Management: Reporting
Performance Management	Reports	See under Reports
Permits	Regulatory etc	See under Compliance, Audit and Risk Management: Standards and Regulations
Personnel	Management of	See under Human Resources and Personnel
Personnel	Individual files of	See under Human Resources and Personnel
Pharmaceutical	Refrigeration records	See under Property and Asset Management: Property, Assets, Buildings: Routine Management
Photographs	Historical	See under Research Management: Historical and Research Material
Photographs	Current	See under Public Relations and Communications
Planning		See under Strategic Planning and Funding
Planning	Group / Section Contributions to summarised reports	See under Strategic Planning and Funding: Administration
Planning	Governance Planning	See under Governance: Planning and Reporting
Planning and Funding	Audits	See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations
Planning and Funding	Contract Management	See under Legal: Contract Management
Planning and Funding	Strategic	See under Strategic Planning and Funding
Plans	Major	See under Property and Asset Management: Construction, Works and Engineering: Major
Plans	Minor	See under Property and Asset Management: Construction, Works and Engineering: Minor

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Plans Policy and Procedure	Indexes to Administration		See under Information Management Systems and Services: Control and Location Indices / Guides See under Policy and Procedure
Policy and Procedure	Copies		See under Administration: Housekeeping
Policy and Procedure	Health Services		See under Policy and Procedure: Master Copies (non-finance) : Section / Group / Service Specific
Policy and Procedure	Issues with		See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)
Policy and Procedure	Issues with	Monitoring of	See under Compliance, Audit and Risk Management: Issues Monitoring
Policy and Procedure	Master Documents (non - DHB)		See under Administration: Housekeeping
Policy and Procedure	Meetings about		See under Administration
Policy and Procedure	Reviews of		See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations
Policy and Procedure	Standard Operating Procedures		See under relevant sub-class under Policy and Procedure

Policy and Procedure	User Guides	Masters	<i>See under Policy and Procedure: Master Copies</i>
Policy and Procedure	User Guides	Copies of	<i>See under Administration: Housekeeping</i>
Population Health	Air Quality	Administration	<i>See under Population Health</i>
Population Health	Air Quality	Contracts	<i>See under Legal: Legal Agreements</i>
Population Health	Air Quality	Guidelines developed within the DHB	<i>See under Policy and Procedure: Master documents</i>
Population Health	Air Quality	Guidelines from External Agencies	<i>See under Administration: Housekeeping</i>
Population Health	Background information		<i>See under Administration: Housekeeping</i>
Population Health	Campaigns		<i>See under Public Relations and Communications</i>
Population Health	Communicable Disease Control	Guidelines developed within the DHB	<i>See under Policy and Procedure: Master documents</i>
Population Health	Communicable Disease Control	Guidelines from External Agencies	<i>See under Administration: Housekeeping</i>
Population Health	Communicable Disease Control	Plans for disease / infection control	<i>See under Strategic Planning and Funding</i>
Population Health	Complaints	About quality of drinking water, food, etc	<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Population Health	Contracting out of services		<i>See under Legal: Contract Management</i>
Population Health	Data		<i>See under Research Management</i>
Population Health	Education and Training	Public Health Programmes (staff)	<i>See under Human Resources and Personnel: Training and Career Development</i>
Population Health	Emergency Management	for civil emergencies	<i>See under Population Health: Civil Defence</i>
Population Health	Emergency Management	for toxic spills etc	<i>See under Population Health: Environmental Health</i>
Population Health	Environmental Health	Contracts	<i>See under Legal: Legal agreements</i>
Population Health	Environmental Health	Data	<i>See under Research Management</i>
Population Health	Environmental Health	Guidelines developed within the DHB	<i>See under Policy and Procedure: Master documents</i>
Population Health	Environmental Health	Guidelines (External)	<i>See under Administration: Housekeeping</i>
Population Health	Environmental Health	Plans	<i>See under Strategic Planning and Funding</i>
Population Health	Environmental Health	Programme Management	<i>See under Project Management: Programme Management</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Population Health	Environmental Health	Promotion	<i>See under Public Relations and Communication</i>
Population Health	Environmental Health	Solid Waste Disposal	<i>See under Population Health: Solid Waste Disposal</i>
Population Health	Environmental Health	Surveys	<i>See under Research Management</i>
Population Health	External Communications		<i>See under Public Relations and Communications</i>
Population Health	Resource Consents		<i>See under Compliance, Audit and Risk Management</i>
Population Health	Epidemics		<i>See under Population Health: Communicable Disease Control</i>
Population Health	Food Safety	Guidelines	<i>See under Policy and Procedure: Master Documents</i>
Population Health	Guidelines	Created within DHB	<i>See under Policy and Procedure: Master documents</i>
Population Health	Guidelines	From external agencies	<i>See under Administration: Housekeeping</i>
Population Health	Hazardous Substances	Monitoring of	<i>See under Population Health: Air Quality, or under Population Health: Environmental Health or Population Health: Solid Waste Disposal or Population Health: Water Quality</i>
Population Health	Health Education and Training		<i>See under Project Management: Programme Maintenance</i>
Population Health	Housing and Health	Guidelines developed within the DHB	<i>See under Policy and Procedure: Master documents</i>
Population Health	Housing and Health	Guidelines (External)	<i>See under Administration: Housekeeping</i>

Population Health	Legal	Precedents, Advice etc	<i>See under Legal: Legal Opinions</i>
Population Health	Licences	Liquor, Food etc	<i>See under Population Health: Premises</i>
Population Health	Liquid Waste	Monitoring etc	<i>See under Population Health: Environmental Health</i>
Population Health	Liquor Licensing	Compliance etc	<i>See under Population Health: Premises</i>
Population Health	Meetings		<i>See under Administration</i>
Population Health	Monitoring	Diseases, food quality, water quality	<i>See under relevant heading under Population Health</i>
Population Health	Plans	Public Health Risk Management Plans, Group Strategic Plans etc	<i>See under Strategic Planning and Funding</i>
Population Health	Policies and Procedures		<i>See under Policy and Procedure</i>
Population Health	Premises	Guidelines developed within the DHB	<i>See under Policy and Procedure: Master documents</i>
Population Health	Premises	Guidelines (External)	<i>See under Administration: Housekeeping</i>
Population Health	Premises	Monitoring of Licences	<i>See under Population Health</i>
Population Health	Programmes	Management of	<i>See under Project Management</i>
Population Health	Promotion		<i>See under Public Relations and Communication</i>
Population Health	Quarantine Health	Guidelines developed within the DHB	<i>See under Policy and Procedure: Master documents</i>
Population Health	Quarantine Health	Guidelines (External)	<i>See under Administration: Housekeeping</i>
Population Health	Regulations	Monitoring of	<i>See under Compliance, Audit and Risk Management: Standards and Regulations: Compliance with External Standards</i>
Population Health	Resource Management	Consent applications, impact reports etc	<i>See under Population Health: Environmental Health</i>
Population Health	Solid Waste Disposal	Guidelines developed within the DHB	<i>See under Policy and Procedure: Master documents</i>
Population Health	Solid Waste Disposal	Guidelines (External)	<i>See under Administration: Housekeeping</i>
Population Health	Shellfish	Monitoring of	<i>See under Population Health: Environmental Health</i>
Population Health	Smoke-Free environments		<i>See under Population Health: Environmental Health</i>
Population Health	Surveys		<i>See under Research Management</i>
Population Health	Toxic Substances	Monitoring of	<i>See under Population Health: Environmental Health</i>
Population Health	Tuberculosis	Background information on	<i>See under Administration: Housekeeping</i>
Population Health	Tuberculosis	Protocols, Procedures etc	<i>See under Policy and Procedure</i>
Population Health	Water Quality	Guidelines developed within the DHB	<i>See under Policy and Procedure: Master documents</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Population Health	Water Quality	Guidelines (External)	<i>See under Administration: Housekeeping</i>
Premises	Internal (owned or managed by DHB / part of campus)	Maintenance of	<i>See under Property and Asset Management</i>
Premises	Procurement of		<i>See under Procurement and Supply</i>
Privacy Act	Compliance with		<i>See under Compliance, Audit and Risk Management: Standards and Regulations</i>
Privacy Act	Legal opinions / advice on		<i>See under Legal: Legal Opinion</i>
Privacy Act	Requests and Complaints		<i>See under Public Relations and Communications</i>
Procurement and Supply Management	Asset Register		<i>See under Property and Asset Management: Assets</i>
Procurement and Supply Management	Contracts and Agreements	Finals and Masters	<i>See under Legal: Legal Agreements</i>
Procurement and Supply Management	Contract Management		<i>See under Legal: Contract Management</i>

Procurement and Supply Management	Disposal of Assets	Stores, supplies, fixtures, fittings and plant / equipment, uniforms etc	<i>See under Procurement and Supply Management: Stores, supplies, fixtures, fittings and plant / equipment</i>
Procurement and Supply Management	Disposal of Assets	Vehicles	<i>See under Procurement and Supply Management: Vehicles</i>
Procurement and Supply Management	Drugs	Delivery, distribution etc	<i>See under Clinical: Pharmaceutical Supply and Administration: Clinical Trials</i>
Procurement and Supply Management	Equipment Supply	To patients / clients	<i>See under Procurement and Supply Management: Stores, supplies, fixtures, fittings and plant / equipment: Procurement, issue, disposal of</i>
Procurement and Supply Management	Financial Management of		<i>See under Financial and Accounting</i>
Procurement and Supply Management	Information Systems	Contracts of purchase, licensing, vendor supply etc	<i>See under Legal</i>
Procurement and Supply Management	Information Systems	Installation and testing	<i>See under Information Management Systems and Services</i>
Procurement and Supply Management	Meetings		<i>See under Administration</i>
Procurement and Supply Management	Pharmaceutical supplies		<i>See under Clinical: Pharmaceutical Supply and Administration</i>
Procurement and Supply Management	Services	Contracting out of, monitoring of external services etc	<i>See under Compliance, Audit and Risk Management</i>
Procurement and Supply Management	Stores, supplies, fixtures, fittings and plant / equipment	Installation, maintenance, storage of	<i>See under Property and Asset Management</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Procurement and Supply Management	Tender Documentation	Records of tenders made by the DHB, and by suppliers to the DHB	<i>See under Procurement and Supply Management</i>
Procurement and Supply Management	Vehicles	Maintenance, service, operation of	<i>See under Property and Asset Management</i>
Programmes	Compliance of		<i>See under Compliance, Audit and Risk Management</i>
Programmes	Development, Administration, Maintenance of		<i>See under Project Management: Project Maintenance</i>
Project Management	Contract Management		<i>See under Legal</i>
Project Management	Contracts		<i>See under Legal</i>
Project Management	Projects	Establishment	<i>See under Project Management: Project Maintenance</i>
Project Management	Projects	IT	<i>See under Information Management Systems and Services</i>
Project Management	Projects	Maintenance (Significant Property)	<i>See under Property and Asset Management</i>
Project Management	Planning		<i>See under Strategic Planning and Funding: Development of Strategy</i>
Project Management	Projects	Reporting (major)	<i>Depends on type of report. See under Reports for guidelines</i>
Project Management	Projects	Reporting (minor)	<i>Depends on type of report. See under Reports for guidelines</i>
Project Management	Programmes	Establishment	<i>See under Project Management: Project Maintenance</i>
Project Management	Programmes	Reporting (major)	<i>Depends on type of report. See under Reports for guidelines</i>
Project Management	Programmes	Reporting (minor)	<i>Depends on type of report. See under Reports for guidelines</i>
Promotions			<i>See under Public Relations and Communication: Campaigns</i>
Property and Asset Management	Agreements		<i>See under Legal: Legal Agreements</i>

Property and Asset Management	Assets	Disposal of Minor Assets	<i>See under Procurement and Supply Management</i>
Property and Asset Management	Assets	Procurement of	<i>See under Procurement and Supply Management</i>
Property and Asset Management	Cafeteria etc		<i>See under Property and Asset Management: Tearoom Cafeteria and Food Service Facilities</i>
Property and Asset Management	Campus Redevelopment		<i>See under Property and Asset Management: Construction, Works and Engineering</i>
Property and Asset Management	Contracts	for service, maintenance etc	<i>See under Legal: Legal agreements or Legal: Contract Management</i>
Property and Asset Management	Contracts		<i>See under Legal: Legal Agreements</i>
Property and Asset Management	Contract Management		<i>See under Legal: Contract Management</i>
Property and Asset Management	Deeds of title and ownership		<i>See under Legal</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Property and Asset Management	Disposal	Major Capital Assets	<i>See under Procurement and Supply</i>
Property and Asset Management	Disposal	Minor Assets such as stores, supplies, fixtures, fittings and plant / equipment etc	<i>See under Procurement and Supply</i>
Property and Asset Management	Disposal	Vehicles etc	<i>See under Procurement and Supply: Vehicles</i>
Property and Asset Management	Establishment	of Assets, Buildings etc	<i>See under Property and Asset Management: Construction, Works and Engineering and also under Property and Asset Management: Land Claims on DHB</i>
Property and Asset Management	Financial Management of		<i>See under Financial and Accounting</i>
Property and Asset Management	Food Services		<i>See under Property and Asset Management: Tea room, Cafeteria and Food Services Facilities</i>
Property and Asset Management	Lease Agreements	Expensive Capital Items	<i>See under Legal: Lease Agreements</i>
Property and Asset Management	Legal Contracts	Routine / minor	<i>See under Legal: Legal Agreements</i>
Property and Asset Management	Legal Contracts	Significant	<i>See under Legal: Legal Agreements</i>
Property and Asset Management	Ownership documentation		<i>See under Legal: Deeds and Titles of Ownership</i>
Property and Asset Management	Plans and Specifications	Indexes to	<i>See under Information Management Systems and Services: Control and Location Indices / Guides</i>
Property and Asset Management	Plans and Specifications	Major	<i>See under Property and Asset Management: Construction, Works and Engineering: Major</i>
Property and Asset Management	Plans and Specifications	Minor	<i>See under Property and Asset Management: Construction, Works and Engineering: Minor</i>
Property and Asset Management	Projects		<i>See under Project Management</i>
Property and Asset Management	Projects	Financing of	<i>See under Finance</i>

Property and Asset Management	Projects	Plans	<i>See under Property and Asset Management: Construction, Works and Engineering</i>
Property and Asset Management	Property Access and Concession Rights	In Perpetuity Final Agreements	<i>See under Legal</i>
Property and Asset Management	Property Access and Concession Rights	Fixed Term Final Agreements	<i>See under Legal</i>
Property and Asset Management	Regulatory Compliance		<i>See under Compliance, Audit and Risk Management: Standards and Regulations</i>
Property and Asset Management	Renovation		<i>See under Property and Asset Management: Projects</i>
Property and Asset Management	Resource Consents		<i>See under Compliance, Audit and Risk Management</i>
Property and Asset Management	Security	Employee Security and Criminal Vetting	<i>See under Compliance, Audit and Risk Management</i>
Property and Asset Management	Security	Surveillance Tapes	<i>See under Compliance, Audit and Risk Management</i>
Property and Asset Management	Stationery	Management	<i>See under Administration</i>
Property and Asset Management	Stationery	Purchasing	<i>See under Procurement and Supply Management</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Property and Asset Management	Tea Room, Cafeteria and Food Service Facilities	Food Supply	<i>See under Procurement and Supply Management: Stores, supplies, fixtures, fittings and plant / equipment: Procurement, Issue, Disposal of</i>
Property and Asset Management	Tenanted DHB Properties	Employee Accommodation Rental Payments	<i>See under Human Resources and Personnel: Rental Payments and Agreements</i>
Property and Asset Management	Tenanted DHB Properties	Leases and Rental Agreements	<i>See under Legal</i>
Property and Asset Management	Tender Documentation		<i>See under Procurement and Supply</i>
Property and Asset Management	Titles of Ownership		<i>See under Legal: Deeds and Titles of ownership</i>
Property and Asset Management	Vehicles	Procurement and disposal of	<i>See under Procurement and Supply Management</i>
Property Services Providers	Contract Management		<i>See under Property and Asset Management</i>
Property Services Providers	Legal agreements with		<i>See under Legal: Contract Management</i>
Property Services Providers	Maintenance of		<i>See under Legal: Legal Agreements</i>
Property Services Providers	Management of funding related to		<i>See under Strategic Planning and Funding: Providers (Funding and Services)</i>
Property Services Providers	Monitoring of		<i>See under Strategic Planning and Funding: Providers (Funding and Services)</i>
Publications	Financial		<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Publications	of DHB Histories etc		<i>See under Public Relations and Communications</i>
Publications	Non-financial, non-historical relating to DHB, created within DHB, created for DHB etc		<i>See under Research Management</i>
Public Relations and Communication	Attendance at Cabinet and Select Committees		<i>See under Public Relations and Communications</i>
			<i>See under Governance: Reports and Briefing Papers</i>

Public Relations and Communications	Complaints	Complaints against the DHB that are registered as an Incident	<i>See under Compliance, Audit and Risk Management: Complaint and Incidence Management</i>
Public Relations and Communications	Complaints	Significant complaints against the DHB	<i>See under Compliance, Audit and Risk Management: Complaint and Incidence Management</i>
Public Relations and Communications	External Communications	Financial Accounts (Published)	<i>See under Strategic Planning and Reporting: Financial</i>
Public Relations and Communications	Local Government Act 2002	Documentation and Reports required under the Act	<i>See under Compliance, Audit and Risk Management: Reporting</i>
Public Relations and Communications	Meetings		<i>See under Administration: Meetings</i>
Public Relations and Communication	Ministerial Correspondence		<i>See under Governance: Correspondence (Ministerial)</i>
Public Relations and Communication	Ministerial Correspondence	Audit / analysis of	<i>See under Compliance, Audit and Risk Management</i>
Public Relations and Communication	Ministerial Decision Approvals/Rejections		<i>See under Governance: Approvals</i>
Public Relations and Communication	Ministerial Delegations		<i>See under Governance: Delegations</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Public Relations and Communication	Ministerial Reporting		<i>See under Governance: Reports and Briefing Papers</i>
Public Relations and Communications	Ombudsmen Enquiries		<i>See under Governance: Relationship Management</i>
Public Relations and Communications	Promotions		<i>See under Public Relations and Communication: Campaigns</i>
Public Relations and Communications	Publications (External)		<i>See under Administration: Housekeeping</i>
Public Relations and Communications	Publications (In-House)	Circulars and Memorandum (DHB-Wide)	<i>See under Policy and Procedure: Master Documents: DHB-Wide (Major)</i>
Public Relations and Communications	Representation of DHB	National Bodies	<i>See under Administration: Meetings</i>
Public Relations and Communications	Requests for Information	Official Information Act	<i>See under Public Relations and Communications: Official Information Act</i>
Public Relations and Communications	Requests for Information	Privacy Act	<i>See under Public Relations and Communications: Privacy Act Requests and Complaints</i>
Public Relations and Communications	Sponsorship	Minor sponsorship and routine sponsorship administration	<i>See under Administration</i>
Public Relations and Communications	User Guides		<i>See under Policy and Procedure: Master Documents</i>
Public Relations and Communications	VIP/Senior Officials' Visits	Administration of	<i>See under Public Relations and Communications: Administration</i>
Public Health			<i>See under Population Health</i>
Published Material	Financial		<i>See under Public Relations and Communications: External Communications</i>
Published Material	of DHB Histories etc		<i>See under Research Management</i>
Published Material	Non-financial, non-historical relating to DHB, created within DHB, created for DHB etc		<i>See under Public Relations and Communications</i>

Purchasing

See under Procurement and Supply Management

Quality Audit			<i>See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations</i>
Quality Management			<i>See under Compliance, Audit and Risk Management</i>
Quality Management	Systems	Manuals etc	<i>See under Policy and Procedure: Master Documents</i>
Quarantine Health			<i>See under Population Health</i>
Records	Administration		<i>See under Information Management Systems and Services: Records Management</i>
Management			
Records	Programme		<i>See under Project Management: Programme Management</i>
Management			

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Records	Records storage		<i>See under Property and Asset Management: Property, Assets, Buildings: Routine Management</i>
Management			
Recruitment and selection	of employees		<i>See under Human Resources and Personnel</i>
Reference Material			<i>See under Administration: Housekeeping</i>
Refrigeration	Maintenance, monitoring of		<i>See under Property and Asset Management: Property, Assets, Buildings: Routine Management</i>
Registers	of risk, research monitoring etc		<i>See under Information Management Systems and Services: Control and Location Indices/Guides</i>
Regulations			<i>See under Compliance, Audit Risk Management: Standards and Regulations</i>
Regulatory			<i>See under Compliance, Audit and Risk Management</i>
Compliance			
Relationship	Contracts		<i>See under Governance: Relationship Management</i>
Management			
Relationship	Land Claims		<i>See under Property and Asset Management</i>
Management			
Relationship	Meetings with / about		<i>See under Administration: Meetings</i>
Management			
Relationship	Reporting		<i>See under: Governance: Reports and Briefing Papers OR Compliance, Audit and Risk Management: Reporting</i>
Management			
Relationship	Representation (National		<i>See under Administration: Meetings</i>
Management	Bodies)		
Relationship	Requests for Information		<i>See under Public Relations and Communications: Requests for Information</i>
Management			
Relationship	Strategy and Planning		<i>See under Strategic Planning and Funding</i>
Management			
Representation	of DHB at meetings		<i>See under Administration: Meetings</i>
Representation	on Boards of Governance etc		<i>See under Governance</i>
Rental Agreements			<i>See under Legal: Lease Agreements</i>
Reports	Board		<i>See under Governance: Board: Reports</i>
Reports	Board Committees		<i>See under Governance: Board, Sub-Committees (Legislated and Non-Legislated): Reports</i>
Reports	Compliance, Performance		<i>See under Compliance, Audit and Risk Management: Reporting</i>
Reports	Reporting		
Reports	external agencies (to)		<i>See under Compliance, Audit and Risk Management: Reporting</i>
Reports	Financial		<i>See under Financial and Accounting: Reporting</i>
Reports	Governance		<i>See under Governance</i>
Reports	Internal	relating to function, task etc	<i>See under relevant class / sub-class</i>
Reports	Maori	Governance	<i>See under Governance: Maori</i>
Reports	Ministerial		<i>See under Governance: Reports and Briefing Papers</i>
Reports	Monthly Scorecard etc		<i>See under Compliance, Audit and Risk Management: Reporting</i>
Reports	Planning		<i>See under Strategic Planning and Funding: Planning and Reporting</i>

Reports	Planning	Governance	<i>See under Governance: Planning and Reporting</i>
Reports	Planning	Group contributions to summarised plans and reports	<i>See under Strategic Planning and Funding: Administration</i>
Reports	Strategic		<i>See under Strategic Planning and Funding: Planning and Reporting</i>
Reports	Employee use of time		<i>See under Human Resources and Personnel: Attendance</i>
Reproductions	Copies / Duplicates of Records		<i>See under Administration: Housekeeping</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Requests for Information	Contract / Service-based requests (RFIs)		<i>See under Legal: Contract Management</i>
Requests for Information	From Public		<i>See under Public Relations and Communications</i>
Requests for Information	Official Information Act		<i>See under Public Relations and Communications: Official Information Act</i>
Requests for Information	Privacy Act		<i>See under Public Relations and Communications: Privacy Act Requests and Complaints</i>
Requisitions	for employees, patients etc	non-uniform	<i>See under Procurement and Supply Management: Stores, supplies, fixtures, fittings and plant / equipment: Procurement, issue, disposal of</i>
Requisitions	for employees, patients etc	uniform	<i>See under Procurement and Supply Management: Uniform / Wardrobe (employees)</i>
Research Management	Contracts	Management	<i>See under Legal: Contract Management</i>
Research Management	Contracts	Agreements	<i>See under Legal: Legal Agreements</i>
Research Management	Data	Raw Data	<i>See under Research Management: Raw Data</i>
Research Management	Data	Summarised Data	<i>See under Research Management: Research Reports</i>
Research Management	Ethics Committees	Meetings	<i>See under Administration: Meetings</i>
Research Management	Meetings		<i>See under Administration</i>
Research Management	Project Management of		<i>See under Project Management</i>
Research Management	Surveys and Opinion Polls (external)	Survey information etc commissioned by external agencies used for background information etc by the DHB	<i>See under Administration: Housekeeping</i>
Research Management	Surveys and Opinion Polls (of employees by or for DHB)		<i>See under Human Resources and Personnel: Surveys of Employees</i>
Resource Consents			<i>See under Compliance, Audit and Risk Management Records</i>
Resource Management	Public Health - Related		<i>See under Population Health</i>
Returns	Routine HR		<i>See under Human Resources and Personnel: Routine Returns</i>
Reviews and Evaluations	Compliance, Audit and Risk Management etc		<i>See under Compliance, Audit and Risk Management Records: Audits, Reviews and Evaluations</i>
Reviews and Evaluations	Contracts / Contractors		<i>See under Legal: Contract Management</i>
Risk Management			<i>See under Compliance, Audit and Risk Management</i>

Risk Registers	For significant projects, corporate risk etc	See under <i>Information Management Systems and Services: Control and Location Indices and Guides (Significant)</i>
RMOs	Management of	See appropriate sub-class under <i>Human Resources and Personnel</i>
Rosters	Clinical Staff	See under <i>Human Resources and Personnel: Attendance</i>
Rosters	Non-Clinical Staff	See under <i>Human Resources and Personnel: Attendance</i>
Rosters	Staff rotation	See under <i>Human Resources and Personnel: Training and Career Development (Employees): Administration</i>

Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Routine Returns			See under appropriate Class and Subclass. For example, Taxation returns: See under <i>Financial and Accounting: Taxation</i> , or for HR returns, see under <i>Human Resources and Personnel: Routine Returns</i>
Scanning	of records etc		See under <i>Information Management Systems and Services: Administration</i>
Schooling	of child patients		See under <i>Human Resources and Personnel: Training and Career Development (Patients)</i>
Screening	of potential employees etc		See under <i>Compliance, Audit and Risk Management: Security Vetting</i>
Secretarial and Processing Services	Administration of		See under <i>Administration</i>
Security	Contracts surrounding		See under <i>Legal: Legal Agreements</i>
Security	Administration and maintenance of		See under <i>Property and Asset Management</i>
Security	Vetting of employees etc		See under <i>Compliance, Audit, Risk Management: Security Vetting</i>
Seminars	Papers, administration of		See under <i>Administration: Conferences</i>
Seminars	Presentations, attendance at		See under <i>Public Relations and Communications: Conferences, Seminars, Workshops etc</i>
Senior Management Group	Meetings		See under <i>Governance: Executive Groups</i>
Service Agreements	Core Services		See under <i>Legal: Legal Agreements</i>
Service Agreements	Minor Service Level Agreements		See under <i>Legal: Legal Agreements</i>
Service redevelopment	Property management		See under <i>Property and Asset Management: Construction, Works and Engineering</i>
Service Specifications			See under <i>Legal: Legal Agreements</i>
Sharps	Disposal of		See under <i>Procurement and Supply Management: Stores, supplies, fixtures, fittings and plant / equipment: Procurement, issue, disposal of</i>
Social Functions	Employees		See under <i>Human Resources and Personnel</i>
Software	Maintenance		See under <i>Information Management Systems and Services: Installation, Testing and Ongoing Maintenance</i>
Specifications	Major		See under <i>Property and Asset Management: Construction, Works and Engineering: Major</i>
Specifications	Minor		See under <i>Property and Asset Management: Construction, Works and Engineering: Minor</i>
Sponsorship			See under <i>Public Relations and Communications</i>
Staff	Awards, Accidents, OSH issues, Agreements, Social Groups, Personnel files, Rosters, Training etc	NOTE: The term Employee has been used instead of Staff in all instances	See under <i>Human Resources and Personnel</i>
Standards and Regulations			See under <i>Compliance, Audit and Risk Management</i>
Standard Operating Procedures (SOP)			See under <i>Policy and Procedure</i>
Stationery	Management of		See under <i>Procurement and Supply Management</i>

Statutory and Regulatory Appointments			See under Governance Records
Sterilisers	Monitoring, Maintenance of Sterilisation of Equipment		See under Property and Asset Management: Property, Assets, Buildings: Routine Management
Sterilisers		Administration / monitoring of	See under Clinical: Quality Control: Equipment Sterilisation
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Storage	Memory etc		See under Information Management Systems and Services: Administration
Storage	of equipment		See under Property and Asset Maintenance: Property Assets and Buildings: Routine Management
Storage	of records		See under Information Management Systems and Services: Administration
Stores, supplies, fixtures, fittings and plant / equipment	Installation, maintenance, storage of		See under Property and Asset Management
Strategic Planning and Funding	Administration		See under Strategic Planning and Funding
Strategic Planning and Funding	Analysis	of strategies, plans etc	See under Compliance, Audit and Risk Management
Strategic Planning and Funding	Audits		See under Compliance, Audit and Risk Management: Audits, Reviews and Evaluations
Strategic Planning and Funding	Civil Defence Emergencies	Health Planning for	See under Population Health
Strategic Planning and Funding	Contract Management		See under Legal: Contract Management
Strategic Planning and Funding	Contracts and Agreements		See under Legal: Contract Management
Strategic Planning and Funding	Emergency Management and Contingency Planning		See under Compliance, Audit and Risk Management
Strategic Planning and Funding	Establishment	of DHB	See under Governance: Establishment
Strategic Planning and Funding	Establishment	of groups and services	See under Strategic Planning and Funding: Establishment of Groups and Services
Strategic Planning and Funding	Establishment	of strategies, plans etc	See under Strategic Planning and Funding: Development of Strategy
Strategic Planning and Funding	Health Needs Assessments		See under Strategic Planning and Funding: Assessment of Need
Strategic Planning and Funding	Legal advice		See under Legal: Legal Opinions
Strategic Planning and Funding	Loans	Minor / Routine	See under Administration: Finance and Accounting Administration
Strategic Planning and Funding	Meetings about		See under Administration
Strategic Planning and Funding	Planning and Reporting	Governance	See under Governance: Planning and Reporting
Strategic Planning and Funding	Planning and Reporting	Monitoring of	See under Compliance, Audit and Risk Management: Evaluations and Reviews
Strategic Planning and Funding	Policies and Procedures		See under Policy and Procedures
Strategic Planning and Funding	Providers (Funding and Services)	Audits and Reviews of	See under Compliance, Audit and Risk Management: Evaluations and Reviews

Strategic Planning and Funding	Providers (Funding and Services)	Contract Management	<i>See under Contract Management</i>
Strategic Planning and Funding	Providers (Funding and Services)	Contracts	<i>See under Legal: Legal Agreements</i>
Strategic Planning and Funding	Providers (Funding and Services)	Standards and Regulations	<i>See under Compliance, Audit Risk Management: Standards and Regulations</i>
Strategic Planning and Funding	Project Management		<i>See under Project Management</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Strategic Plans			<i>See under Governance: Planning and Reporting</i>
Study Reports	from Employees		<i>See under Human Resources and Personnel: Training and Career Development</i>
Suggestion Schemes	DHB		<i>See under Compliance, Audit and Risk Management Records</i>
Superannuation	Management of DHB Schemes		<i>See under Compliance, Audit and Risk Management Records</i>
Superannuation	Administration of externally-run schemes		<i>See under Compliance, Audit and Risk Management Records</i>
Suppliers	Agreements with		<i>See under Legal: Legal Agreements</i>
Suppliers	Management, monitoring of etc		<i>See under Legal: Contract Management</i>
Supplies	Maintenance of	Non-Pharmaceutical	<i>See under Property and Asset Management</i>
Supplies	Pharmaceutical		<i>See under Clinical: Pharmaceutical Supply and Administration</i>
Supplies	Procurement, supply, distribution, disposal	Non-Pharmaceutical	<i>See under Procurement and Supply Management</i>
Surveys	Facilitation of		<i>See under Research Management</i>
Surveys	of Public		<i>See under Research Management</i>
Surveys	of Employees		<i>See under Human Resources and Personnel</i>
System Development / Establishment			<i>See under Information Management Systems and Services</i>
System Development / Establishment	Contracts		<i>See under Legal: Legal Agreements and Legal: Contracts Management</i>
Taxation	of Employees		<i>See under Finance and Accounting Records</i>
Temperature	Fridge Temperature Chart Records		<i>See under Clinical: Pharmaceutical Supply and Administration</i>
Tender Documentation			<i>See under Procurement and Supply</i>
Te Puna Oranga			<i>See under relevant class or sub-class. For example, for board liaison, see under Governance. For meetings about, see under Administration: Meetings. For policy on, see under Policy and Policy and Procedures. For administration of property, facilities etc see under Property and Facilities Management. For career development, see under Human Resources and Personnel: Training and Career Development, for projects relating to Maori health, see under Project Management etc</i>
Timesheets			<i>See under Human Resources and Personnel</i>
Training	of Employees		<i>See under Human Resources and Personnel</i>
Transactions	Financial		<i>See under Finance and Accounting Records</i>
Transcription Services	Administration of		<i>See under Information Management Systems and Services: Administration</i>
Travel	Administration of	Financial	<i>See under Human Resources and Personnel: Travel</i>

Travel	Administration of	Non-Financial	<i>See under Human Resources and Personnel: Travel</i>
Treaty of Waitangi			<i>See under Compliance, Audit and Risk Management Records</i>
Treaty of Waitangi	Land and other Treaty Claims		<i>See under Property and Asset Management: Land Claims over DHB Property</i>
Trivial Work Related Material			<i>See under Administration: Housekeeping</i>
Tuberculosis	Public Health Administration		<i>See under Population Health</i>
Uniforms / Wardrobe	Design, selection, allocation		<i>See under Procurement and Supply Management</i>
Group of Records	Activity/Topic/Subject	Description of type of records in class	Cross Reference to General Disposal Authority Class
Unions	Negotiations with etc		<i>See under Human Resources and Personnel</i>
User Guides			<i>See under Policy and Procedure: Master Documents</i>
User Guides	Copies of		<i>See under Administration: Housekeeping</i>
Vehicles	Maintenance		<i>See under Property and Facilities: Vehicles</i>
Vehicles	Procurement / Disposal of		<i>See under Procurement and Supply Management</i>
Vehicles	Employees	rosters for	<i>See under Property and Asset Management: Vehicles: Maintenance</i>
Vetting	of Employees		<i>See under Compliance, Audit and Risk Management: Security Vetting</i>
VIP Visits	Administration of		<i>See under Public Relations and Communications: Administration</i>
VIP Visits	DHB involvement in		<i>See under Public Relations and Communications</i>
Volunteers	Management of		<i>See under Human Resources and Personnel: Volunteer Management</i>
Waste	Management of DHB waste	Routine	<i>See under Property and Asset Management: Property Assets and Buildings: Routine Management</i>
Waste	Management of DHB waste	Incidents and accidents relating to waste and disposal	<i>See under Compliance, Audit and Risk Management: Issues Management (Non Clinical)</i>
Waste	Monitoring of regional waste		<i>See under Population Health: Solid Waste Disposal</i>
Water Quality	Monitoring of		<i>See under Population Health</i>
Working Papers and Work notes	Final		<i>See under Relevant Class or Sub-Class that relates to the purpose / content of the paper</i>
Working Papers and Work notes	Minor		<i>See under Administration: Administration: Housekeeping</i>
Working Papers and Work notes	Relating to Funding and Budgeting		<i>See under Strategic Planning and Funding: Funding and Budgeting</i>
Working Papers and Work notes	Annual Reports		<i>See under Strategic Planning and Funding: Planning and Reporting: Financial (High Level)</i>
Working Parties	Non-International, not created, sponsored or administered by DHB		<i>See under Administration: Meetings</i>
Work records			<i>See under Human Resources and Personnel: Attendance</i>
Workshops	papers from, administration of		<i>See under: Public Relations and Communications: Conferences, Seminars, Workshops etc</i>