

Department of Internal Affairs

Records Retention and Disposal Schedule

Covers DIA physical and digital records excluding records of the Chief Archivist

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Disposal Authority No: DA633

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DIA01 Identity

Description This class covers records created and maintained by the process of issuing identity documents and New Zealand passports; processing citizenship applications; registering births, deaths, marriages, civil unions and name changes; developing authorised information-matching programmes with specified government agencies; providing data or data verification to government agencies to enable identity verification in a digital environment and to enhance border processes and facilitate travel.

DIA1.01 Identity Investigations – Significant

Description Records created or received by the process of investigating identity, where the investigation pertains to national security or is an investigation of national significance. For example, 2004 Israel-New Zealand Passport Investigation.

Includes:

- Records documenting investigations into identity fraud which establish precedent, results in major changes to policy or procedures, or creates considerable public interest
- The referral of the case to police for further action, excludes prosecutions files.

Disposal Action Transfer to Archives New Zealand 20 years from last information entry date

DIA1.02 Identity Investigations – Routine

Description Records created or received by the process of investigating identity where the investigation is routine. Includes cases where prosecution results and where it does not.

Includes:

- Investigations into acquiring a Passport fraudulently and falsely
- Births, Deaths, Marriages and Citizenship investigations.

Disposal Action Destroy 60 years from last information entry date

DIA1.03 Identity Watch List

Description Records of identities that have been placed on the watch list.
The watch list is a list of identities that is required to be maintained to monitor border security and for other identity related issues and investigations.

Disposal Action Destroy following decision to remove person from watch list

DIA1.04 Citizenship Application Business System Records

Description	<p>This class covers citizenship application information that is registered in the Citizenship Application business systems, including Paradox, COS and DCS, and future business systems. It applies to all applications including those that are:</p> <ul style="list-style-type: none">• Approved• Not Approved• Withdrawn• Not Established• No Claim. <p>This information constitutes the citizenship application summary record.</p> <p>Note: Additional information accompanying the applications is covered by Class DIA1.06.</p>
Disposal Action	Transfer to Archives New Zealand 1 month after business function ceases

DIA1.05 Citizenship Application Business System Inactive Records

Description	<p>This class covers records that are removed from the Citizenship Application business systems including Paradox, COS and DCS, and future business systems because they are no longer active. It also covers records that are not migrated to a new Citizenship Application business system.</p>
Disposal Action	Transfer to Archives New Zealand 3 months from end of active life of record

DIA1.06 Citizenship – Applications

Description	<p>Records created or received by the process of approving Citizenship grant applications and determination applications. It covers approved, not approved, withdrawn, not established, and no claim applications.</p> <p>Includes the following sources (list not exhaustive):</p> <ul style="list-style-type: none">• Hardcopy client files• Digital/Electronic client files• Information on submissions to the Minister where citizenship is not granted. <p>Includes applications for registration by grant and determination by descent; section 16 British Nationality and New Zealand Citizenship Act 1948; birth in New Zealand; and children of members of overseas service etc.</p>
Disposal Action	Transfer to Archives New Zealand 25 years from last information entry date

DIA1.07 Citizenship – Deprivations

Description	All records created or received in processing Citizenship Deprivations.
Disposal Action	Transfer to Archives New Zealand 25 years from last information entry date

DIA1.08 Births, Deaths, Marriages and Citizenship Registers

Description	<p>Covers Births, Deaths, Marriages and Citizenship Registers in digital and physical formats.</p> <p>Includes:</p> <ul style="list-style-type: none">• All Citizenship Registers and Indexes - in any format created under the Citizenship Regulations Act 2002• Digital Births, Deaths and Marriages Registers and Indexes created for recording birth, death, marriage, civil union, adoption, change of name, and human assisted reproductive technology registrations• Physical registers of Births, Deaths and Marriages created and maintained by the Registrar-General of Births, Deaths and Marriages from 1840 until 1998 when this information started to be captured digitally in the LifeData business system• Handwritten Citizenship registers that date from prior to the introduction of COS and DCS• Renunciation registers and registers of 'Not established' and 'No Claim' by descent applications. <p>Excludes the following as these are covered in Classes DIA1.15 and DIA1.17:</p> <ul style="list-style-type: none">• Marriage and Civil Union Celebrant Registers• Warrants for DIA staff to perform Civil Ceremonies registers• Registrar-General Access Register created under section 75D of the Births, Deaths, Marriages, and Relationships Registration Act 1995. <p>Also excludes records stored in Paradox, COS, DCS and future business systems as these are covered by Class DIA1.04.</p>
Disposal Action	Transfer to Archives New Zealand 1 month after business function ceases

DIA1.09 Births, Deaths, Marriages Register Inactive Records

Description	This class covers records that are removed from the Births, Deaths and Marriages register because they are no longer active. It also includes records that are not migrated to a new Births, Deaths and Marriages register.
Disposal Action	Transfer to Archives New Zealand 3 months after end of active life of record

DIA1.10 BDM – Notices and Death Source Records

Description	Records of notification of marriages, and civil unions; as well as all source records for notification and registration of deaths that occur within New Zealand.
Disposal	Destroy 5 years from last information entry date

Action

DIA1.11 BDM – Adoption

Description	Records received by Births, Deaths and Marriages (BDM) in the course of registering adoptions. Includes the following sources (list not exhaustive): <ul style="list-style-type: none">• Adoption file• Vetoes on access to adoption records.
Disposal Action	Transfer to Archives New Zealand 120 years from last information entry date

DIA1.12 BDM – Birth and Name Change Source Records

Description	Records and case files created and received in the course of notifying and registering births and change of name requests. Excludes adoption information, and Change of Name records covered by Class DIA1.14 for pre-electronic system records.
Disposal Action	Destroy 120 years from date of creation

DIA1.13 BDM – Deposited Death Certificates Issued Outside New Zealand

Description	Records received by Births, Deaths and Marriages (BDM) in the course of registering the deposit of an overseas death certificate for a New Zealand citizen where they have died overseas and a death certificate has been issued by another country. Includes: <ul style="list-style-type: none">• Overseas death certificate and translation, and copy of deposit registration• BDM 42 Record of Death of New Zealander taking place Outside New Zealand.
Disposal Action	Transfer to Archives New Zealand 100 years from date of creation

DIA1.14 BDM – Change of Name Prior to 25 January 2009

Description	Records and case files created and received by Births, Deaths and Marriages (BDM) in the course of registering Change of Name requests for those born overseas where the request was lodged before 2009. Includes: <ul style="list-style-type: none">• Change of name request for a child under the age of 2• Change of name request for a child over the age of 2• Change of name for an adult• Associated documents relating to change of name queries.
Disposal Action	Transfer to Archives New Zealand 100 years from last information entry date

DIA1.15 BDM – Relationship and Celebrant

Description	Records and case files created and received by Births, Deaths and Marriages (BDM) in the course of registering marriages and civil unions, excluding intentions/notifications. Records created or received by the process registering Celebrants to perform Marriages and Civil Unions, and Warrants for DIA staff. Includes: <ul style="list-style-type: none">• Celebrant applications• Referees• Assessments• Correspondence• Marriage and Civil Union Celebrant Registers• Registers for Warrants for DIA staff.
Disposal Action	Destroy 30 years from date of creation

DIA1.16 BDM – Congratulatory Messages

Description	Records created or received in the course of processing congratulatory messages for Marriages, Civil Unions and Births. Includes: Applications and correspondence.
Disposal Action	Destroy 1 year from last information entry date

DIA1.17 BDM Access Register

Description	Records contained in the Registrar-General Access Register created under section 75D of the Births, Deaths, Marriages, and Relationships Registration Act 1995.
Disposal Action	Destroy 100 years from date registered

DIA1.18 Passports Business System Records

Description	Records stored in the Passports current business systems KEA, KIWI and future replacement databases. Includes: <ul style="list-style-type: none">• Passport applications dating from 1992• Passport application images currently stored in the 'Review Image Client' software• Certificates of Identity and Refugee Travel Documents• Additional and temporary passport requests.
Disposal Action	Destroy 1 month after business function ceases to exist

DIA1.19 Passports Business System Inactive Records

Description	Records that are removed from the Passports business system as they are no longer active. It also includes records that are not migrated to a new Passports business system.
Disposal Action	Destroy 3 months after end of active life of record

DIA1.20 Passports – Applications Lodged Prior to 1992

Description	Physical format passport applications lodged prior to 1992. Includes: Certificates of Identity and Refugee Travel Documents.
Disposal Action	Destroy 100 years from last information entry date

DIA1.21 Passports – Applications Lodged 1992 to 2011

Description	Physical format passport applications lodged during the period 1992 to June 2011.
Disposal Action	Destroy 2 years from last information entry date

DIA1.22 Passports – Court Orders

Description	Records created or received by the processing of Court Orders placed on Passports information. Includes: <ul style="list-style-type: none">• Court Orders – Bail Orders, Custody Orders and Child Held Information Notifications• Discharge Court Orders.
Disposal Action	Destroy 20 years from last information entry date

DIA1.23 Citizenship, BDM, Passports, Identity Check – Queries and Products

Description	Records received and created in the course of responding to Citizenship queries regarding an individual's citizenship status and providing confirmation and denial products. Records received and created in the course of responding to queries regarding the issuing of Birth, Death and Marriage certificates, also Non-Disclosure Directions and issuing of Certificates of No Impediment (CONI) to Marriage or Civil Union. Records received and created in the course of responding to queries regarding the issuing of passports. Records created and received in the course of responding to queries from individuals regarding use of the Identity Check Service to confirm their identity. Includes: <ul style="list-style-type: none">• Births, Deaths and Marriages access transaction requests (includes RG 93 or BDM 93 series request for a Certificate, and all other access correspondence, including Adoption information requests; also
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includes Human Assisted Reproductive Technology requests)

- Non-Disclosure Directions primary information (Non-Disclosure directions expire after 5 years)
- Certificates of No Impediment (CONI) to Marriage or Civil Union, and correspondence regarding the CONI, and copies of the CONI
- Citizenship Confirmation - Application and correspondence for the issuing of an official document from the New Zealand Citizenship Office advising that the named person is a New Zealand citizen.
- Citizenship Denial - Application and correspondence for the issuing of an official document from the New Zealand Citizenship Office advising that the named person is not a New Zealand citizen.
- Citizenship queries from individuals - For example, 'What is my Citizenship Grant certificate number?' When did I get my citizenship? Can my deceased grandparent be a citizen by descent?
- Citizenship queries from government agencies - For example, is 'X' a citizen and when did they become one?
- Signed consent forms or consents obtained by voice or other recordings, for other NZ Government agency searches including WINZ, IRD and Immigration NZ
- Passport confirmation letter requests from holders - detail the passport's history of the holder
- Certified copy requests - colour copy of Passport bio-data page, sealed and ready for authentication should holder wish
- NZ Customs queries
- NZ Defence invoicing
- NZ Courier lost in post notifications
- Damaged, faulty and recovered passport notifications
- Lost or stolen passport notifications
- Dishonoured payment applications and notifications
- Passports - Deceased notifications
- Passports - Deportation notifications
- Passports - Copy of Citizenship Renunciation notification (Citizenship has the original record)
- General correspondence - queries/complaints/feedback from individuals
- Requests for information from other agencies - IR, MBIE.

Note: Requests made under the Privacy Act 1993 are covered by Class 7.4.0 of General Disposal Authority 6 – Common Corporate Service Public Records.

Retention Period 2 years from last information entry date

Disposal Action Destroy

DIA1.24 System to System Processing

Description Records relating to Identity Verification Services (IVS) System-to-System Data Access (S2SDA) Internal Processing Information.

Disposal Destroy 6 months from date of creation

Action

DIA1.25 System to System Transaction

Description Records relating to Identity Verification Services (IVS) System-to-System Data Access (S2SDA) transactional, service configuration and suspicious activity information.

Disposal Action Destroy 2 years from date of creation

DIA1.26 RealMe General Identity Credentials

Description Identity Verification Services (IVS) - Electronic Identity Information (igovt/RealMe information) under sections 10(1), 31, 33(1)(a)(c) of the Electronic Identity Verification Act 2012.

Disposal Action Destroy 11 years from cancellation or expiry of electronic identity credential

DIA1.27 RealMe Identity Credential s33(1)(b)

Description Identity Verification Services (IVS) - Electronic Identity Information (igovt/RealMe information) under section 33(1)(b) Electronic Verification Act 2012.

Disposal Action Destroy 1 month from cancellation or expiry of electronic identity credential

DIA1.28 RealMe Transactional

Description Identity Verification Services (IVS) - igovt/RealMe login transaction and service configuration information.

Disposal Action Destroy 3 years from date of creation

DIA1.29 Citizenship and Passport Business Systems, and BDM Register – Duplicated, Corrupted or System Generated Transactional Inactive Records

Description Records removed from the Citizenship and Passport Business Systems, and the BDM Register that are duplicated, corrupted or system generated transactional records.

Includes: Records removed at the time of migration to a new database.

Disposal Action Destroy 1 month after end of active life of record

DIA1.30 Identity Check Service – Records provided by a user of the service or another agency to verify the user’s identity

Description Records provided to the Identity Check Service for identity matching by DIA that are provided either by:

- The individual using the service
- Another agency to be used for identity matching by DIA.

This includes, but is not limited to:

- Driver licence information (Waka Kotahi)
- Passport information (DIA).

Retention Period Retain for the duration of the transaction

Disposal Action Destroy

DIA1.31 Identity Check Service – Live Photos, Videos and Liveness Confirmation Records, where the Identity is Confirmed

Description Live photos, videos and liveness confirmation records that are created to determine if the individual using the service is genuine, where the individual authorises sharing their information with the organisation and identity is confirmed.

Retention Period 30 days from date of creation

Disposal Action Destroy

DIA1.32 Identity Check Service – Live Photos and Videos Records, where the Identity is Not confirmed

Description Live photos, videos and liveness confirmation records that are created to determine if the individual using the service is genuine, where the individual does not authorise sharing their information with the organisation or is unable to successfully complete the liveness confirmation or identity document match.

Retention Period Retain until no longer required

Disposal Action Destroy

DIA1.33 Identity Check Service – Metadata and Google Analytics Records

Description Metadata and Google Analytics records relating to both successful and unsuccessful identity confirmations.

Retention Period 13 months from the last information entry date

Disposal Action Destroy

DIA1.34 Identity Check Service – Management, Development and Delivery

Description	<p>Operational management, development and delivery records created and received in the course of providing the Identity Check Service to government agencies and other organisations, that are not otherwise covered by Classes DIA1.30-DIA1.33.</p> <p>These include but are not limited to:</p> <ul style="list-style-type: none"> • Communications with intermediaries, other providers and requesting organisations • Internal correspondence and administrative records (e.g. registers, change control, system administration) • Service delivery and management • Design and development (e.g. architecture, service design, algorithm development) <p>Excludes:</p> <ul style="list-style-type: none"> • Communications with individuals regarding use of the Identity Check Service to confirm their identity, which are covered by Class 1.23. • Records documenting co-operative arrangements, such as agreements and memoranda of understanding, strategic direction and policy, and major reviews and reports, which are covered by Class DIA7.08. <p>Operational policies and procedures for DIA functions, which are covered by Class DIA7.12.</p>
Retention Period	10 years from last information entry date
Disposal Action	Destroy

DIA02 Collections and Services of the National Library

Description This class covers public records of the functions of the National Library and Alexander Turnbull Library. It includes records that it creates and receives in the course of managing and delivering its collections and services and making them accessible to all New Zealanders and its clients; supplementing the work of other libraries in NZ; and working collaboratively with other institutions having similar purposes, including those forming part of the international library community.

Note: This class does not cover the following:

- National Library collection items and/or collections, which are covered by the legal deposit process
- Material acquired by the Library for its collections
- National Library e-collections material stored in the Library's digital repositories
- Bibliographic / metadata records describing collection items as these are items collected under the National Library Act 2003.

DIA2.01 Strategic Collections Management

Description Records of the strategic management and development of the National Library's general, schools and heritage collections, and the Alexander Turnbull Library research and heritage collections, and the provision of its services to New Zealanders and libraries in New Zealand.

Includes:

- Major reviews
- The Library's leadership role in supplementing and furthering the work of other libraries in New Zealand
- Developments and initiatives associated with collections such as copying and digitisation
- Digital collection management
- Cataloguing
- Summarised condition and storage survey reports of collections or specific collection items
- Major reports of specialist preservation advice services provided to individuals, marae, museums or archives
- Preservation management strategy including research, planning and reporting
- Descriptive and preservation standards products and tools
- Protection of the collections, facilitating access to the collections
- Reuse of collection items and metadata within agreed terms
- Business cases, final designs (including specifications and architectures), and signed approvals of new technologies and websites to support the collections and services. E.g. the Metadata Extraction Tool, the DigitalNZ website and API, and the National Digital Heritage Archive (NDHA) website
- Cooperative developments with other key information providers to facilitate access to a full range of information for all New Zealanders as defined in the National Library's Collections Policy
- Strategic reviews and design of literacy and learning programmes
- Exhibition register, major reports and reviews of exhibition

programmes and events.

Note 1: Formal agreements and policies such as Collections, Access and Preservation with the Minister mandated by sections 7 and 9 of the National Library Act 2003 are covered by Class DIA7.06.

Note 2: If the work is undertaken as part of a formal programme or project, please refer to Class DIA8.01.

Note 3: Collaborative relationships and initiatives with other institutions and the wider international library community are covered by Class DIA7.08.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date

DIA2.02 Collections Management and Preservation – General and Schools Collections

Description Records and process documentation on the acquisition, cataloguing, and description of collection items, through legal deposit requirements and other electronic resources such as e-subscriptions. It includes indexing NZ journals and management of the INNZ database, collection copying, preservation and the management these in the Library's various physical and online storage facilities. It also includes records of disposal and deaccessioning of collection items.

Includes:

- Activities relating to the ordering and purchase of collection items
- Acquisition of New Zealand materials through Legal Deposit
- Managing and processing e-subscriptions for electronic resources
- Raw data from monitoring of archive storage conditions and actions taken
- Surveying and evaluation of condition of holdings
- Raw data and processing records
- Material testing
- Storage management
- Information discussed on the New Zealand Cataloguers' Wiki by National Library staff.

It excludes summarised condition and storage survey reports which are covered by Class DIA2.01.

Note: This class covers hardcopy and digital/electronic archival storage.

Disposal Action Destroy 10 years from last information entry date

DIA2.03 Collections Management and Preservation – National Library and ATL Research and Heritage Collections

Description Records on the acquisition, management and preservation of the Alexander Turnbull Library research and heritage collections, and National Library heritage collections. It includes the acquisition of published items, published and unpublished collection items such as manuscripts, papers, photographs that make up these collections (including all acquisition

records relating to purchases, bequests, trusts, and donations) and management of these in the Library's physical and digital repositories.

It covers the cataloguing and description of ATL collections, collection items and materials; collection copying, digitisation programmes and projects. It covers preservation and preventative conservation for storage, material testing, handling and use of heritage collections. It also includes records of disposal and deaccessioning of collections or collection items.

It excludes summarised condition and storage survey reports which are covered by Class DIA2.01.

Note: This class covers hardcopy and digital/electronic storage.

Disposal Action Transfer to Archives New Zealand 10 years after collection is disestablished

DIA2.04 Collections Management – Library Descriptive Systems

Description Records of the design, maintenance and management of library descriptive systems holding bibliographic records under the jurisdiction of the National Library Act 2003. For example, the Library descriptive systems Tapuhi and Voyager and their future replacements are covered by this class.

Note: This class does not cover the contents of these systems because they are items collected under the National Library Act 2003 rather than public records created by the National Library.

Disposal Action Destroy 10 years after active life of system

DIA2.05 Collections Services – Development and Delivery

Description Records of the implementation and operational management of National Library and Alexander Turnbull Library services to all New Zealanders, and specific clients that use its physical and online collections, and other information resources it provides. It also covers records on the implementation and delivery of specialist services and facilities such as:

- Viewing facilities for accessing collection items; regional access services and programmes to assist clients in accessing National Library resources
- Learning and collaborative programmes and events for clients
- Outreach services programmes to promote the use of collections
- Literacy and learning programmes including the information on the National Library Schools website, <https://natlib.govt.nz/schools>, which was created to provide services to schools on-line); services and staff expertise to identified communities of users; and reuse of collections.

Note 1: Final designs and approvals of new programmes, services and technologies are covered by Sub-class DIA2.01.

Note 2: Ongoing contracts and agreements are covered by Class 4.2.3 of General Disposal Authority 6 – Common Corporate Service Public Records.

Note 3: Records of advice on caring for collections are covered by Class DIA2.09.

Disposal Action Destroy 10 years from date of last action

DIA2.06 Collections Services – Research

Description Research records that are collected and stored, which contribute to the value of the National Library and Alexander Turnbull Library heritage collections by providing provenance, use and copyright information that is used to augment the collections. They are different to the operational research and advisory records because they relate to research activities as opposed to general access to the collections.

Disposal Action Transfer to Archives New Zealand 10 years after collection is disestablished

DIA2.07 Collections Services – Operational Access Requests

Description Low level records created or received on reference/information requests from the General and Schools collections through interloans and client visits.

Records created or received by the process of responding to reference/information requests, and by the process of producing copies from/of items for requests.

It also includes records of all Alexander Turnbull Library access requests, agreements and permissions to access or reproduce published or unpublished collection items for private or public use.

Disposal Action Destroy 2 years from last information entry date

DIA2.08 Services to New Zealand Libraries

Description Records of services and tools provided to New Zealand libraries and librarians by the National Library. It includes records of the New Zealand interloan scheme that is managed in conjunction with LIANZA; records of the management and promotion of services such as Te Puna Services which is made up of a collection of online tools and services with the help of New Zealand librarians; development of the New Zealand National Union Catalogue in collaboration between New Zealand libraries and the National Library; and provision of digital library tools such as Dublin Core Registry, and Web Curator Tool Metadata Extraction.

Note: Ongoing contracts and agreements are covered by Class 4.2.3 of General Disposal Authority 6 – Common Corporate Service Public Records.

Disposal Action Destroy 10 years after last information entry date.

DIA2.09 Specialist Preservation Advice Services

Description Records of specific and general preservation advice given to individuals,

marae, museums or archives on the care of books, photographs, specific collections, sound recordings, artworks and digital images. The National Preservation Office provides preservation advice on physical items of New Zealand documentary heritage. Records include site assessments and preservation plans. The National Library provides digital preservation advice on a consultancy basis to third parties.

Note 1: Cost recovery records and ongoing contracts and agreements are covered by Classes 4.2.1; and Class 4.2.3 respectively of General Disposal Authority 6 – Common Corporate Service Public Records.

Note 2: General preservation advice provided in factsheets and guides, workshops, and on the National Library website is covered by Class DIA2.05.

Note 3: Preservation advice regarding physical and digital items belonging to the National Library and Alexander Turnbull Library are covered by Classes DIA2.02 and DIA2.03.

Disposal Action Destroy 10 years after collection is disestablished

DIA2.10 Collections Grants, Scholarships and Fellowships – Establishment

Description Records of the establishment of collections grants, scholarships and fellowships. It includes records of their development and management by the National Library and/or the Alexander Turnbull Library; and details of bequests and associated correspondence.

Disposal Action Transfer to Archives New Zealand 10 years after date of last action

DIA2.11 Collections Grants, Scholarships and Fellowships – Successful

Description All records created or received by the processing of National Library/Alexander Turnbull Library successful grants, scholarships and fellowships by DIA.

Includes:

- Applications
- Correspondence
- Reviews, etc.

For example, Alexander Turnbull Scholar, Lilburn Fellow, etc.

Note: This class does not cover records created or received by Community Operations - lotteries and community grants, etc. as these are covered by Class DIA3.04.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date

DIA2.12 Collections Grants, Scholarships and Fellowships – Unsuccessful

Description All records created or received by the processing of National Library/Alexander Turnbull Library unsuccessful grants, scholarships and fellowships by DIA.

Includes:

- Applications
- Correspondence
- Reviews, etc.

For example, Alexander Turnbull Scholar, Lilburn Fellow etc.

Note: This class does not cover records created or received by Community Operations - lotteries and community grants, etc. as these are covered by Class DIA3.04.

**Disposal
Action**

Destroy 2 years from last information entry date

DIA2.13 Development and Management of Ceremonies, Celebrations, Exhibitions and Displays of National or Regional Importance

Description

Records of the development and management of celebrations, ceremonies, displays, and exhibitions of national or regional importance planned and hosted by the National Library and Alexander Turnbull Library for all events that meet at least one of the following criteria:

- The event and/or its subject is of national, regional or international importance
- The influence and importance of the people involved in the activities - e.g. Heads of State, national dignitaries, people of note within New Zealand society, iwi and groups within iwi, and other cultural groups who have a specific connection to the collections (and display and ceremonial occasions relating to these).
- The importance of the event to the collections of the National Library and Alexander Turnbull Library, for example, if the event will contribute contextual records to the collections
- The importance of the event to the history of the National Library, for example, 50-year anniversary celebrations.

Includes:

- Final design concepts
- Curatorial decisions
- Programme text
- Programme reports
- Register of exhibitions and displays
- Definitive documents for all formats/types of exhibitions, etc.

Excludes administration and minor versions.

Note 1: This class only applies to the National Library and Alexander Turnbull Library. The same records created by other DIA business areas are covered Class 6.1.12 of General Disposal Authority 6 – Common Corporate Service Public Records, or Class CA6.05 of the Chief Archivist Disposal Authority.

Note 2: This class also applies to digital displays such as those published on external gallery websites.

Note 3: This class does not cover the collection items that are the subject of the celebration, ceremony, exhibition or display.

Note 4: Records of administration of ceremonies, celebrations,

exhibitions and displays are covered by Class 6.1.13 of General Disposal Authority 6 – Common Corporate Service Public Records, or Class CA6.07 of the Chief Archivist Disposal Authority.

Disposal Action Destroy 10 years after collection is disestablished

DIA2.14 Development and Management of Ceremonies, Celebrations, Exhibitions and Displays

Description Records of the development and management of celebrations, ceremonies, displays, and exhibitions planned and hosted by the National Library and Alexander Turnbull Library that are **not** of national or regional significance.

Includes:

- Final design concepts
- Curatorial decisions
- Programme text
- Programme reports
- Definitive documents for all formats/types of exhibitions, etc.

Excludes administration and minor versions

Note 1: This class only applies to the National Library and Alexander Turnbull Library. The same records created and maintained by other DIA business areas are covered by Class 6.1.12 of General Disposal Authority 6 – Common Corporate Service Public Records, or Class CA6.06 of the Chief Archivist Disposal Authority.

Note 2: Records of development and management of ceremonies, celebrations, exhibitions and displays of national or regional importance are covered by Class DIA2.13, or Class CA6.05 of the Chief Archivist Disposal Authority.

Note 3: Records of administration of ceremonies, celebrations, exhibitions and displays are covered by Class 6.1.13 of General Disposal Authority 6 – Common Corporate Service Public Records, or Class CA6.07 of the Chief Archivist Disposal Authority.

Disposal Action Destroy 10 years from last information entry date

DIA03 Communities

Description This class includes the provision of services to enhance communities within New Zealand. This includes registration of Charities, administration of Grants, Translation Services, Authentication of official documents, Office of Ethnic Communities (formerly Office of Ethnic Affairs) and the Confidential Listening and Assistance Service.

DIA3.01 Charities Register

Description Summary records of Charity registrations maintained within the Charities Register.

Includes:

- Summary description of officers
- Dates of activity
- Type of charity, etc.

Excludes submitted documents such as annual returns, constitutions, rules, etc.

Disposal Action Transfer to Archives New Zealand 1 month after business function ceases

DIA3.02 Charities Register Inactive Records

Description Records that are removed from the Charities Register because they are no longer active. It also includes records that are not migrated to a new Charities Register.

Disposal Action Transfer to Archives New Zealand 3 months after end of active life of record

DIA3.03 Charities – Applications, Investigations and Monitoring

Description Records created or received in the process of registering and maintaining a charity's charitable status (excluding the Charities Register); and records created or received in the process of investigating or monitoring Charities.

Disposal Action Destroy 7 years from date of last action

DIA3.04 Lottery, Community and Trust Grants – Applications, Investigations and Monitoring

Description Records created or received in the course of processing Lottery, Community, Trust and Lottery Minister's Discretionary Fund grant applications, and distribution Committee board minutes, agenda and papers (excluding Lottery Minister's Discretionary Fund decision briefings).

Records created or received in the process of investigating or monitoring grants.

Disposal Action Destroy 7 years from date of last action

DIA3.05 Lottery Minister's Discretionary Fund

Description	Lottery Minister's Discretionary Fund application briefings, for example, signed Ministerial Briefing regarding approving or declining the grant. Note: Applications and associated evidence are not included in this class as these are covered by Class DIA3.04.
Disposal Action	Transfer to Archives New Zealand 10 years from last information entry date

DIA3.06 Ethnic Communities Monitoring – Summary Reports and Consolidated Statistics

Description	Records and information produced by the Office of Ethnic Communities (OEC) as a part of their monitoring of publicly listed government appointments to Boards, Committees and Advisory Groups, covers monitoring of public organisations for gender and ethnic diversity levels. Includes: <ul style="list-style-type: none">• Summary and consolidated statistics• Yearly/quarterly reports on investigations, etc.
Disposal Action	Transfer to Archives New Zealand 10 years from last information entry date

DIA3.07 Ethnic Communities – CVs of Successful Applicants for Appointment to Government Boards, Committees and Advisory Groups

Description	Curricula Vitae (CVs) of successful applicants for appointments to government boards, committees and advisory groups. Note: CVs of unsuccessful applicants are covered by Class DIA3.08
Disposal Action	Transfer to Archives New Zealand 10 years from last information entry date

DIA3.08 Ethnic Communities – Operational Records

Description	Routine records and information produced by the Office of Ethnic Communities (OEC) as a part of its monitoring of publicly listed government appointments to Boards, Committees and Advisory Groups; and reporting on ethnic communities and collated statistics from external sources. Includes: <ul style="list-style-type: none">• Maintenance of a database of suitably qualified ethnic New Zealanders and their CVs• Notifications of vacancies, and intermediary services in relation to passing on CVs to the Agency or Board recruitment group• Routine operational monitoring, audits and reporting• Raw data, routine audits, etc. Note: Operational engagement records are covered by Class DIA7.14.
Disposal Action	Destroy 10 years from last information entry date

DIA3.09 Translations and Authentications

Description All records created or received by the process of providing translation and other language services to government agencies and the public, and support services to government agencies.

All records created or received by the process of authenticating New Zealand issued documents, either under the Hague Conference Convention of 5 October 1961 Abolishing the Requirement of Legalisation for Foreign Public Documents or other agreements.

Disposal Action Destroy 5 years from the last information entry date

DIA3.10 Confidential Listening and Assistance Service (CLAS)

Description Case files and associated information relating to individuals who have used the service.

Disposal Action Destroy after administratively no longer required

DIA04 Local Government Services

Description This class covers records of the provision of services to enhance local government within New Zealand. This includes functions performed in the administration of the National Dog Database, Rates Rebates scheme, Lake Taupo Harbour Master and Offshore Islands Management.

Note 1: The Minister of Local Government is the territorial authority under section 22 of the Local Government Act 2002 for a number of offshore islands that are not included in the boundaries of an established local authority. Only three have any significant population and / or permanent buildings and structures. These are Motiti Island, Mayor (Tuhua) Island and Whakaari/White Island.

Note 2: Some of the records in this class are also Local Authority Protected records under the Public Records Act 2005. This appraisal report acts as the written notification to the Chief Archivist of the intention to dispose of these records by the administrative head of the local authority under section 40(3) of the Public Records Act 2005.

DIA4.01 National Dog Database

Description Information and data stored in the National Dog Control Information Database (NDD).

Data is updated regularly and Dangerous and Menacing Dog notations are removed after 30 months. Deceased Dogs are also removed regularly.

Disposal Action Destroy 30 months from last information entry date

DIA4.02 Rates Rebate Applications

Description Rates rebate applications, processing and correspondence records from and to clients and Territorial Authorities. The Rates Rebate Scheme was established in 1973 to provide a subsidy to low-income homeowners on the cost of their rates.

Disposal Action Destroy 7 years from last information entry date

DIA4.03 Offshore Island Management – Strategic

Description Strategic records created or received in the process of the Minister of Local Authorities acting as Offshore Islands Territorial Authority.

Includes strategic relationship records with:

- Iwi
- Fire authorities
- Regional and territorial authorities, etc.

For example, development of the District Plan, significant issues that affect the island (e.g. Rena grounding), agreements with Western Bay Moana Rural Fire Authority, etc.

Disposal Transfer to Archives New Zealand 10 years from last information entry

Action date

DIA4.04 Offshore Islands Management – Operational

Description Operational and administrative records created or received in the process of Minister of Local Authorities acting as Offshore Islands Territorial Authority.

Disposal Action Destroy 7 years from last information entry date

DIA4.05 Lake Taupo Harbour Master – Relationships, Management and Planning

Description Records created or received in managing the Relationship with Tū wharetoa Māori Trust Board (TMTB), Waikato Regional Council (WRC), and other Lake Taupo Advisory Committees/Forums/Trusts.

Includes:

- Agreements and Memoranda of Understanding
- Investigating accidents that result in death or prosecution
- Maritime Strategic Planning final reports and reviews
- Environmental management plans and resource consents
- Records of ownership/lease of marine
- Non-marine structures.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date or 10 years from disposal of asset

DIA4.06 Lake Taupo Harbour Master – Maritime Operations

Description Records of marina, berthing, mooring and ramp permits, signs, infringements, prosecutions, Honorary Enforcement Officer (HEO) management, and investigations of accidents that do not result in death or prosecution, etc.

Disposal Action Destroy 7 years from last information entry date

DIA05 Government Services

Description This class covers records associated with the provision of services to the Central Government Sector. This includes VIP Transport, Visits and Ceremonials, publishing the New Zealand Gazette, Crown Entity Monitoring and Appointments, the Office of the Government Chief Information/Privacy/Technology Officer and Ministerial Entitlements and Support.

DIA5.01 Government Chief Officer Reviews and Reports

Description Records created or received by the Government Chief Information Officer (GCIO), Government Chief Privacy Officer (GCPO) and Government Chief Technology Officer (GCTO) when monitoring, reviewing and reporting on the direction of government information management and information technology systems, programmes and projects, and privacy.

Includes:

- Major versions
- Final and consolidated/summarised reports
- Consolidated/summarised monitoring reports
- Definitive documents, case/project files where there is significant public interest (e.g. 2013 GCIO Review of Publicly Accessible Computer Systems).

Note: Excludes regular minor monitoring reports (weekly, monthly, quarterly etc.) from government agencies on IM, ICT and Privacy programmes and projects as these are covered by Class DIA5.02.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date

DIA5.02 Government Chief Officer Monitoring

Description Records created or received by the Government Chief Information Officer (GCIO), Government Chief Privacy Officer (GCPO) and Government Chief Technology Officer (GCTO) through regular monitoring of the direction of government information management and information technology systems, programmes and projects. Includes regular minor monitoring reports (weekly, monthly, quarterly etc.) from government agencies on IM, ICT and Privacy programmes and projects.

Disposal Action Destroy 10 years from last information entry date

DIA5.03 Ministerial Entitlements – Salaries/Annuities

Description Records created or received in the process of managing salaries and annuities for Members of the Executive, Ministers, Former Prime Ministers and Partners, Former Governors General and Partners.

Includes:

- Policy and general issues

- Reviews of/reports on salaries/annuities
- Consolidated reports/summaries of Executive and Ministerial expenditure, etc.

Does not include payroll type information about disbursement of monies as this is covered by General Disposal Authority 6 – Common Corporate Service Public Records.

Disposal Action Transfer to Archives New Zealand 20 years from last information entry date

DIA5.04 Ministerial Entitlements – Property and Expenditure

Description Records created or received in the process of managing properties and expenditure for Members of the Executive, Ministers, Former Prime Ministers and Partners, Former Governors General and Partners.

Includes Executive and Ministerial expenditure records (excluding summaries and invoices), property files, etc.

Disposal Action Destroy 20 years from last information entry date

DIA5.05 VIP Transport – Bookings and Plans

Description All records created or received in the process of managing VIP Transport bookings, transport plans, including records stored in hardcopy or electronic/digital business systems (e.g. ARS), etc.

Disposal Action Destroy 5 years from last information entry date

DIA5.06 VIP Transport – Car Files

Description All records created or received in the process of managing VIP Transport car files.

Includes:

- Purchase
- Maintenance
- Accidents
- Disposal, etc.

Disposal Action Destroy 7 years from last information entry date

DIA5.07 New Zealand Gazette Publication

Description All information relating to the process of publishing the New Zealand Government Gazette.

Note: Final published New Zealand Gazettes are submitted under Legal Deposit with the National Library.

Disposal Action Destroy 2 years from last information entry date

DIA5.08 Visits and Ceremonial – Royal and Nationally Significant

Description	<p>Records created or received in the process of managing Royal Visits, Heads of State and Government Visits, including visits by very high-level and senior position government officials, e.g. United States of America Secretary of State.</p> <p>Also Ceremonial Events for significant anniversaries or one-off events of national importance. For example, visits by the Monarch and members of the Royal Family, visits by the Prime Minister of the United Kingdom, World War One and ANZAC 100th anniversaries, Korean War 60th, Sesquicentennial, funeral of Sir Edmund Hillary, etc.</p> <p>Includes:</p> <ul style="list-style-type: none">• High-level planning• High-level budget• Visit/event programme• End of visit/event analysis reports and summaries• Banquet/luncheon menus• Audio-visual material with clear descriptive metadata, etc. <p>Excludes travel itineraries, accommodation bookings, invoices, copies of material produced or held by other government agencies or another branch of DIA, floor plans, duplicate audio-visual material, audio-visual material without clear descriptive metadata, draft reports and plans, etc.</p>
Disposal Action	Transfer to Archives New Zealand 10 years from last information entry date

DIA5.09 Visits and Ceremonial – Administrative and Not Nationally Significant

Description	<p>Records created or received in the process of managing visits and ceremonial events for events that are not significant anniversaries of national importance.</p> <p>Includes:</p> <ul style="list-style-type: none">• Visits by Full and Partial Guests of Government, and Prime Minister's Fellowships and the Otaki Scholarship recipient visits, etc.• High-level planning, high-level budget, visit/event programme, end of visit/event analysis reports and summaries, etc.• Administrative records for Royal Visits, Heads of State and Government Visits, Ceremonial Events, Full and Partial Guests of Government, Prime Minister's Fellowships, and the Otaki Scholarship recipient visits• Travel itineraries, accommodation bookings, invoices, copies of material produced or held by other government agencies or another branch of DIA• Floor plans• Duplicate audio-visual material• Audio-visual material without clear descriptive metadata• Draft reports and plans, etc.
Disposal Action	Destroy 10 years from last information entry date

DIA5.10 Crown Entity Monitoring – Summary

Description	Crown Entity Monitoring final reports and consolidated summaries on Crown Entity performance. Includes: <ul style="list-style-type: none">• Summary and consolidated statistics• Yearly/quarterly reports on investigations, etc.
Disposal Action	Transfer to Archives New Zealand 10 years from last information entry date

DIA5.11 Crown Entity Monitoring – Routine

Description	Crown Entity Monitoring routine operational monitoring, audits and reporting. Includes: <ul style="list-style-type: none">• Raw data• Routine audits• Draft reports• Weekly and monthly reporting• Appointment processing, etc.
Disposal Action	Destroy 7 years from last information entry date

DIA5.12 Customer Services Call Recordings and Data

Description	Customer Services call recordings and data. Note: Does not include recordings of information covered by DIA1.23 Citizenship, BDM, Passports, Identity Check – Queries and Products.
Disposal Action	Destroy 1 month from date of creation

DIA06 Regulatory Services

Description This class includes the records of services to regulate gambling activity (Casinos, Class 3 and 4), objectionable material (Censorship), unsolicited electronic messages (Anti-Spam), and anti-money laundering (AML) and countering financing of terrorism (CFT); and the Private Security Personnel and Private Investigators Regulations 2011.

DIA6.01 Casino Licence Management

Description Records created or received in the process of managing the licences of the six Casinos in Auckland, Hamilton, Christchurch, Dunedin, Queenstown (x2).

Includes:

- Casino Minimum Operational Standards
- Licence information
- Any investigations of a Casino

Excludes individual applications to the Gambling Commission, and its decisions for variations to a licence as these are covered by Class DIA9.03, but includes the aggregated licence summary.

Note: Casino licences are issued for 25 years, and can potentially be renewed.

Disposal Action Destroy 25 years from date of licence expiry

DIA6.02 Casino – Amendments and Meetings

Description Records created or received in processing amendments to Casino rules, Casino minimum operation standards, DIA approvals, meeting minutes, etc.

Disposal Action Destroy 10 years from last information entry date

DIA6.03 Casino Audits

Description All Operator records and Audit records containing failures and no failures.

Includes:

- Records documenting the audits
- Copies of operators records for all Casino audits
- Audio-visual recordings of table game audits.

Disposal Action Destroy 7 years from last information entry date

DIA6.04 Gambling Licences (Non-Casino)

Description	Gambling licences that are issued to non-casino operators.
Disposal Action	Transfer to Archives New Zealand 20 years from last information entry date

DIA6.05 Gambling Licences Management

Description	Records created or received in the process of managing non-Casino gambling licences - Society, Operator, Venue and Promoter licences; and Casino registrations/licences for Certificate of Approvals, Associated Person and Group Commission Organisers/Representatives & Commission Agents. Includes: <ul style="list-style-type: none">• Investigations of Societies, Operators, Venues and Promoters, etc.• Applications• Supporting documentation• Annual reporting, etc.
Disposal Action	Destroy 50 years from last information entry date

DIA6.06 Class 4 Gambling Electronic Monitoring

Description	Class 4 Gambling Electronic Monitoring System (EMS) data on individual gambling machines and licenced venues.
Disposal Action	Destroy 7 years from date of creation

DIA6.07 Gaming Gazetted Rules

Description	Records created in processing Casino and Non-Casino Gaming Rules that have been gazetted in the New Zealand Gazette.
Disposal Action	Destroy 2 years from last information entry date

DIA6.08 Investigations – Summary

Description	Summary and consolidated reporting records of all Casino and Non-Casino Gambling, Anti-Money Laundering and Counter Financing of Terrorism, Objectionable Material and Electronic Messaging Compliance investigations, inspections and complaints. Includes: <ul style="list-style-type: none">• Summary and consolidated statistics• Yearly/quarterly reports on investigations/prosecutions, etc.
Disposal Action	Transfer to Archives New Zealand 10 years from date of last action

DIA6.09 Gambling Investigations

Description	<p>All relevant material gathered during the course of a gambling investigation from inception to final close out trial report from the Crown.</p> <p>Includes (but is not limited to):</p> <ul style="list-style-type: none">• Intelligence• Evidence files• Investigation files• Prosecution files• Entity profiles• Person profiles. <p>Excludes exhibits provided to the investigation as these are returned to their owners after the 28 day appeal period.</p> <p>Note: Applies to gambling investigations conducted under the Gambling Act 2003 and the Racing Act 2003.</p>
Disposal Action	Destroy 10 years from date of last action

DIA6.10 Audits, Inspections and Intelligence

Description	<p>Records created or received in the course of processing or conducting any of the following business functions:</p> <ul style="list-style-type: none">• Anti-Money Laundering and Countering Financing of Terrorism investigations, monitoring and audits of Casinos, Lenders etc.• Non-Casino Gambling Inspections of gaming Societies, Venues, Operators and Promoters• Objectionable Material Inspections and Monitoring of Industry; and Domestic and International Group Investigation files conducted in partnership with other agencies• Electronic Messaging Compliance monitoring, email notifications, Complaints, Operational Intelligence, etc.
Disposal Action	Destroy 10 years from date of last action

DIA6.11 Objectionable Material – Substantiated investigations

Description	<p>Records of Objectionable Material evidence gathering and pre and post investigation material and files of investigations that are substantiated.</p> <p>Includes (but is not limited to):</p> <ul style="list-style-type: none">• Intelligence• Evidence files• Case files• Investigation files• Prosecutions files• Persons of interest• Offender Profiles
Disposal Action	Destroy 30 years from date of last action

DIA6.12 Objectionable Material – Unsubstantiated investigations

Description	Records of Objectionable Material evidence gathering and pre and post investigation material and files of cases that are not substantiated Includes (but is not limited to): <ul style="list-style-type: none">• Intelligence• Evidence files• Case files• Investigation files• Persons of interest• Offender Profiles
Disposal Action	Destroy 12 months from date of last action

DIA6.13 Private Security Personnel and Private Investigators (PSPPI) Regulations Investigations

Description	Records created or received in the process of: <ul style="list-style-type: none">• Providing the Licensing Authority with information and recommendations to make a determination on complaints against licensed or certified security personnel• Investigating and validating information supplied in applications for licensing or certification and reports back to the Licensing Authority for determination.
Disposal Action	Destroy 10 years from date of last action

DIA07 Legislation, Governance and Policy

- Description** This class covers records of the development of legislation and regulations, submissions on other agencies' legislation, provision of policy advice to support decision-making by Ministers, and internal governance of DIA business functions.
- The provision of advice to support decision-making by Ministers on government policy matters relates to all functions performed by DIA or for which DIA has a legislative obligation including matters relating to:
- Community and voluntary sector
 - Ethnic communities
 - Internal Affairs, including regulatory and identity matters, all-of-government information and communications technology, the role of information in New Zealand's cultural and economic life, and other areas that fall within the Internal Affairs portfolio for example, Fire Service and Daylight Savings
 - Local Government
 - Racing
- Additionally, the provision of advice to support decision-making by Ministers in regard to the following:
- National Library Legal Deposit requirements
 - Formal agreements and policies that are established by the National Library Act 2003
- The class covers most DIA services provided to governing and advisory bodies to which it provides administrative and/or secretariat services. It also covers DIA's strategic and operational policies, procedures and relationship management, minor policy advice, and internal governance including staff delegations and team administration.

DIA7.01 Governance Meetings

- Description** Minutes and agenda, etc. relating to meetings of boards/governing bodies where the DIA manages the legislation for them or provides secretariat and/or administrative services, e.g. Charities Registration Board, Chinese Poll Tax Heritage Trust, Lottery Grant Board (Excluding Community Committees and Specialist Committees), the Archives Council and the Library Information Advisory Commission (LIAC) etc.

Includes:

- Minutes
- Papers
- Agenda
- Successful appointments
- Resignations.

Excludes applications for funding which are covered by Class DIA3.04.

Note 1: This class does not apply to records of meetings of the Executive Leadership Team (ELT) (DIA Executive level, tiers 1 and 2) and Senior Leadership Teams (SLT) (Branch executive level, tiers 2 and 3), as they are covered by Class 6.2.1 of General Disposal Authority 6 – Common Corporate Service Public Records.

Note 2: Local Government and Gambling Commissions are excluded

from this class as they operate as separate entities. Their records are covered in Class DIA09.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date

DIA7.02 Meeting Administration

Description Administrative records relating to all governance meetings across DIA. Includes travel arrangements, meeting venues, catering, and accommodation, of the following meetings:

- Executive Leadership Team/ELT (DIA Executive level, tiers 1 and 2) and Senior Leadership Team/SLT (Branch executive level, tiers 2 and 3) meetings, e.g. National Library Leadership Team Meetings
- Boards/governing bodies where DIA manages the legislation for them or provides secretariat and/or administrative services, e.g. Charities Registration Board, Chinese Poll Tax Heritage Trust, Lottery Grants Boards and Distribution Committees, the Archives Council, the Library Information Advisory Commission (LIAC) etc.

Note: Local Government and Gambling commission records are covered by Class DIA09 as they operate as separate entities.

Disposal Action Destroy 2 years from last information entry date

DIA7.03 Team Management and Administration

Description Lower level team management records, including papers, rosters, minor team issues, and work plans.

Disposal Action Destroy 2 years from last information entry date

DIA7.04 Development of DIA Legislation and Regulations

Description Records created and received in the development of new legislative instruments (Bills, Acts, Regulations, Orders in Council, etc.) and amending of current legislative instruments administered by DIA.

For example:

- Amendments to the Citizenship Act 1977
- Births, Deaths and Marriages and Relationships Registration Act 1995
- Electronic Identity Verification Act 2012, etc.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date

DIA7.05 Submissions on Other Agencies' Legislation

Description	All submissions on legislative instruments (Bills, Acts, Regulations, Orders in Council, etc.) administered by another agency. Financial and employment legislation is covered by Classes 2.2.1 and 2.2.3 of General Disposal Authority 6 – Common Corporate Service Public Records.
Disposal Action	Destroy 10 years from last information entry date

DIA7.06 Government Policy

Description	<p>Records of the provision of advice to support decision-making by Ministers on government policy matters relating to all functions performed by DIA or for which DIA has a legislative obligation. It includes records of briefings, policy submissions, policy research, and consultation in DIA functions, etc. It excludes drafts, and policy submissions on other departments' functions.</p> <p>Includes policy matters relating to:</p> <ul style="list-style-type: none">• Community and voluntary sector• Ethnic communities• Internal affairs, including regulatory and identity matters, all-of-government information and communications technology, the role of information in New Zealand's cultural and economic life, and other areas that fall within the internal affairs portfolio, for example, Fire Service and Daylight Savings• Local government• Racing• Public Lending Right Act and Regulations• National Library Act 2003 for example, access, collections, and preservation. <p>Also includes policy advice provided by DIA to statutory bodies and trusts that it oversees including the Gambling Commission and the Local Government Commission. For example:</p> <ul style="list-style-type: none">• Local Government Boundary Change policy advice to the Local Government Commission• Harm Minimisation policy advice to the Gambling Commission.
Disposal Action	Transfer to Archives New Zealand 10 years from last information entry date

DIA7.07 Policy Advice Provided to the Gambling Commission and Local Government Commission

Description	<p>Records of the provision of advice to support decision-making by the Gambling Commission and Local Government Commission government policy matters relating to those commissions.</p> <p>Includes briefings, and policy submissions; excludes drafts, policy submissions on other departments' functions.</p>
Disposal Action	Transfer to Archives New Zealand 10 years from last information entry date

DIA7.08 Strategic Direction and Relationships

Description Records documenting strategic direction and internal policies for all DIA functions; includes agreements for all functions as well as reports and significant relationships that result from strategic policy directions.

Note: If the work is undertaken as part of a formal programme or project, please refer to Class DIA8.01.

Includes agreements, or co-operative arrangements, policy and significant bicultural relationships, provision of advice working on collaborative projects and shared initiatives, and reciprocal cooperative arrangements between DIA and other organisations.

For example:

- Public speeches, announcements, articles and promotional records relating to DIA's strategic direction and relationships
- Treaty settlement letters of agreement
- Records on relationships with significant stakeholders, e.g. Ngati Porou
- Friends of the Turnbull Library, etc.
- All of Government ICT Strategy
- Agreements and Memoranda of Understanding
- Office of Ethnic Communities Final Reports
- Language Line Annual Review
- New Zealand Lottery Grants Board - Lottery Grants Record
- Charities Standard Operating Procedures document.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date

DIA7.09 Collaborative Relationships and Initiatives with National and International Entities

Description Records on building and maintaining collaborative relationships and partnerships with a view to sharing resources and expertise with other national and international entities that perform similar business functions to DIA.

These include but are not limited to the following records:

- Agreements
- Membership
- Protocols
- Standards
- Reports
- Discussion papers
- Research papers

Disposal Action Transfer to Archives New Zealand 10 years after last action

DIA7.10 Non-strategic Stakeholder Engagement and Relationship Management

Description	<p>Records created or received by DIA in the course of engaging with and managing non-strategic relationships with stakeholders.</p> <p>Includes:</p> <ul style="list-style-type: none">• General relationship and correspondence where no significant agreements, or strategic relationships, etc., have been entered into• Records created in external social media such as wikis and blogs that are created for the purpose of non-strategic stakeholder engagement and/or relationship management. <p>Note: It is DIA policy that external social media records are copied to a DIA recordkeeping system with sufficient metadata to identify them.</p>
Disposal Action	Destroy 2 years after last information entry date

DIA7.11 Stakeholder Administration

Description	<p>Routine administration records concerning stakeholders such as contact information, meeting availability, calendar records, and requests for nominations for inter-agency initiatives which are declined by DIA.</p> <p>Includes: Conference agendas, and papers produced by other organisations.</p> <p>Note: Communications received from external agencies are covered by Class 6.1.2 of General Disposal Authority 6 – Common Corporate Service Public Records.</p>
Disposal Action	Destroy after no longer administratively required.

DIA7.12 Operational Policies and Procedures; Minor Advice

Description	<p>Operational policy and procedures for all DIA functions, minor input and feedback on DIA business unit policies provided by the policy team, and incident response for all DIA functions.</p> <p>Includes:</p> <ul style="list-style-type: none">• Implementation of branch/group strategic directions into operational policies• Procedures• Minor reports summarised elsewhere and commissioned or received as a part of an operational function, etc.• Survey results and other raw data used as basis for reports. <p>Examples include:</p> <ul style="list-style-type: none">• Disaster Recovery and Business Continuity Plans, etc.• Public Lending Right procedures• Aotearoa People's Network procedures• Dog Control Reports under s10A from Local Government Authorities• Evidence of Identity Standard Advice to Organisations• Contact Centre Customer Service Scripts. <p>Note: Excludes Standard Operating Procedure (SOP) documents that</p>
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record standard investigation procedures used by investigation teams across DIA. These documents are covered by Class DIA7.06.

Disposal Action Destroy 10 years from last information entry date

DIA7.13 High-level Strategic Sector Initiatives

Description Records and information documenting DIA's involvement with the broader sectors they are involved in and key stakeholder engagement about high-level and strategic sector specific issues.

Initiatives can be quite wide-ranging, and involve multiple parties both nationally and internationally. They can impact on a number of aspects of the sector DIA deals with, as well as aspects of other sectors, for example, Office of Ethnic Communities settlement issue reports.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date

DIA7.14 Operational Sector Initiatives

Description Records and information documenting DIA's involvement with the broader sectors they are involved in and stakeholder engagement about operational and routine sector specific issues.

For example:

- Operational engagement records with Ethnic Communities
- Providing assistance to New Zealand citizens and New Zealand Passport holders whilst overseas
- Evidence of Identity Standard Risk Assessments for Organisations.

Disposal Action Destroy 10 years from last information entry date

DIA7.15 Christchurch Earthquake Appeal Trust

Description Records created or received by the Christchurch Earthquake Appeal Trust on the set up of the Trust and distribution of monies from the Trust. Includes funding applications (successful and unsuccessful) and decisions on distribution of funds, audit of use of the funds, etc.

Excludes information on the disbursement of monies that is collected in finance systems as this is covered by General Disposal Authority 6 – Common Corporate Service Public Records.

Disposal Action Transfer to Archives New Zealand 2 years from last information entry date

DIA7.16 Statutory Appointments and Delegations to Persons by the Chief Executive

Description Records of delegations by the Chief Executive of DIA and Secretary of Internal Affairs and Secretary of Local Government and Government Chief Digital Officer, of statutory powers under Acts relating to DIA's core functions to:

- other public sector chief executives
- employees, contractors or secondees from the state services,

working for DIA

- statutory office holders or other persons.

Includes:

- Statutory appointments and delegations of statutory powers and functions made under an Act administered by DIA. For example, Anti-Money Laundering and Countering Financing of Terrorism Act 2009, Births, Deaths, Marriages, and Relationships Registration Act 1995, and Gambling Act 2003.
- Delegations of statutory powers to authorise staff to make decisions that relate to the Official Information Act 1982 and the Privacy Act 1993.
- Statutory appointments and delegations made under the State Sector Act 1988 that are not covered by Classes 3.1.1 or 1.2.4 of General Disposal Authority 6 – Common Corporate Service Public Records.

Note 1: This class does not cover employee appointment records of specified statutory officers (such as Chief Archivist, National Librarian). These records are covered by Class 3.1.1 of General Disposal Authority 6 – Common Corporate Service Public Records.

Note 2: This class does not cover delegated power to managers common to all agencies, including authority to hire, promote, transfer staff etc. These records are covered by Class 1.2.4 of General Disposal Authority 6 – Common Corporate Service Public Records.

Disposal Action Destroy 10 years from last information entry date

DIA7.17 Employer/ee group meetings

Description Records of employer/employee meetings including discussions with State Services Commission or employee groups or Unions (e.g. the Public Service Association) where the result does not impact on staff or their working conditions. For example, general correspondence and for your information type newsletters.

Records of employer/employee meetings where the results of the meeting impacts on staff, their working conditions or impacts on the agency's business such as pay and condition negotiations, strike action, stop-works, lockouts, etc. are covered by Classes 3.6.2 and 3.6.3 of General Disposal Authority 6 – Common Corporate Service Public Records.

Disposal Action Destroy 5 years from last information entry date

DIA08 Programmes and Projects

Description This class covers programme and project records including All of Government (AoG) initiatives where DIA is the lead agency as well as internal initiatives. Programmes and projects are distinguished from business as usual work as they have a start and end date and often have separate governance and funding arrangements.

DIA8.01 Significant Programmes and Projects

Description Records of significant DIA programmes and projects.

A significant internal programme or project is characterised by one or more of the following:

- It is an All of Government (AoG) initiative where DIA is the lead
- The outcomes of the programme or project have a significant impact on DIA, the government, DIA's stakeholders and/or the NZ public.
- It is a high-level Strategic Sector Initiative undertaken as a programme or project
- High risk capital programmes and projects that would expose the government to significant fiscal or ownership risk if it were not delivered within the projected functionality, cost, and timelines (Cabinet Office Circular CO (10) 2)
- Monitored by one of the central agencies (State Services Commission, Treasury or Department of Prime Minister and Cabinet)
- Approval by Executive Leadership Team (ELT), Chief Executive (CE), Finance and Investment Governance Committee; or equivalent bodies
- Meets an investment threshold that requires approval from ELT or the CE (this figure changes from year in accordance with a number of factors including inflation)
- For example, Result 10, Information and Communications Technology (ICT) Strategy & Action Plan Development, Redevelop newzealand.govt.nz, AoG Enterprise Content Management (ECM) panel procurement, Financial Application and Service Transformation (FAST) project, etc.

Includes:

- Major versions
- Final and consolidated/summarised reports
- Definitive documents (business case, mandate etc.)
- Major internal/external reviews of project/programme
- Governance Committee/s Minutes, etc.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date

DIA8.02 Significant Programmes and Projects – Administrative

Description Administrative records of All of Government (AoG) programmes and projects where DIA participates, either as lead agency or not.

Administrative records from significant DIA internal programmes or projects.

Includes:

- Minor versions
- Minor reporting or minor operational and administrative records such as weekly, monthly reports, minor correspondence
- Raw data, project and programme plans, tendering and procurement documents
- Financial management
- RAIDS logs, risk management, QA checks, etc.

**Disposal
Action**

Destroy 7 years from last information entry date

DIA8.03 Minor Projects

Description

Records of DIA's minor projects and All of Government (AoG) programmes and projects where another agency is the lead.

Minor projects **do not** have any of the following characteristics:

- It is an All of Government (AoG) initiative where DIA is the lead.
- The outcomes of the programme or project have a significant impact on DIA, the government, DIA's stakeholders and/or the NZ public
- It is a high-level Strategic Sector Initiative undertaken as a programme or project
- High risk capital programmes and projects that would expose the government to significant fiscal or ownership risk if it were not delivered within the projected functionality, cost, and timelines (Cabinet Office Circular CO (10) 2)
- Monitored by one of the central agencies (State Services Commission, Treasury or Department of Prime Minister and Cabinet)
- Approval by Executive Leadership Team (ELT), Chief Executive (CE), Finance and Investment Governance Committee, or equivalent parties
- Meets an investment threshold that requires approval from ELT or the CE (this figure changes from year in accordance with a number of factors including inflation)

Includes:

- Major/minor versions
- Major/minor reporting
- Operational and administrative records such as weekly, monthly reports, minor correspondence
- Raw data
- Project and programme plans
- Tendering and procurement documents
- Financial management
- Risks, Assumptions, Issues, Dependencies (RAIDS) logs
- Risk management, Quality Assurance (QA) checks
- Reviews of project
- Committee minutes, etc.

**Disposal
Action**

Destroy 7 years from last information entry date

DIA09 Local Government and Gambling Commissions of Inquiry

Description	<p>The class covers the records of the Local Government Commission and the Gambling Commission.</p> <p>The Local Government Commission is an independent statutory body. Their main role is to make decisions on the structure and representation requirements of local government in New Zealand.</p> <p>The Gambling Commission is an independent statutory decision-making body established under the Gambling Act 2003. The Commission hears casino licensing applications, and appeals on licensing and enforcement decisions made by the Secretary of Internal Affairs in relation to gaming machines and other non-casino gambling activities.</p> <p>These Commissions are both a Commission of Inquiry.</p>
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DIA9.01 Commissions Meeting Administration

Description	<p>Administrative records relating to the Local Government and Gambling Commission meetings.</p> <p>Includes:</p> <ul style="list-style-type: none">• Travel arrangements• Meeting venues• Catering• Accommodation, etc.
Disposal Action	<p>Destroy 2 years from last information entry date</p>

DIA9.02 Gambling Commission – Meetings and High-level Reporting

Description	<p>Records of minutes and agenda relating to the Gambling Commission and of successful appointments and resignations.</p> <p>Excludes decision and appeal papers presented to the Commission.</p> <p>Records produced by the commission related to the operation or structure of gambling in New Zealand.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Gambling Commission Annual Reports• Harm Minimisation Levy Reports• Advice to the Minister• Summary records of complaints, decisions or appeals to the commissions.
Disposal Action	<p>Transfer to Archives New Zealand 10 years from last information entry date</p>

DIA9.03 Gambling Commission – Casino Establishment and Operation

Description	Records produced by the commission related to the operation or structure of Casinos in New Zealand. Includes Casino Establishment files and operating licences.
Disposal Action	Transfer to Archives New Zealand 25 years from last information entry date

DIA9.04 Gambling Commission – Appeals with Decision

Description	Records of appeals to the Gambling Commission where there has been a decision issued. For example, appeal on a refusal by DIA to renew a Class 4 licence.
Disposal Action	Destroy 15 years from last information entry date

DIA9.05 Gambling Commission – Appeals No Decision

Description	Records of appeals to the Gambling Commission where there has not been a decision issued. For example, appeal on a refusal by DIA to renew a Class 4 licence where the Commission issues no decision.
Disposal Action	Destroy 30 years from last information entry date

DIA9.06 Local Government Commission – Meeting Minutes and Agenda

Description	Minutes, papers and agenda, relating to the Local Government Commission. Includes: <ul style="list-style-type: none">• Minutes• Agenda• Papers• Successful appointments• Resignations, etc.
Disposal Action	Transfer to Archives New Zealand 10 years from last information entry date

DIA9.07 Local Government Commission – Activities and Decisions

Description	Records produced by the commission related to the operation or structure of local government in New Zealand. Includes: <ul style="list-style-type: none">• Community Board structures, boundaries, and numbers• Licensing Trusts boundaries, management of trusts• Local Authority boundaries, disputes, alterations, appeals, protocols, etc.• Reorganisation applications, reviews, submissions• Representation reviews, guidelines
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- One off reviews and investigations, e.g. changing from a District Council to a City Council, and reports to the Minister.

**Disposal
Action**

Transfer to Archives New Zealand 20 years from last information entry date

DIA10 Education and Training, Conferences and Events

Description This class covers records of educational and training material and services to communities and professional bodies such as schools, internal training content and the organisation and hosting of conferences and events.

Includes:

- Training and educational material
- Development of publications
- Conference materials

It excludes training and development records, and communications and events records that are covered by General Disposal Authority 6 – Common Corporate Service Public Records.

DIA10.01 Conference, Education, and Training Material Required Under Legal Deposit

Description Records created or received by the process of developing external training courses and published educational material where copies of the output publication/s have been deposited under Legal Deposit.

Included in this class are records about developing publications, published educational material development, and educational tours where copies of the output publication/s have been deposited under Legal Deposit.

Records created as part of the delivery of conferences, including:

- Reports
- Conference papers
- Meeting agendas and minutes
- Master copy of programme.

Note: Draft versions of these records may be legally destroyed in accordance with Class 1.6 of General Disposal Authority 7 – Facilitative, Transitory, and/or Short-Term Value Records, once they are no longer actively used or referred to.

Disposal Action Destroy 5 years from last information entry date

DIA10.02 Conference, Education and Training Material (Final)

Description Final design concepts, decisions, programme text, definitive documents created or received by the process of developing external educational material and final delivered external training material not submitted under Legal Deposit.

Records created as part of the delivery of conferences, including:

- Reports
- Conference papers
- Meeting agendas and minutes
- Master copy of programme.

Note 1: One copy only to be transferred as a public archive.

Note 2: Draft versions of these records may be legally destroyed in

accordance with Class 1.6 of General Disposal Authority 7 – Facilitative, Transitory, and/or Short-Term Value Records, once they are no longer actively used or referred to.

Disposal Action Transfer to Archives New Zealand 10 years from last information entry date

DIA10.03 Education and Training, Conferences, and Events – Administration

Description Records relating to the administration and management of Education and Training, Conferences and Events, for example, travel arrangements, catering, venues, registrations, etc.

Disposal Action Destroy 2 years from last information entry date

DIA10.04 Internal Training Content and Delivery

Description Internal training delivery records and training content

Includes:

- Reading lists/material
- Training outlines
- Training content, etc.

Excludes administrative records as these are covered by General Disposal Authority 6 – Common Corporate Service Public Records classes.

Disposal Action Destroy 7 years from last information entry date

DIA10.05 Minor Public Events

Description Minor public events organised and hosted by DIA for all functions where an event does **not** have national or regional significance.

Includes:

- Planning
- Development
- Conceptual design
- Guest lists
- Catering, etc.

Note: Major public events are covered by Class 6.1.12 of General Disposal Authority 6 – Common Corporate Service Public Records, or Class DIA2.13, or Class CA6.05 of the Chief Archivist Disposal Authority.

Disposal Action Destroy 5 years from last information entry date

DIA11 Intrusion Detection System Data

Description This class covers records (data) that are created by Intrusion Detection Systems used to protect digital systems. It covers traffic metadata, standard events and system logs; and non-standard events and system logs.

DIA11.01 Traffic Metadata and Critical Services Data

Description Traffic metadata (e.g. Firewalls, Detection software), and critical services (e.g. database access, configuration and queries, AD, VPN access, WIFI access, DNS queries, DHCP lease) that are generated by Intrusion Detection Systems.

Disposal Action Destroy 7 days after date of creation

DIA11.02 Standard Events and System Logs

Description System and event logs created by the Intrusion Detection System.

Disposal Action Destroy 18 months after date of creation

DIA11.03 Non-standard Events and System Logs

Description System and event logs created by the Intrusion Detection System that are evidence of non-standard behaviour.

Disposal Action Destroy 7 years after date of last action

DIA12 Internal Communications

Description This class covers routine and informal internal communication records that are published on the DIA intranet and authorised internal social media sites such as Yammer. It excludes internal communication records that are covered by Class 6.1.3 of General Disposal Authority 6 – Common Corporate Service Public Records.

DIA12.01 Internal Social Media

Description Minor communications records published on authorised internal social media platforms.

Includes:

- Discussion forums including attachments
- Group memberships
- Contact lists
- Individual and group messages including attachments

Note 1: Major internal communications are captured in DIA's business systems that have recordkeeping capability such as one of the Electronic Document Records Management Systems (EDRMS). They are covered by Class 6.1.3 of General Disposal Authority 6 – Common Corporate Service Public Records.

Note 2: Records that are copies of records already saved into recordkeeping systems are covered by Class 1.4 of General Disposal Authority 7 – Facilitative, Transitory, and/or Short-Term Value Records.

Note 3: External social media records produced for the purposes of stakeholder engagement and/or relationship management are covered by Class DIA7.10 unless they form part of a formal project or programme, in which case they will be covered by Classes DIA08, or Class CA07 of the Chief Archivist Disposal Authority (DA658). They will be systematically captured by DIA.

Disposal Action Destroy 2 years from last information entry date

DIA12.02 Intranet Minor Communications

Description Minor communications records published on DIA's intranet. Records include those published in the:

Staff forums including attachments

- Calendar of events
- Announcements including attachments

Note 1: Records that are copies of records already saved into recordkeeping systems are covered by Class 1.4 of General Disposal Authority 7 – Facilitative, Transitory, and/or Short-Term Value Records. For example: policies and procedures that are stored in one of the Electronic Document Records Management Systems (EDRMS).

Note 2: Major internal communications records should be captured in one of DIA's business systems with recordkeeping capability. They are

covered by Class 6.1.3 of General Disposal Authority 6 – Common Corporate Service Public Records.

**Disposal
Action**

Destroy 2 years from last information entry date