

District Health Board (DHB) General Disposal Authority (GDA) Implementation Guide

Table of Contents

Overview.....	2
A: Scope and Background of the GDA.....	3
Public Records Act 2005 and GDAs.....	3
About the DHB GDA.....	3
DHB GDA Coverage	4
GDA Disposal Actions.....	7
Four Key Points to Remember about the GDA	8
B: Quick Reference Guide to Implementing the GDA	9
C: Detailed Guide to Implementing the GDA	11
1. Establish Oversight / Responsibility	11
2. Establish what records exist.....	13
3. Document all unlisted records	15
4. Ensure all listed material is covered by the GDA.....	16
5. Apply retention periods to all records covered by the GDA.....	17
6. Physical Disposal	19
7. Transfer records to Archives New Zealand	20
8. Destroy records that will not be transferred to Archives New Zealand.....	23
9. Consider GDA Implementation for the future	24
Appendix 1: HOW TO APPLY THE DHB GDA TO YOUR RECORDS	26
Introduction.....	26
DHB GDA Coverage	26
Format of the DHB GDA.....	27
Columns in the GDA	27
Trigger Points, Minimum Retention Periods, and Disposal Actions.....	28
Steps to applying the GDA	29
Appendix 2: DHB GLOSSARY OF RECORDKEEPING TERMS	33
References.....	43
Appendix 3: RECORDKEEPING LEGISLATION for DHBs.....	45

Overview

The implementation guide explains what the General Disposal Authority (GDA) is and how to apply the GDA to records in your DHB. This guide is designed primarily as a general guide for Records Managers and those staff who are in charge of implementing the DHB GDA.

The DHB GDA *Implementation Guide* outlines:

- How to implement the GDA
- How DHBs should manage their records so that the GDA is easily applied in the future

This guide is divided into three parts:

A. Scope and background of the GDA

B. Quick reference guide to implementation steps

C. Detailed step-by-step implementation guide

Appendices to this guide are in a separate document called *DHB GDA Implementation Guide Appendices*. The appendices include:

1. How to apply the DHB GDA to your records

2. DHB Glossary of Recordkeeping Terms

3. Recordkeeping legislation relevant to DHBs

If you have a question about the implementation of any aspect of the GDA, contact the Appraisal Section of Archives New Zealand at appraisal@archives.govt.nz. General contact details are also located on Archives New Zealand's website: www.archives.govt.nz.

Relevant Reading from Continuum Resource Pack:	Other Relevant Reading:
<ol style="list-style-type: none">1. RK1: Record Keeping Framework2. F1: What is a corporate record?3. G5: Glossary of Recordkeeping and Archival Terms	

A: Scope and Background of the GDA

The District Health Board General Disposal Authority is a legal authority identifying for DHBs which records they can transfer to Archives New Zealand, and which records they can destroy.

Public Records Act 2005 and GDAs

The Public Records Act 2005 clarified the position of records of the District Health Boards (DHBs), and now the Act formally covers all records (patient and other).

This act makes it illegal to destroy any records, including health information, made or received by DHBs without the permission of the Chief Archivist.

One method that allows the legal destruction of records on an ongoing basis is the issue by the Chief Archivist of general disposal authorities (GDAs) for public records. A GDA works by identifying generic types of records created across organisations and authorising disposal actions on them. It enables organisations to identify which records they need to transfer to Archives New Zealand and which records they can destroy.

In order to assist DHBs maximise the benefit from provisions under the Act, Archives New Zealand has developed a GDA especially for District Health Boards.

About the DHB GDA

The DHB GDA was developed with wide consultation using representatives from all DHBs and received endorsement by DHB CEOs. This records management tool provides the legal authority for District Health Boards to dispose of their records (regardless of format) when they are no longer required.

If DHBs do not wish to use this nationally developed GDA, they are still required to have all proposed disposal decisions relating to all records approved by the Chief Archivist through the development of their own disposal authority.

The DHB GDA works by outlining which types of records have long-term “archival” value and need to be kept as a permanent record, and which records are not.

Approximately 10% of records are required to be kept as archives, and these are usually managed by transferring them to Archives New Zealand once they are no longer required for ongoing business and after the minimum retention period.

The other 90% of records are made up of records that are judged not to have long-term value. The GDA outlines the *minimum* length of time these types of records should be kept once they are closed / non-current (usually for legislative, compliance, business reasons) before they can be destroyed or discharged. This will mean that a lot of storage space (currently used for storing out of date records) can be saved.

DHB GDA Coverage

The GDA covers all records, including health information, created or received by DHBs and relating to all DHB activities and functions.

The DHB GDA covers records from 1920 (and earlier) to 2016, including the records of all predecessor agencies and of all individuals and organisations sub-contracted to provide services on behalf of the DHBs.

The DHB GDA covers all record formats. “All record formats” include emails, correspondence, databases, videos, photographs, x-rays, plans, paper and electronic files, work saved to local and shared drives, intranets and web-sites, material published by or at the instigation of DHBs, and anything saved in an electronic document management system (or equivalent for specific types of medical record).

The DHB GDA covers all record types created by DHBs. The DHB GDA divides these record types into 21 main classes. These are listed below in alphabetical order with descriptions of their coverage.

Administration records

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.)

Compliance, Audit, Risk Management records

*Compliance, Audit and Risk Management records cover all compliance, auditing and risk management requirements (both internal and external) relating to non-clinical processes, as well as clinical processes that do not relate to individual patients. They also cover the monitoring and management of issues raised within these compliance, audit, and risk management processes. (For complaints and incident management relating to individual patients see under **Quality Control (clinical)**, subclass **Legal Matters and Incident Reporting**.)*

Financial and Accounting records

Financial and accounting records cover all financial and accounting processes and activities within a DHB, from individual group level to DHB-wide.

Governance records

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 these are carried out.

Human Resources and Personnel records

Human Resources and Personnel records cover 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.

Information Management Systems and Services records

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.

Legal records

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.

Notifications and Reporting records (clinical)

Summary reports and registers to do with birth, disease etc notification on individuals.

Patient Diagnostics records (clinical)

Records that document the process of patient/client diagnosis as well as the standards and methodologies surrounding this process. Includes image-based and non-image based diagnostics.

Patient Treatment and Care records (clinical)

Records that document the provision of health assessment, diagnosis, management, treatment and care services and/or advice to individual patients/clients.

Patient Registration and Identification records (clinical)

Summary and control records not included on individual patient files.

Pharmaceutical Supply and Administration records (clinical)

Records documenting the procurement, storage, distribution, supply etc of prescriptions and drugs.

Policy and Procedure records

*Policy and Procedure records document processes that develop, describe, instruct, inform etc on DHB policy, procedure, activities, processes, and best practice. For reviews of risk, analysis of issues etc associated with the use of these records, see under **Compliance, Audit and Risk Management**.*

Population Health records

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.

Procurement and Supply Management records

Procurement and supply records relate to the purchase, ordering, transfer, supply, disposal etc of assets, supplies, items etc required by DHBs.

Project Management records

Project Management records record the administration, maintenance, monitoring of DHB-related projects, big or small.

Property and Asset Management records

Property and Asset Management records outline the development and ongoing maintenance of property and assets.

Public Relations and Communications records

Public Relations and Communications records outline how DHBs communicate with external agencies in official or promotional ways.

Quality Control records (clinical)

Records that document clinical quality control procedures such as incident reports, patient complaints and equipment sterilization registers.

Research Management records

Research Management records range from the management of current research, to the maintenance of past research and historical records.

Strategic Planning and Funding records

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

The GDA does NOT cover:

- *Blood bank records (exempt from DHB legislation)*
- *Laboratory samples and specimens (retention periods to be covered by the Human Tissues Bill)*

Relationship to the Health (Retention of Health Information) Regulations 1996

The Health (Retention of Health Information) Regulations 1996 state that health information relating to identifiable individuals must be retained for a minimum of 10 years. This GDA authorised under Section 20 of the Public Records Act 2005 both maintains the minimum 10-year retention period and in certain cases extends it for a number of specific classes of health information such as mental health patient files.

District Health Boards, as public offices are required to adhere to the minimum retention periods provided for in this GDA unless a individual District Health Board has an existing disposal authority previously issued by the Chief Archivist.

The GDA authorises the return of certain classes of health information to the individual patient by the process of discharge authorised in section 25 of the Public Records Act 2005. This represents a change from the Health (Retention of Health Information) Regulations 1996. Specifically, the Chief Executive of each District Health Board must agree to the process of returning patient records. In addition, such records can only be returned after the minimum periods outlined in the GDA.

Relationship to other standards and guidelines

The GDA and the disposal actions and time periods within it were formed using a number of sector specific standard and guidelines in mind. While the GDA does not always adhere strictly to those guidelines, where possible it has retained similar time periods as this reflects current practice within the New Zealand Health Sector. The following guides were referred to and considered during the GDA development:

- New Zealand Standard, Health Records NZS 8153:2002
- Ministry of Health *Code of Safe Practice For The Use of Irradiating Apparatus in Medical Therapy. 1992*
- Ministry of Health, Code of Safe Practice for the Use of X-Rays in Medical Diagnosis NRLC5 4-37
- Australian National Pathology Accreditation Guidelines for Retention of Laboratory Records and Diagnostic Material
- *Interim Good Clinical Research Practice Guidelines* issued by Medsafe in 1998

GDA Disposal Actions

What is meant by Disposal?

Disposal (or disposition) is a decision. It does not mean destruction - it is the final decision made by DHBs and Archives New Zealand about the permanent preservation or otherwise of the record.

Archive: Transfer to Archives New Zealand custody at end of the retention period

Discharge Offer the record back to the individual patient/client at the end of the retention period. This option is allowed under section 25(2) of the Public Records Act to allow the individual DHBs to discharge patient records back to the individual once the minimum retention period has been reached. A discharged record is a record, which has its status as a public record cancelled in accordance with Section 25 of the Public Records Act. If individual DHBs wish to continue the practice of offering patient records back to the patients themselves, there are some requirements that must be met including:

- there must be appropriate procedures in place to ensure that a record is discharged only to the person who is the subject of the information or their authorised agent
- use of this approved GDA provides DHBs with the agreement for the discharge of public records. No separate agreement with Archives New Zealand is required.

Destroy: Do not transfer to Archives New Zealand. Destroy records in an approved manner at the end of the retention period

What is the Retention period?

Retention period is the period of time between the record becoming non-current and the action of the final disposal, whatever that is.

Some records have legal requirements for retention. Some of those legal requirements may be specific to DHBs; others are generic to government departments or all organisations.

Retention periods and disposal decisions only apply to **closed or non-current** files; therefore the schedule should only be applied to **closed or non-current** files.

Please note: If you have significant concerns or issues about the disposal criteria, action or time period as listed in the GDA, please contact Archives New Zealand

Four Key Points to Remember about the GDA

1. The GDA is a tool that has been developed to allow DHBs to be compliant with the Public Records Act 2005. Although it outlines the records that Archives New Zealand wants to keep as archives, these records are often not the same as those the DHB would consider to be vital or important records.
2. The GDA covers all DHBs over a wide range of years and formats. It is therefore a tool that provides *high-level* guidance about the types of records that need to be eventually transferred to Archives New Zealand or destroyed. Each DHB will need to apply the GDA to each individual record (or related group of records) they hold themselves. It is not a record-by-record guideline.
3. The GDA groups together all records of a certain “type” regardless of where in the DHB they were created or who created them. For example, all human resource management records are grouped together under Human Resources and Personnel, *including* the records that were developed and held by managers in non-HR areas.
4. The retention periods outlined in the GDA are *minimum* retention periods that start only after the record is no longer used or is closed¹. The DHBs can keep records for longer if required. If they wish to keep records recommended for eventual transfer to Archives New Zealand, they require a deferral agreement with Archives New Zealand. If they wish to keep records recommended for destruction, no approval is required.

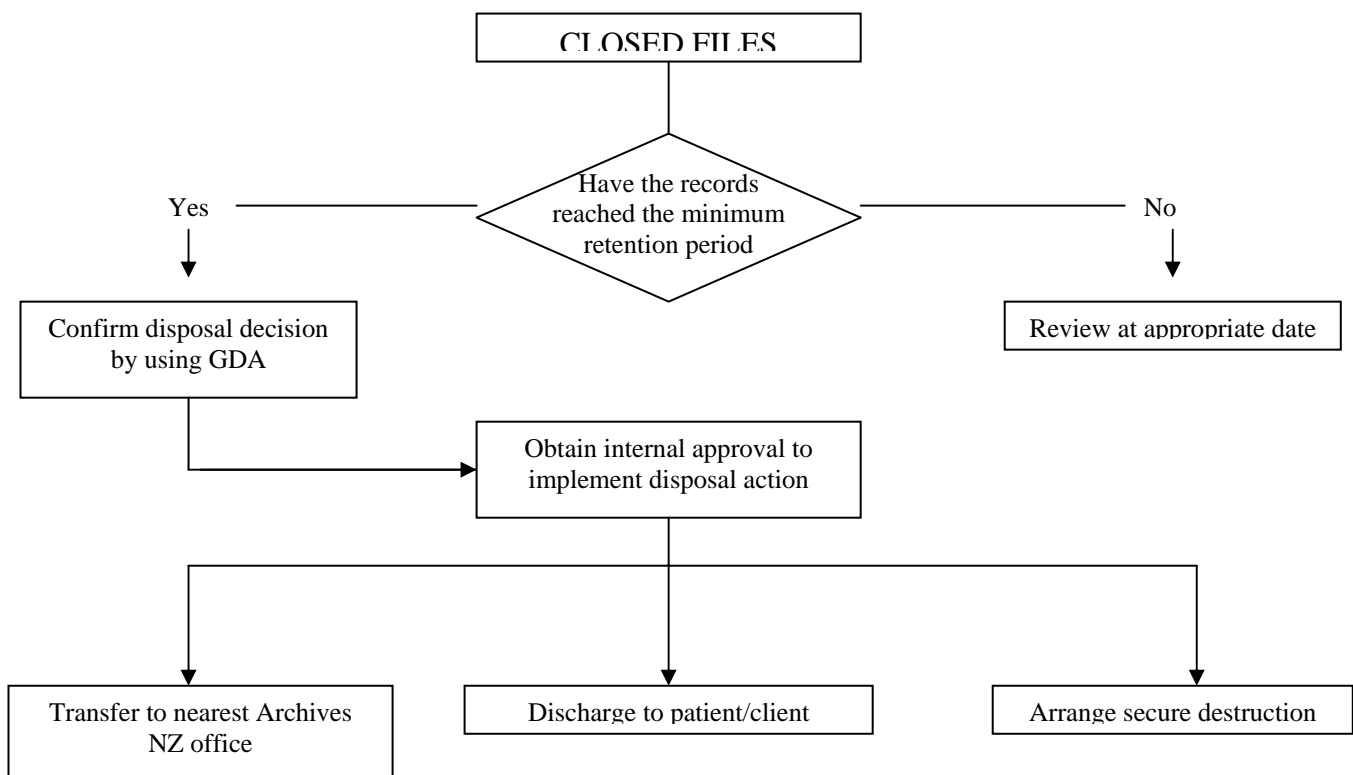
¹ For guidelines on when this is, see D1: *How to apply the DHB GDA to your Records*.

B: Quick Reference Guide to Implementing the GDA

There are nine main steps to implementation of the DHB GDA. Part C of the Implementation Guide provides detailed instructions and further information on how to carry out each step.

STEPS	DONE?
1. Determine who within the DHB is responsible for GDA implementation	
1.1 Establish which role has overall authority for the disposal of records within your DHB	
1.2 Establish which role is to be in charge of the implementation process	
1.3 Establish implementation “Champions” throughout the DHB and relevant sub-agencies/contractors	
1.4 Ensure that those involved with GDA implementation know how to apply it correctly	
1.5 Establish feedback and reporting mechanisms between all employees involved with GDA implementation	
1.6 Ensure all employees know that if they create records they have records management responsibilities (and consequential benefits) under the GDA.	
1.7 Ensure that the GDA itself and associated documentation is easily accessible – on an intranet if possible	
2. Establish what records exist	
2.1 Conduct a records audit of ALL records held or owned by the DHB	
2.2 Establish which format the “official record” will be in (hard copy or electronic)	
2.3 Ensure lists of records held meet Archives New Zealand listing standards	
3. Document all unlisted records	
3.1 Develop appropriate quality control measures for the listing process	
3.2 Locate and list all unlisted records to Archives New Zealand listing standards	
4. Ensure all listed material is covered by the GDA	
4.1 Establish that records reflect all facets of the DHB’s business	
4.2 Identify gaps in groups of records	
4.3 Amend GDA cross-references to suit your DHB	
5. Apply retention periods to all records covered by the GDA	
5.1 Ensure that those who apply the GDA to the records have adequate training	
5.2 Establish checks and balances to ensure retention periods on records are correct	
5.3 Add disposal actions and retention periods to record lists	
5.4 Identify records for transfer to Archives New Zealand that the DHB wishes to defer transfer of and keep for longer	
5.5 Inform Archives New Zealand of the access status of all records over 25 years old	
6. Physical Disposal	
6.1 Ensure steps 1 – 5 have been completed	
6.2 When records are ready for disposal, ensure that records for transfer to Archives New Zealand and records for destruction are physically separated	

7. Transfer records to Archives New Zealand	
7.1 Ensure steps 1 – 6 have been completed	
7.2 Contact Archives New Zealand	
7.3 List the records to Archives New Zealand listing standards	
7.4 Locate the records	
7.5 Make access decisions for restricted records	
7.6 Box the records and update the list with box numbers	
7.7 Ensure documentation required by Archives New Zealand is signed	
7.8 Arrange physical transfer	
7.9 Retain records of what was sent to Archives New Zealand	
8. Destroy records that will not be transferred to Archives New Zealand	
8.1 Ensure steps 1 – 6 have been completed	
8.2 Locate the lists of records for destruction	
8.3 Locate the records	
8.4 Ensure secure destruction processes are in place and destroy the records	
8.5 Retain records of what was destroyed	
9. Consider GDA implementation for the future	
9.1 Ensure GDA implementation is a regular part of a records programme	
9.2 Ensure lists of records are kept up to date to enable simple application of the GDA in the future	
9.3 Ensure continued compliance with Archives New Zealand recordkeeping standards	
9.4 Establish an implementation timetable that reflects ongoing recordkeeping responsibilities	



C: Detailed Guide to Implementing the GDA

The *Further Information* column of this guide points to the relevant standards, tools and guidelines in Archives New Zealand's *Continuum* Resource Pack for good recordkeeping. Full text copies of these can be found at <http://www.archives.govt.nz/continuum/>. This column also points to other parts of the *DHB GDA Implementation Guide* and to other support documentation where appropriate.

1. Establish Oversight / Responsibility

Determine who within the DHB is responsible for overseeing GDA implementation.

STEPS	RECOMMENDATIONS	MORE INFORMATION
1.1 Establish which role has overall GDA implementation signoff for the destruction of records in the DHB	<ul style="list-style-type: none"> It is recommended that this person be the Chief Executive or the role designated by the Chief Executive to have the delegated authority within the DHB 	<i>G18: Recordkeeping Essentials for Chief Executives and General Managers (Continuum)</i>
1.2 Establish which role has overall responsibility for the implementation process (GDA "Manager")	<ul style="list-style-type: none"> It is recommended that this should be the Records Manager <p>If there is no Records Manager employed it is recommended that the GDA Manager be from the Legal / Risk area or the Chief Information Officer (in consultation with Legal / Risk)</p>	<i>F4: Fact Sheet – Recordkeeping Responsibilities (Continuum)</i>
1.3 Establish representatives throughout the DHB and relevant sub-agencies / contractors who will help implement the GDA. (GDA "Champions")	<ul style="list-style-type: none"> GDA Champions should cover the full range of recordkeeping areas within the DHB. They will assist the GDA Manager with GDA implementation. Champions should cover records from clinical, non-clinical and Maori health areas. 	<i>F4: Fact Sheet – Recordkeeping Responsibilities (Continuum)</i>
1.4 Ensure that all employees involved with GDA implementation understand how to apply the GDA correctly		
<ul style="list-style-type: none"> Implementation of the GDA is likely to be complex, due to the varying levels of control that many 	<i>Introduction to the District Health Board General Disposal Authority</i> <i>D II: DHB Glossary of Recordkeeping Terms</i>	

STEPS	RECOMMENDATIONS	MORE INFORMATION
<p>DHBs have over records.</p> <ul style="list-style-type: none"> • It is essential that employees understand what the GDA is, and what it does. • It is essential that employees understand how to apply the schedule to DHB records • Training opportunities and mechanisms must be established to ensure continuing understanding of the GDA and ongoing compliance with Archives New Zealand standards. 	<p><i>DHB Recordkeeping Support Package</i></p> <p><i>D III: Recordkeeping legislation relevant to DHBs</i></p>	
<ul style="list-style-type: none"> • Appropriate mechanisms will depend on existing communication channels within the DHB. • It is essential that everybody involved can be sent information about the implementation and report back easily. • Options can include listservs, intranet pages, regular meetings and established formats for official reporting. • Efforts should be made to ensure that there is as much consistency with sentencing (i.e. the actual act of determining which records should have which disposal actions 		<p><i>G6: Guide to Developing a Recordkeeping Policy (Continuum)</i></p> <p><i>F8: Electronic Records Fact Sheet (Continuum)</i></p> <p><i>F4: Fact Sheet – Recordkeeping Responsibilities (Continuum)</i></p>

STEPS	RECOMMENDATIONS	MORE INFORMATION
<p>applied to them) and as little duplication of effort as possible.</p> <ul style="list-style-type: none"> Responsibilities and 'who to go to for advice' should be clearly established and promulgated within individual DHBs 		
<p>1.7 Make sure that the GDA and associated documentation is easily accessible to all employees</p>	<ul style="list-style-type: none"> Ensure the GDA itself and associated documentation (including this implementation guide) is available on the DHB intranet, in policy documentation etc. Links can be created to Archives New Zealand's website where Continuum documents can be found. www.archives.govt.nz Disseminate Manager / Champion contact details and feedback requirements widely so that employees can provide feedback into the process. Variations of the implementation guide and other GDA support documentation can be developed for specific group or service requirements. 	

2. Establish what records exist

A DHB needs to have a detailed overview of all its electronic and paper records before the GDA can be easily applied.

STEPS	RECOMMENDATIONS	MORE INFORMATION
<p>2.1 Conduct a records audit of ALL records</p>	<ul style="list-style-type: none"> Develop ways of establishing the following: <ul style="list-style-type: none"> What records exist? Where are they? Are they listed? Can they be physically located or located on a particular server / document management system? Are current lists accurate and appropriately detailed? <p>Check: File rooms, filing cabinets, offices, wards, corridors, basements, attics,</p>	

STEPS	RECOMMENDATIONS	MORE INFORMATION
	<p>outbuildings, off-site storage, clinics (off-campus) and any other miscellaneous locations.</p> <p>Check with historical societies etc linked to the DHB, including community archives. Ensure that:</p> <ul style="list-style-type: none"> • They provide lists of any holdings relating to the DHB and predecessor agencies • Their access conditions are the same as those used by the DHB • They are or have applied to Archives New Zealand to be registered as an approved repository in order to retain any records recommended for permanent retention as public archives 	
<p>2.2 Establish in what format the “official record” will be (paper or electronic)</p>	<ul style="list-style-type: none"> • Establish whether a hard copy of the record will be the official record, or the electronic version will be the authoritative data source. • Note where the official record is located. • Establish controls to ensure all parts of the electronic record are retained for the whole retention period. That is, they are: <ul style="list-style-type: none"> • compliant, • adequate, • complete and meaningful, • comprehensive, • accurate, • authentic • inviolate (ISO 15489) • Establish controls to ensure that records that need to be kept for longer than the period listed in the GDA can be kept without loss of data or metadata. • Establish migration strategies to ensure retention of the electronic record is compliant with the GDA. 	<p><i>Electronic Transactions Act 2002</i></p> <p><i>ISO 15489: International Standard for Records Management</i></p> <p><i>S5 Electronic Recordkeeping Systems Standard (Continuum)</i></p> <p><i>A1 Advisory Notice: Email (Continuum)</i></p> <p><i>A3 Advisory Notice: Copying and Digitizing Public Records (Continuum)</i></p> <p><i>G1 Electronic Recordkeeping Vision and Policy (Continuum)</i></p> <p><i>G3: What to Consider Prior to Implementing an IT “Solution” to a Recordkeeping Problem (Continuum)</i></p> <p><i>G20: Guide to Developing Recordkeeping Standards for Websites (Continuum)</i></p>
<p>2.3 Ensure lists of records held meet Archives New Zealand listing standard</p>	<ul style="list-style-type: none"> • Records that will be transferred to Archives New Zealand as public archive must be listed to standards acceptable to Archives New Zealand. 	<p><i>See Stage 3</i></p>

STEPS	RECOMMENDATIONS	MORE INFORMATION
	<ul style="list-style-type: none"> • It is recommended that all lists of current records are to the standard outlined by Archives New Zealand to avoid re-listing at the time of GDA implementation. • If current / official lists ARE NOT to this standard, then re-list them using the steps outlined in Section 3. 	

3. Document all unlisted records

Establish consistent methods of dealing with discrepancies discovered from the records audit as well as records not covered by the GDA

STEPS	RECOMMENDATIONS	MORE INFORMATION
<p>3.1 Develop appropriate quality control measures for the listing process</p>	<ul style="list-style-type: none"> • Methods are established that outline how to locate and list all records that are not listed or documented in official systems in consistent and appropriate ways. These methods should cover: <ol style="list-style-type: none"> 1. Who should list 2. Supervision of listers 3. How to locate the records 4. How to list 5. What to list 6. Checking of completed lists 7. How to amend lists 8. How to provide feedback <p>The methods should cover the fact that records that will be transferred to Archives New Zealand must ultimately be listed to standards acceptable to Archives New Zealand.</p> <p>Although Archives New Zealand does not require destruction lists, it is recommended that the same listing process be established for records that will be destroyed so that a clear record of compliance is established.</p>	
<p>3.2 Locate and list all unlisted records to Archives New Zealand listing standards</p>	<ul style="list-style-type: none"> • Locate and list all unlisted records. Check: <ol style="list-style-type: none"> 1. At off-site storage facilities 2. In offices (excluding working notes and personal records), corridors, basements, out-buildings and other miscellaneous locations 3. With sub-agencies / contractors who hold records that are the property of the DHB 	<p><i>Transfer List Template (Continuum)</i></p> <p><i>“Preparing Records for Transfer: A Guide to Listing and Boxing” (Continuum).</i></p>

STEPS	RECOMMENDATIONS	MORE INFORMATION
	<p>4. With historical societies etc linked to the DHB</p> <p>Listing is a skilled process.</p> <ul style="list-style-type: none"> • Lists should be created to a basic standard. It is recommended that even basic listing is carried out to the Standard outlined by Archives New Zealand to avoid re-listing before transfer. • Ensure that the advantages of good lists are made known to employees. That is: <ul style="list-style-type: none"> ○ Records stored in semi-current / off-site storage are able to be retrieved easily ○ Relevant records are identified and located quickly ○ Clear knowledge of which records have been destroyed and when 	

4. Ensure all listed material is covered by the GDA

STEPS	RECOMMENDATIONS	MORE INFORMATION
<p>4.1 Establish that records reflect all facets of the DHB's business</p> <p>NOTE: Step 4.1 is recommended best practice. It is not essential, but following the guidelines in this step will greatly aid the implementation of the GDA, both now and in the future.</p>	<ul style="list-style-type: none"> • Establish which formats / types of records will be the official record of DHB processes, activities, and functions. • Ensure that the official record is accessible and kept in an uncompromised form for the relevant minimum time period outlined in the GDA. • Ensure that all groups and individuals within the DHB create records of their activities. • Ensure that appropriate records management standards; tools and guidelines are established and followed. • Establish feedback processes to ensure understanding and consistency of approach. • Ensure executive-level buy in and support of any records management practices that are DHB-wide. 	<p><i>ISO 15489: International Standard for Records Management</i></p> <p><i>S5 Electronic Recordkeeping Systems Standard (Continuum)</i></p> <p><i>F4: Fact Sheet – Recordkeeping Responsibilities (Continuum)</i></p>
<p>4.2 Identify gaps in records</p>	<ul style="list-style-type: none"> • Ensure that records document all of the DHB's processes, activities, and functions. 	<p><i>See Step 1.3</i></p>

STEPS	RECOMMENDATIONS	MORE INFORMATION
	<ul style="list-style-type: none"> List these records if they are unlisted. 	
<p>4.3 Amend GDA cross-references to suit your DHB</p>	<ul style="list-style-type: none"> The cross-references part of the GDA can be changed. It is a “living document” covering all DHBs. Ensure procedures are set in place to enable DHBs to add in / change the cross-references part of the GDA as required without changing the GDA itself Establish controls to ensure that the GDA itself is not changed. All processes for updating the cross-references section of the GDA should be reviewed and agreed to by your GDA Manager. 	

5. Apply retention periods to all records covered by the GDA

Use Appendix 1 “How to Apply the DHB GDA to Your Records” during this stage.

STEPS	RECOMMENDATIONS	MORE INFORMATION
<p>5.1 Ensure that all individuals who apply the GDA to the records have adequate training</p>	<ul style="list-style-type: none"> Ensure employees who apply the GDA have a good level of understanding of the GDA and supporting documentation. These employees are likely to be records staff, but do not have to be. If employees are applying retention periods ensure close oversight and support from GDA champions. Ensure appropriate feedback processes are in place between the employees, and GDA Champions. If GDA Champions are applying retention periods establish a review process between them and the GDA manager. 	<p><i>See Steps 1.3, 1.4, 1.5</i></p> <p><i>D I: How to apply the DHB GDA to your records</i></p>
<p>5.2 Establish checks to ensure retention periods are correct</p>	<ul style="list-style-type: none"> Establish processes where GDA champions can check retention periods applied by employees. Ensure approval is obtained from the GDA Manager before retention periods are officially applied to files / individual records. 	

STEPS	RECOMMENDATIONS	MORE INFORMATION
	<ul style="list-style-type: none"> • Ensure that retention periods cannot be officially applied to records without the GDA Manager’s review and approval. 	
<p>5.3 Add disposal actions and retention periods to record lists</p>	<ul style="list-style-type: none"> • Develop mechanisms so that all current and semi-current record lists have an easily identifiable and updateable retention period associated with each record. This should be done regardless of how the records are listed (EDRMS, file cards, excel spreadsheet, access database, etc). • Each listed file / record should have a proposed date of destruction or transfer to Archives New Zealand, and a GDA reference number. • The date should be a year date only. It should be the first full year date after the date the record was created. (eg if a record was created in November 2000, and it needs to be kept for 7 years then destroyed, the date of destruction will be 2008.) • Ensure mechanisms are in place so that the disposal dates for files which state “date of last action” can be amended easily if more information is placed on the file or the file is required for further legal / administrative purposes. • Ensure that one official list exists that shows retention periods for all records created / owned by the DHB. • Ensure that the official list is only updated by someone with a good understanding of the GDA and its implementation requirements. 	
<p>5.4 Identify records / files recommended for transfer to Archives New Zealand that the DHB would like to keep for longer than the minimum retention period.</p>	<ul style="list-style-type: none"> • There must be an agreement in writing between the DHB CEO and the Chief Archivist that the transfer of these records may be deferred for a specified period. • DHBs will need to have access and storage conditions approved before permission is given by Archives New Zealand. • Storage conditions must be based on the Archives New Zealand Storage Standard 	<p><i>S4: Access Standard</i></p> <p><i>S2: Storage Standard</i></p> <p><i>Appendix I - DHB Glossary of Recordkeeping Terms – Deferred Records</i></p>

STEPS	RECOMMENDATIONS	MORE INFORMATION
	<p>outlined in the Continuum package.</p> <ul style="list-style-type: none"> • Ensure that storage recommendations / processes required by Archives New Zealand are carried out. • The agreement may be renewed for a further specified period by agreement between the DHB CEO and the Chief Archivist. • Apply steps 7 and 8 when the records are finally to be transferred to Archives New Zealand. 	
<p>5.5 Inform Archives New Zealand of the access status of all records over 25 years old</p>	<ul style="list-style-type: none"> • Inform Archives New Zealand of the access status of any records covered by the GDA that are over 25 years old and are being kept at the DHB for longer than their recommended retention period. <p>This requirement covers both deferred records identified for eventual transfer to Archives New Zealand <i>and</i> records identified for eventual destruction.</p>	<p><i>D II: DHB Glossary of Recordkeeping Terms – Access Status</i></p>

6. Physical Disposal

Physical disposal is the process of putting into practice the disposal action (i.e. destroy the record or transfer it to Archives New Zealand) listed on the GDA. This happens **ONLY** to records, which have been closed – that is, are no longer being added to and have been retained for the period outlined in the GDA.

For more information of the physical disposal process (and when it starts) See D 1: *How to Apply the DHB GDA to Your Records*

STEPS	RECOMMENDATIONS	MORE INFORMATION
<p>6.1 Ensure implementation steps 1 to 5 have been completed.</p>	<ul style="list-style-type: none"> • Controls need to be put in place to ensure that the process of physical disposal is carried out efficiently and consistently. <p>Review Step 1 to 5.</p>	
<p>6.2 Ensure that records recommended for transfer to Archives New Zealand and records for destruction are physically separated or are identifiable and distinct.</p>	<ul style="list-style-type: none"> • Carry out a record-by-record separation process. • For the transfer of records to Archives New Zealand, go to step 7. • For the destruction of records that are not to 	<p><i>F2 Fact Sheet: Disposal Process. (Continuum)</i></p>

STEPS	RECOMMENDATIONS	MORE INFORMATION
	be transferred to Archives New Zealand, go to Step 8.	

7. Transfer records to Archives New Zealand

Apply this step when the DHB has prepared the records to the standards required by Archives New Zealand (as outlined in steps 1 to 6).

Each office of Archives New Zealand has its own transfer programme. Contact the relevant office *before* arranging a transfer to negotiate a transfer date for the records.

Records identified for transfer to Archives New Zealand can be kept for longer than the retention period outlined in the GDA **with the Chief Archivist's agreement**. If the DHB would like to keep records identified for transfer to Archives New Zealand for longer than the time outlined in the GDA, do NOT apply the following steps. Instead contact Archives New Zealand. (See Step 5.4).

STEPS	RECOMMENDATIONS	MORE INFORMATION
7.1 Ensure steps 1 to 6 have been completed.	<ul style="list-style-type: none"> Checks need to be put in place to ensure that the process of physical disposal is carried out efficiently and consistently. <p>Review steps 1 to 6.</p>	
7.2 Contact Archives New Zealand	<ul style="list-style-type: none"> Contact your nearest Archives New Zealand office as soon as you know you need to transfer records to negotiate an appropriate transfer timeframe as this will differ between offices. Archives New Zealand Head Office, Wellington has recently introduced a planned transfer programme. DHBs wanting to transfer records to this office will need to contact the Manager, Arrangement and Description, in advance to book a place in this programme. To transfer to Archives New Zealand Regional Offices (in Auckland, Christchurch or Dunedin) please contact the relevant office. Contact details are available on the Archives New Zealand website. www.archives.govt.nz 	<p><i>A5: Advisory Notice: Appraisal and Disposal of Records (Continuum)</i></p> <p><i>F2: Fact Sheet: Disposal Process (Continuum)</i></p>
7.3 List the records to Archives New Zealand	<ul style="list-style-type: none"> Locate all lists associated with the records designated for transfer (Based on lists developed in steps 2, 3, 4) Ensure lists are to Archives New Zealand's 	<p><i>Transfer List Template (Continuum)</i></p> <p><i>"Preparing Records for Transfer: A Guide to</i></p>

STEPS	RECOMMENDATIONS	MORE INFORMATION
	listing standard	<i>Listing and Boxing” (Continuum)</i>
<p>7.4 Locate the records</p>	<ul style="list-style-type: none"> Develop checks to ensure that the right records have been separated out for transfer. 	
<p>7.5 Make access decisions for restricted records</p>	<ul style="list-style-type: none"> Restriction and access information should be clarified for each restricted record (or series / group of records) to be transferred to Archives New Zealand. Develop processes to ensure that restrictions are consistent, equitable and approved by the CEO with the advice of either the Records Manager / GDA Manager and the GDA Champions, and / or the Privacy / Risk Managers. Restrictions will need to be agreed to with Archives New Zealand and should comply with the Archives New Zealand Advisory Notice “Making Access Decisions”. The principles of other Acts relating to access (eg the Privacy Act) do not supersede the Public Records Act. Ensure all decisions are well documented and available if employees need to consult them. Ensure lists have appropriate restriction information indicated beside each restricted record. (See step 3.2) It is suggested that the following types of records should be restricted to prevent the disclosure of sensitive personal information: <ol style="list-style-type: none"> Detailed employment records Disciplinary case files Collections of samples of patient records retained for a specific purpose Research data warehouses and databases Patient registration and identification records Notifications of diseases Historical records <p>Actual restriction periods will need to be negotiated with Archives New Zealand. Suggested time periods are in the vicinity of 70 – 120 years from date of last action on</p> 	<p><i>A6: Advisory Notice: Making Access Decisions under the Public Records Act (Continuum)</i></p> <p><i>S4: Access Standard (Continuum)</i></p> <p><i>S3: Transfer Standard Section 4 (Continuum)</i></p> <p><i>G2: “Preparing Records for Transfer: A Guide to Listing and Boxing” Section 3.6.3 (Continuum)</i></p>

STEPS	RECOMMENDATIONS	MORE INFORMATION
	the file.	
<p>7.6 Box the records to be transferred to Archives New Zealand and update the list with box numbers</p>	<ul style="list-style-type: none"> • Ensure boxing is carried out to Archives New Zealand’s transfer standard. 	<p><i>S3: Transfer Standard (Continuum)</i></p> <p><i>F3: Fact Sheet: Transfer Process (Continuum)</i></p> <p><i>G2: “Preparing Records for Transfer: A Guide to Listing and Boxing” (Continuum)</i></p>
<p>7.7 Ensure documentation required by Archives New Zealand is signed</p>	<ul style="list-style-type: none"> • Establish reporting mechanisms so that the GDA Manager and GDA Champions are aware of and approve all transfers of records to Archives New Zealand. (It is recommended that individual employees should not be able to organise transfers). • Develop checks to ensure that authorities for transfer and access are signed for each transfer. • Ensure that authorities are signed by the CEO or nominated equivalent. 	<p><i>S3: Transfer Standard (Continuum)</i></p> <p><i>F3: Fact Sheet: Transfer Process (Continuum)</i></p>
<p>7.8 Arrange for physical transfer of records to Archives New Zealand</p>	<ul style="list-style-type: none"> • Develop processes that ensure a consistent approach to arranging and recording transfers to Archives New Zealand (see step 7.2 above). • Confirm that you are able to transfer the records to Archives New Zealand. (See Step 7.2) 	<p><i>F3: Fact Sheet: Transfer Process (Continuum)</i></p>
<p>7.9 Retain records of what was transferred to Archives New Zealand</p>	<ul style="list-style-type: none"> • Ensure that all official documentation relating to the transfer (including copies of the lists of the transferred records) is kept within an appropriate records management system. • Keep accessible documentation of which records have been transferred to Archives New Zealand. • Ensure that all documentation, copies of lists etc is available for viewing by all DHB employees. • Ensure that appropriate and designated staff are aware of Archives New Zealand Government Loans Service. This service 	

STEPS	RECOMMENDATIONS	MORE INFORMATION
	allows DHBs to ‘borrow’ back any records transferred by them for limited periods of time under certain conditions.	

8. Destroy records that will not be transferred to Archives New Zealand

Records for destruction can be kept for longer than the retention period outlined in the GDA as this period is a **minimum** period only. A DHB can choose to store these records past the recommended destruction date until they are no longer needed. DHBs do not need to contact Archives New Zealand about keeping records recommended for destruction for longer than the retention period.

STEPS	RECOMMENDATIONS	MORE INFORMATION
8.1 Ensure implementation steps 1 – 6 have been completed.	<ul style="list-style-type: none"> Checks and balances need to be put in place to ensure that the process of physical disposal is carried out efficiently and consistently. <p>Review steps 1 to 6.</p>	<p><i>A5: Advisory Notice: Appraisal and Disposal of Records (Continuum)</i></p> <p><i>F2: Fact Sheet: Disposal Process (Continuum)</i></p>
8.2 Locate the lists of records for destruction	<ul style="list-style-type: none"> Locate all lists associated with the records designated for destruction (Based on lists developed in steps 2, 3, 4) 	
8.3 Locate the records	<ul style="list-style-type: none"> Develop checks to ensure that the correct records have been separated out for destruction. 	
8.4 Ensure secure destruction processes are in place and destroy the records	<ul style="list-style-type: none"> Destruction needs to be carried out in a secure manner so that information is not unintentionally located by or passed on to a third party. Ensure that any deleted electronic records do not impact on the retention of other electronic records and contextual information in accordance with step 2.2. 	<p><i>A4: Advisory Notice: Methods of Destruction (Continuum)</i></p> <p><i>S5 Electronic Recordkeeping Systems Standard (Continuum)</i></p>
8.5 Retain records of what has been destroyed	<ul style="list-style-type: none"> Ensure that all documentation relating to the destruction of records is kept within an appropriate records management system. Keep accessible documentation of which records have been destroyed. <p>Ensure that all documentation, copies of lists stating which records have been destroyed are available for viewing by all employees.</p>	

9. Consider GDA Implementation for the future

STEPS	RECOMMENDATIONS	MORE INFORMATION
<p>9.1 Ensure GDA implementation is a regular part of the records programme</p>	<ul style="list-style-type: none"> • Implementation should be carried out on a yearly basis. Review steps 1 – 8 yearly. • Retention periods should be applied to records on an ongoing basis. • If new records are created, the GDA should be consulted and the retention period and final disposal action added to the lists. • The GDA should be adopted by the DHB as a high level policy document 	<p><i>See Step 5</i></p>
<p>9.2 Lists of records are to be kept up to date to enable simple application of the GDA in the future</p>	<ul style="list-style-type: none"> • Ensure all records are listed. • Develop standards, guidelines, and responsibilities for list updates to ensure consistency. • Staff should be encouraged by Management, GDA Manager, and GDA Champions etc to help maintain and add to lists. 	<p><i>See Step 3</i></p>
<p>9.3 Ensure continued compliance</p>	<ul style="list-style-type: none"> • Keep up to date with record-keeping standards and changes. • Monitor any new / amendments to existing legislation in terms of recordkeeping compliance <p>Recordkeeping requirements in legislation may need to be searched using the terms “information, records, recordkeeping, document, register, map, list, license or consent” etc.</p> <ul style="list-style-type: none"> • Contact Archives New Zealand with any recordkeeping questions. 	<p><i>FAQ: Changes to Schedule (Continuum)</i></p> <p><i>FAQ: Extension to Schedule (Continuum)</i></p> <p><i>If required, use the Extension Memorandum Template for extension to schedule requests (Continuum)</i></p>
<p>9.4 Establish a implementation timetable that reflects recordkeeping responsibilities</p>	<ul style="list-style-type: none"> • Successful ongoing implementation of recordkeeping processes is dependent on consistent and continuing application. • Establish a timetable of events (such as a yearly check for records that need to be closed, a yearly check for records that need to be destroyed, transferred, etc.) 	

STEPS	RECOMMENDATIONS	MORE INFORMATION
	<ul style="list-style-type: none"><li data-bbox="504 197 1085 331">• Review the implementation guide and support package yearly to ensure that all employees understand their recordkeeping responsibilities.<li data-bbox="504 367 1085 432">• Ensure that the implementation timetable is owned and supported by DHB management	

Appendix 1: HOW TO APPLY THE DHB GDA TO YOUR RECORDS

Introduction

This guide identifies what you need to know and what decisions you need to consider when applying GDA retention periods to specific records.

This guide should be used in conjunction with the *DHB GDA* itself, the rest of the *DHB General Disposal Authority Implementation Guide*, and the *DHB Recordkeeping Support Package*.

If you come across any terms that you don't understand, refer to D II: *DHB Glossary of Recordkeeping Terms*.

If you have any implementation questions contact your GDA Champion or GDA Manager in the first instance, or an appraisal representative at the nearest Archives New Zealand Office.

DHB GDA Coverage

The DHB GDA covers all record types created by DHBs and divides them into 21 classes.

The GDA covers:	<ul style="list-style-type: none">• <i>Administrative records</i>• <i>Compliance, Audit, Risk Management records</i>• <i>Financial and Accounting records</i>• <i>Governance records</i>• <i>Human Resources and Personnel records</i>• <i>Information Management Systems and Services records</i>• <i>Legal records</i>• <i>Notifications and Reporting records (clinical)</i>• <i>Patient Diagnostics records</i>• <i>Patient Treatment and Care records</i>• <i>Patient Registration and Identification records</i>• <i>Pharmaceutical Supply and Administration records (clinical)</i>• <i>Policy and Procedure records</i>• <i>Population Health records</i>• <i>Procurement and Supply Management records</i>• <i>Project Management records</i>• <i>Property and Asset Management records</i>• <i>Public Relations and Communications records</i>• <i>Quality Control records (clinical)</i>• <i>Research Management records</i>• <i>Strategic Planning and Funding records</i>
-----------------	--

For a more detailed breakdown of each of these classes, see the Scope and Background section of the *GDA in the Implementation Guide* (page 3).

The GDA is to be applied *regardless of records' format, or who created them*. This means the GDA covers individual or group emails, correspondence, databases, videos, photographs, x-rays, plans, paper and electronic files; work saved to local and shared drives, intranets and web-sites,

material published by or at the instigation of DHBs, and anything saved in an electronic document management system (or equivalent for specific types of medical record).

Format of the DHB GDA

The GDA is presented in the form of a spreadsheet made up of three worksheets.

Worksheet 1 – Clinical Records.

This lists all record types that relate to identifiable individuals who have received services from the DHB.

Worksheet 2 – Non-Clinical Records.

This is an alphabetically arranged listing of all record types relating to the management and administration of the DHB and its services.

Both of these worksheets are set out in a very similar way with the use of columns to break down the relevant information you need to apply the DHB GDA. For a description of what each of these columns mean, see below.

Worksheet 3 – Cross References

This is a list of cross-references if you cannot locate a term your DHB uses in either of the Clinical or Non-Clinical Records worksheets.

You are able to amend the Cross-References to make the interpretation of the Disposal Authority easier (see Implementation Guide Part C: Step 4.3, page 17) but you are **not** allowed to amend the Disposal Authority for Clinical or Non-Clinical Records.

Columns in the GDA

In order to apply the GDA you need to know what each of the columns in the GDA means.

1. Class:

Provides a generic descriptive term for the main types of records created or kept within and across DHBs. Record classes are not linked in any way to specific processes or structures that may be in current use in your DHB. They are a “general guide” to the records you use.

2. Sub-class:

The overall name of a group of records that perform the same function or purpose, for instance, a group of records may describe or carry out various administration processes, while another group explains the policy and procedures. This is often called a “series” in recordkeeping terms. See the definition of *Series* in the glossary (Appendix 2, page 17).

3. Description of type of records in class:

Provides an overall description of the types of records discussed. Helps to “pinpoint” the appropriate record class. Often the words “significant” or “minor” are used here as well to differentiate records whose content may only differ in the level of importance. It is important that you understand what these words mean in the GDA. See the definitions of these words in the glossary (Appendix 2, page 17) if you are unsure.

4. Examples:

Representative examples of specific records created by DHBs are listed here to help link the classes in the GDA (i.e., classes 1, 2, 3 above) with “real” records created by DHBs.

A small sample of examples is given to give you some idea of the sort of records that are covered. Just because records that you use may not be covered within the example column doesn't mean that they shouldn't be given the retention period stated if they fit under all other column descriptions in the same row.

5. Disposal action:

Outlines whether a record can be Destroyed, Discharged, or Transferred to Archives New Zealand once the *minimum* retention period has passed. See Appendix 2: *DHB Glossary of Recordkeeping Terms* for definitions.

6. Minimum DHB retention period:

Provides information on the *minimum* length of time that must pass before the disposal action (see above) can be applied. DHBs can enact the disposal action as soon as the *minimum* retention period has passed, or they can store records for *longer* than the recommended period. See Appendix 2: *DHB Glossary of Recordkeeping Terms* for definitions, and also see below.

7. Restrictions for archival material:

This column provides information on recommended restrictions that can be applied to records transferred to Archives New Zealand. Final agreement on restrictions is negotiated at the time of transfer with Archives New Zealand.

Trigger Points, Minimum Retention Periods, and Disposal Actions

For the GDA to be applied appropriately, you need to ascertain when a record is closed and / or no longer used so that you can apply a minimum retention period.

A Trigger Point is the point in time when the retention period can *start* to be applied. Within the GDA each record type has a ‘trigger point’ listed. This appears in the “Minimum DHB Retention Period” Column.

For example:

- If the “Minimum DHB Retention Period” column in the Clinical Records worksheet states ‘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’, then the Trigger Point is the last date the DHB had contact for provision of services to the patient.
- If the “Minimum DHB Retention Period” column in the Non-Clinical Records worksheet states ‘10 years after employment ceased’, then the Trigger Point is the date the employee ceased to be employed by the DHB.
- If the “Minimum DHB Retention Period” column says “7 years after date of last action”, then the Trigger Point will occur when a period of 7 years has passed from the date the record was last added to.

- If the “Minimum DHB Retention Period” column says ‘When no longer administratively required’, then this means that the Trigger Point is a date set at the discretion of the DHB.

Disposal Action is the physical action of either transferring the records to Archives New Zealand, destroying or discharging them. There are three disposal actions for records within the GDA. These are outlined in Part A, Page 7 of the *DHB GDA Implementation Guide*

For further explanation about this process, see under “Disposal Trigger” “Date of Last Action” “Until Administratively No Longer Required” and “After last contact” in Appendix 2 - *DHB Glossary of Recordkeeping terms*.

For guidelines on when these processes should be carried out, see Part C of the *DHB GDA Implementation Guide pages 11-23*.

Steps to applying the GDA

Part 1. Applying the GDA to closed records

There are 11 steps.

1. Ensure that you have an appropriate list of all records you are applying the GDA to.
 - If not, don’t do anything else until you have a list to a basic standard. (See Stage 3 of Part C: *Detailed Guide to Implementing the GDA*.)
2. Check that each record is appropriately listed on the list.
 - If not, ensure the record is listed appropriately
(See Stage 3 of Part C: *Detailed Guide to Implementing the GDA*.)
3. Ascertain the last date associated with the record. This could be the:
 - Date of the last piece of paper placed on top of the file (always double check as incorrect filing may mean the top paper is not actually the most recent.)
 - Date of the most recent document in an electronic file
 - Date an electronic or paper record was last updated (dependent on DHB processes)
 - Date the record was officially closed (e.g. closed stamped on cover, or date electronic record was archived / migrated etc)
4. Get a clear idea of what each record was created to do (i.e., to **advise**, to **administer**, to **record**, to **report**, to **analyse** etc).
 - Don’t fall into the trap of simply describing the results of the processes outlined in the record (e.g. spreadsheets, reports, invoices.)
 - Ask yourself: what do these spreadsheets and reports exist to do?
5. Get a clear idea of what content is in the record. (i.e. the records describe / document **policy**, or **funding**, or **patient treatment and care** etc).
 - Ask yourself: What does this record document?
You will need a good overall view of the whole DHB to do this, and not just of your own section or department.
 - Occasionally the title of the record does not reflect its content. If this is the case, edit the file name on the list to include a description of the actual content in square

brackets after the title that appears on the record. (e.g. HR Admin [Performance reports on staff in the X Department])

6. Get a clear idea of the **significance** of the record (e.g. low level administration, high-level compliance, minor, significant, etc)
 - Ask yourself: Does the content of the file reflect its wider significance?
A good understanding of the DHB's main functions and corporate structure is very important when it comes to working out the significance of records within the context of the DHB that created it.
 - Ensure that you have a good idea of what the terms "significant" and "minor" mean. (Check the *DHB Glossary of recordkeeping terms* in Appendix 2 if you're unsure.)
 - Don't make the mistake of assuming that just because documentation is vital to the DHB or your area of responsibility (for example emergency procedures) that it is also significant in terms of the GDA.
7. Check the GDA for a description / example that fits the record or group of records you are looking at. Look through the main classes of the GDA. These are headed in grey in the worksheets and are listed on p.3 of this document.
 - If you are not sure, ask yourself the following question:
Which class would the record(s) fit within best?
 - Once you have decided on the appropriate class, go to the appropriate worksheet.
 - Locate the class heading that is highlighted in grey in the worksheet. (This class heading also appears in the left-most column.)
8. Look at the *next level of description* for the class in the **subclass** column. These headings appear in the second column in from the left. They are arranged alphabetically so you may have to scroll through all the headings in the subclass column for that class to get an idea of what is covered.
 - Ask yourself the following question:
Which subclass would the record(s) fit within best?
 - If you were expecting to find a description that does not appear, refer to the cross-references worksheet of the GDA.
 - If you still cannot locate the description you expect, do the following:
 - If you are searching the GDA electronically using MS Excel on a PC, pressing the Ctrl key down while you press the F key will allow you to search for words in the GDA without having to scroll through it. Key in the word you want to search on in the "Find what" box and click on "Find Next" to locate all instances of the word in the GDA. Remember: the "Find" function will only locate exact duplicates of words, so if you cannot locate a word, try alternative terminology.
9. Repeat the same process you carried out in Step 8 for the *description* and *example* columns.
10. When you have found the appropriate description in the GDA, check that the retention period in the "**Minimum DHB retention period**" column has passed.
Ask yourself:
 - Is there a clear Trigger Point?
 - Has the record completed the minimum retention period according to the last date associated with the record?

- Are all hardcopy papers / documents or electronic additions/ updates on the record dated earlier than the minimum retention period? (For example, if the retention period is 7 years, all information associated with the record must be dated earlier than 7 years ago.)
- Have you permission to dispose of these records? (That is, are you allowed to decide whether a record is to be transferred to Archives New Zealand or destroyed?)

If the answer is “no” to any of the above questions, identify the record and go no further until all answers are “yes”.

You will need to check with the GDA Manager, Records Manager, Chief Information Officer, or other relevant person in your DHB.

11. Apply the retention decision to the record, update any lists accordingly, and process following the steps outlined in Section C of the Implementation Guide or in your specific DHB guidelines if these exist.

Applying the GDA to Current Records

You can apply the recommendations in this GDA to new files, files that are currently used, or files that are in off-site storage *as long as* the disposal actions are not carried out until the appropriate retention period has passed.

To apply a retention period to a file that is covered by the current file classification list, do the following:

- Look at the title of the file to get a general idea of its contents.
- Check the contents of the file.
- Search the GDA (using the steps outlined for closed records above) to locate the description / type of record that best fits the record you are applying a retention period to.
- Don't forget that the retention periods are minimum retention periods and they don't start until all other activity on the file has stopped.

It is strongly recommended that lists of these records are maintained by the DHB, as these are the best place to note retention periods and disposal decisions for current files.

The retention period and disposal decision can be written in advance in a column titled “Disposal Action”. This makes it easy to identify files which are ready for disposal and helps to ensure that files will not need to be kept for any longer than the stated retention period.

It is recommended that newly created files have retention and disposal decisions applied on the file list on a regular basis. For example, a yearly check should be made of the list for all new records that don't have a retention period, and retention and disposal decisions applied.

It is *vital* that the record list has start and end date columns, and that these are filled in as soon as a file is created or closed, so that the GDA can be applied easily.

A yearly check should be made of records and if new papers haven't been added / documents haven't been saved to the file for a year, consideration should be given to closing the file and adding the end date into the file list to aid the application of the GDA.

A year-by-year check should also be made of all listed files (paper and electronic) see if they have passed their retention period.

Files which have had disposal decisions applied to them can be moved from the current file list to a closed file list.

In all cases, if you are unsure,

- Read through the DHB GDA Implementation Guide
- Read relevant support documentation
- Consult your GDA Champion or Manager in the first instance, or Archives New Zealand.

Appendix 2: DHB GLOSSARY OF RECORDKEEPING TERMS

This glossary and associated bibliography is based on the Archives New Zealand publication *G5: Glossary of Recordkeeping and Archival Terms*. It is designed to:

- Help employees understand recordkeeping terminology
- Ensure consistency of recordkeeping terminology within and across DHBs
- Aid implementation of the GDA

This glossary is designed for general application and defines terms that are likely to occur during recordkeeping work within the DHBs. For more specialised terminology, refer to *G5: Glossary of Recordkeeping and Archival Terms from Archives New Zealand Continuum*.

Words in italics are also defined within the glossary.

Original sources of adapted definitions and direct quotations are stated in parentheses at the end of each definition and cited in the bibliography. The bibliography has been revised.

ACCESS

The "right, opportunity, [or] means of finding, using, or retrieving [DHB and related health] information". (ISO 15489-2001, Part 1, 3.1)

ACCESS DECISION

The decision whether a DHB *record* may be released for *access* by the public, or whether it is to be wholly or partially withheld from public access and for what period of time. Access decisions are made by the DHB and cover both records held by the DHB and records transferred to Archives New Zealand. (AAHA, p. 107)
See also ACCESS AGREEMENT.

ACCESS AGREEMENT

An agreement between Archives New Zealand and the DHB transferring the records, concerning the public's right, opportunity, or means of finding, using, or retrieving *information* held at Archives New Zealand. Access agreements are negotiated between Archives New Zealand and the DHB. (Archives NZ)

ACCESS STATUS

A statement that outlines whether a record has restricted access or not, and the conditions behind this access condition.

Records covered by the GDA that are kept for longer than the *minimum retention period* need to have their access status declared to *Archives New Zealand* if they are over 25 years old. This applies to both records identified for eventual transfer to Archives New Zealand, and for eventual destruction.
See also ACCESS, ACCESS DECISION

ACCESSION

(n.) A group of *records* from a DHB taken into *custody* at Archives New Zealand at the same time.
(v.) The process of formally accepting and recording the receipt of DHB *records* into *custody* at Archives New Zealand. Accessioning provides basic physical and *intellectual control* over material coming into Archives New Zealand. (KA, p.460)

ACCOUNTABILITY

The "principle that individuals, organisations such as DHBs, and the community are responsible for their actions and may be required to explain them to others". (ISO 15489-2001, Part 1, 3.2)

AD HOC (OR ONE-OFF) DISPOSAL AUTHORITY

A non-continuing approval, not intended to set a precedent, which provides a particular disposal action such as transfer or destroy for records created within a specific set of circumstances. (KA, p.468) This would apply to DHB records that are discovered to be outside of the GDA and that require *disposal*.

ADMINISTRATIVELY NO LONGER REQUIRED

See "UNTIL ADMINISTRATIVELY NO LONGER REQUIRED"

AFTER LAST CONTACT

As used in the GDA.

Indicates the last time there was formal DHB contact with a patient / client. That is, the last date the DHB provided a service to the patient /client.

Date of last contact does *not* include employees referring to the record *unless* new information was added to the record at the same time

If information is placed on file *after* the date of last contact, then the retention period must be started from the date the information was added.

Patient files due for destruction 10 years after last contact may be destroyed at that time *as long as* no information has been added to the record during that time.

See also DISPOSAL TRIGGER, DATE OF LAST ACTION

AGENCY

Each DHB. That is, a body, business, organisation or institution that creates or manages its own *records* in the course of its business or *activities*. In the case of large DHBs subordinate parts such as regional hospitals may be regarded as separate agencies. (KA, p.461)

AGENCY CODE

A code assigned by Archives New Zealand to uniquely identify each DHB for the purposes of

linking the DHB to its record transfers or disposal authorities. (Archives NZ)

APPRAISAL

1. The process of evaluating *records* to determine which are to be retained as *archives*, which are to be kept for specified periods and which will be destroyed.

See also DISPOSAL.

Or

2. "The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations." (AS 4390-1996, Part 1, 4.3)

This was the process that was carried out to create the DHB GDA.

APPRAISAL REPORT

A report written for *Archives New Zealand*, outlining the context and reasons behind appraisal decisions. Any DHB records not covered by the GDA will require an appraisal report to be developed as part of the disposal sign-off process.

ARCHIVAL VALUE

Records recommended for transfer to Archives New Zealand under the GDA or under *Ad Hoc* disposal authorities have archival value. That is, it justifies the continuing retention of the *record* as an *archive*. There are two main types of value:

Evidential value. The value for providing evidence of the origins, structure, *functions*, policies and operations of the DHB that created the *records*.

Informational value. The value for reference or research deriving from the *information* the *records* contain, as distinct from their evidential value. *Records* and *archives* often contain *information* that has *reference* or research uses not envisaged by their creators. (KA, p.462) Records kept as archives are said to have continuing (permanent or ongoing) value.

ARCHIVES

1. Those *records* that are appraised as having continuing value. Traditionally the term has been used to describe *records* no longer required

for current use which have been selected for permanent preservation, but records can be marked as archives while they are still *active records*. Also referred to as permanent *records*.

2. The place (building/room/storage area) where archival material is kept.
3. An organisation (or part of an organisation) responsible for appraising, acquiring, preserving and making available archival material. That is, Archives New Zealand (KA, p.463)

ARCHIVES NEW ZEALAND

Archives New Zealand's two main roles are To ensure the government's activities are recorded, and the records are kept permanently To provide access to these records. It operates under the Public Records Act 2005. See also PUBLIC RECORDS ACT

CAPTURE

"A deliberate action, which results in the registration of a *record* into a *recordkeeping* system. For certain *business activities*, this action may be designed into electronic systems so that the capture of the records is concurrent with the creation of *records*." (DIRKS, Glossary, p.4 taken from AS 4390-1996, Part 1, 4.7)

CLASS

"A group of *documents* or an identifiable sub-division of a *series*, *record group* or *archive* having common characteristics or the same *archival value*. Sometimes this term is used to mean *series*. Also referred to as *disposal class*. See also *Series*." (KA, p.465)
See also under *Column Descriptions* for a description of class as applied in the GDA

CLASSIFICATION (OR CLASSIFICATION SYSTEM)

The "systematic identification and arrangement of *business activities* and/or *records* into categories according to logically structured conventions, methods, and procedural rules represented in a classification system". (ISO 15489-2001, Part 1, 3.5)
See also RECORDKEEPING SYSTEM

CLOSED RECORDS

Those *records* no longer required for the conduct of business and which may therefore be transferred to off-site storage to wait out their required *retention period*. Or, if the required retention period has passed, deferred, , *transferred to Archives New Zealand*, or *destroyed*.

See also CURRENT, SEMI-CURRENT records

CONTEXT

"The knowledge necessary to sustain a record's meaning or evidential value. Context describes the who, what, where and why of record creation and management." (SRNSW)
That is, understanding the DHB in order to understand the records that are created within it.

CONTROL

Ways in which records can be managed within a DHB. "Control systems and processes associated with *records management* include:

- Registration, which provides evidence of the existence of records in a *recordkeeping system*;
- *Classification*, which allows for appropriate grouping, naming, security, protection, user permissions and retrieval;
- Indexing, which allocates attributes or codes to particular *records* to assist in their retrieval; and
- Tracking, which provides evidence of where a *record* is located, what action is outstanding on a record, who has seen a *record*, when such access took place and the recordkeeping transactions that have been undertaken on the *record*." (DIRKS, Glossary, p.6 taken from AS4390-1996, Part 4, 1)

CONVERSION

The "process of changing *records* from one medium to another or from one format to another". (ISO 15489- 2001, Part 1, 3.7).

Often linked with *migration*.

CORPORATE RECORDS

Records directly generated by the corporate body (i.e., "organisational entity") of a DHB as it functions as an organisation.

There are two types of corporate record. Both are common to most public and private organisations.

Organisational records that relate to the establishment / maintenance of the DHB entity (i.e. its high level / overall structure) so that designated activities can be carried out within it. (e.g. Board records)

Administrative / facilitative records relating to activities carried out *across* the DHB (e.g. HR, Finance, IT, Property and Facilities).

CREATE

"The act of making a *record* of a *document* or *information* originating in or received by an organisation." (DIRKS, Glossary, p.6, attributed to State Records Authority NSW)

CREATOR

The person or agency which creates, receives and accumulates or otherwise brings into existence *documents* and *records* within the DHB (KA, p.466)

CURRENT RECORDS

Records required for the day-to-day business functioning of the DHB or a DHB employee. Also referred to as current records. (KA, p.461)
See also CLOSED RECORDS, SEMI-CURRENT RECORDS

CUSTODY

"The physical management of *records* or *archives*. Custody refers to where and with whom records are stored. It does not necessarily include legal ownership." (AAHA, p.111)
Under the *Public Records Act 2005*, records over 25 years age which have been identified as archives under the GDA or under a disposal authority from the Chief Archivist, are legally required to be transferred to *Archives New Zealand's* custody. However, this transfer may be deferred with Archives New Zealand's agreement.

See also TRANSFER TO ARCHIVES NEW ZEALAND

DATE OF LAST ACTION

From the GDA.

This is the date the information in the record was last updated or added to.

Using the date of last action can establish when records can be transferred to *Archives New Zealand* or *destroyed* under the GDA.

A record must have no updates or additions to it for the **whole period** outlined in the GDA before it can be destroyed or transferred to Archives New Zealand. For example, if the recommended retention was 7 years from date of last action, and the record was updated or added to after 6 years, then another further 7 years of inactivity must pass before the record can be destroyed or transferred to Archives New Zealand.

See also DISPOSAL TRIGGER

DATE OF LAST CONTACT

See under AFTER LAST CONTACT

DEFERRED RECORDS

Records covered by the GDA that the DHB wishes to keep for longer than the *minimum retention period* before transferring to Archives New Zealand or destroying.

Deferred records must be stored to basic storage and access standards and must be deferred with Archives New Zealand's agreement.

See also TRANSFER TO ARCHIVES NEW ZEALAND

DESTROY

This indicates that a record can be completely disposed of and will no longer exist. DHBs can either:

Destroy appropriately after the minimum retention period is complete,

OR

Destroy appropriately after the *minimum retention period* is complete **AND** after any additional retention required by the DHB

DHBs need to inform Archives New Zealand of the *access status* of any record held for longer than the *minimum retention period* that is over 25 years old.

See also DESTRUCTION, DISPOSAL

DESTRUCTION

The physical *disposal* of *records* of no further value, for example by incineration, shredding or pulping [or deleting from an electronic system]." (KA, p.467)

See also DESTROY, DISPOSAL

DISCHARGE

The cancellation of the *public records* status of certain DHB records that are no longer required by the DHB, are not recommended for transfer to Archives New Zealand, and meet the requirements of section 25 of the Public Records Act.

DISPOSAL

The final decision concerning the fate of *records*, i.e. usually *destruction* or *transfer* to *Archives New Zealand*.

A programme of activities to facilitate the orderly transfer of *intermediate* and *inactive records* from current office space into low-cost or archival storage. It includes scheduling and records *destruction* under the GDA. (KA, p.467)

DISPOSAL AUTHORITY

"[A] formal instrument that defines the *retention* periods and consequent disposal actions authorised for *classes* of *records* which are described in it." (AS 4390-1996, Part 1, 4.10)

See also GENERAL DISPOSAL AUTHORITY

DISPOSAL CLASS/ES

"Classes of *records* performing or recording similar *activities* and therefore having the same retention period and disposal action." (AS 4390-1996, Part 1, 4.11)

See also CLASS

DISPOSAL TRIGGER

"In *disposal schedules* the event or activity which indicates that the active life of the *record*

is over and the *disposal sentence* can be applied." (KA, p.468)

See DATE OF LAST ACTION, UNTIL ADMINISTRATIVELY NO LONGER REQUIRED and AFTER LAST CONTACT for disposal triggers in the DHB GDA.

DOCUMENT

1. Recorded *information* regardless of medium or form.
2. The smallest complete unit of record material, e.g. a letter, photograph, report. (KA, p.468)

EDRMS

Electronic Document and Records Management System. System that manages the content of electronic documents and provides facilities for version control and access control.

Note: a shared drive is NOT an EDRMS.

ELECTRONIC RECORDS

"*Records* capable of being processed in a computer system and/or stored at any instant in a medium which requires electronic or computer equipment to retrieve them." (KA, p.469). Includes paper records which have been digitised.

FILE

"(n) An organised unit of *documents*, accumulated during current use and kept together because they deal with the same subject, activity or *transaction* and which may or may not be fastened together with or without a cover. The unit may be paper or electronic.
(v) The action of placing *documents* in a predetermined location according to an overall scheme of control." (KA, p.470)

FORMAT

1. The physical medium in which information is recorded or carried, e.g. paper files, computer files, photographs, microfilm, [electronic] records, plans, cards, volumes, etc.
2. A selection of descriptive elements set out in a prescribed manner and sequence so that the resulting description will be standardised for all types of records. (KA, p.471)

FULL AND ACCURATE RECORDS

In order for DHBs to establish and maintain recordkeeping systems to an appropriate standard, records must be full and adequate. That is, they must be:

Compliant - complying with the recordkeeping requirements arising from the regulatory and accountability environment in which the organisation operates;

Adequate - for the purposes for which they are kept;

Complete - containing not only the content, but also the structural and contextual *information* necessary to document a *transaction*;

Meaningful - containing *information* and/or linkages that ensure the business context in which the record was created and used is apparent;

Comprehensive - documenting the complete range of the organisation's business for which evidence is required;

Accurate - reflecting accurately the transactions that they document;

Authentic - enabling proof that they are what they purport to be and that their purported creators did indeed create them; and

Inviolable - securely maintained to prevent unauthorised access, alteration or removal. (From AS 4390-1996, Part 3, 5.3)

FUNCTION

The largest unit of business activity in the DHB. (AS 4390-1996, Part 1, 4.15)

A DHB's main functions may be to govern the DHB, plan, fund and provide public health and disability services, carry out clinical research, develop, maintain and monitor agreements with external providers, monitor and reduce adverse health affects in communities and so on.

FUNCTIONAL RECORDS

Records created by the DHB to help carry out the functions that make up its unique business role. These are usually itemised under legislation.

GDA

See GENERAL DISPOSAL AUTHORITY

GENERAL DISPOSAL AUTHORITY

A broad-ranging *disposal authority* that authorises the disposal of record classes that are common across agencies (or groups of agencies). (Archives NZ)

The DHB GDA is an example of a General Disposal Authority issued under the *Public Records Act* 2005. It is authorised by the Chief Archivist and assists DHBs to be compliant with the Public Records Act by providing a 10 year "up front" agreement allowing specific *classes of records* to be appropriately *disposed* of at a given time.

Records not covered by the GDA need to be covered under a separate disposal agreement. See AD HOC DISPOSAL AUTHORITY.

LAST CONTACT

See AFTER LAST CONTACT

LEGAL REQUIREMENT

"A requirement in a law other than the *Public Records Act* 2005 that orders the creation, retention, or destruction of certain *records*." (AAHA, p.114) E.g. The Official Information Act (1982), The Privacy Act (1993).

LOCATION INDEX/LOCATION GUIDE

"A *finding aid*, manual or electronic, providing the physical location in the DHB or at *Archives New Zealand* of all *holdings*." (KA, definition of 'Location index', p.473)

LOW LEVEL

See MINOR RECORDS

MAINTAIN

"[To *retain*] *records* in identifiable *recordkeeping* systems over time in accordance with *appraisal* decisions. *Records* that are required to be maintained should be accessible, their integrity should be protected and, where necessary, they should meet the conditions or requirements identified in order to meet business needs, organisational accountability and community expectations. This may include migrating *records* across successive systems and other preservation strategies." (DIRKS, Glossary, p.9)

See also FULL AND ACCURATE RECORDS

MAORI INTELLECTUAL PROPERTY

An issue facing *Archives New Zealand* is that some *information* may be traditionally or collectively owned through many generations past and future, e.g. whakapapa and waiata. Consequently, copyright, patent, and other intellectual property rights legislation may not offer sufficient protection for Maori as those pieces of legislation deal primarily with the rights of individuals rather than collective rights. (Archives NZ)

MASTER RECORD

(From the GDA.)

Final version of a record from which all duplicates and changes are made.

METADATA

"Data describing *data* and data systems. In electronic *recordkeeping*, this means *data* that must be captured along with *electronic records* to enable them to be understood and to support their management and use." (NSWGR, p.20)

Metadata can be two types:

"Discovery metadata enables you to learn about the existence of a resource, while retrieval metadata enables you to get your hands on it." (McKemmish, Cunningham, and Parer, unpaginated). Examples within a DHB would include classification structures, file names, thesauri of search terms etc

Recordkeeping metadata is *information* that enables the creation, management and use of *records*. Recordkeeping metadata can be used to identify, authenticate, and contextualise *records* and the people, processes, and systems that create, manage, and use them. (PAMF).

Archives New Zealand uses recordkeeping metadata in its finding aids and location guides.

MIGRATION

The "act of moving *records* from one system to another, while maintaining the *records*' authenticity, integrity, reliability, and usability". (ISO 15489-2001, Part 1, 3.13).

Often linked with *conversion*.

See also FULL AND ACCURATE RECORDS

MINIMUM RETENTION PERIOD

The shortest amount of time a record that is covered by the GDA needs to be kept by the DHB for legislative, administrative, and compliance purposes.

See under RETENTION PERIOD and DISPOSAL TRIGGER

MINOR RECORDS

From the GDA.

A record that documents or has a low, limited or reduced effect on a minor routine, administrative or housekeeping DHB function, activity, process or event

A record where the functions, activities, processes that it describes are summarised elsewhere within the DHB's recordkeeping system

Records that are sent to agencies which are covered by an *Archives New Zealand* GDA or agency-specific Disposal Authority (for example, DHB reports to the Ministry of Health will be kept by the Ministry as part of their compliance with the *Public Records Act*, so the DHB will not need to keep them as well)

See also SIGNIFICANT RECORDS

PRIVACY

"The right of a living person to be secure from the unauthorised disclosure of or access to *information* contained in *records* and *archives* of a private or confidential nature about himself/herself or his/her immediate family." (KA, p.476)

See also ACCESS

PUBLIC ACCESS

The right of the public to consult *records* that are not restricted. (AAHA p.116)

An objective of *Archives New Zealand* under the *Public Records Act* 2005.

See also ACCESS

PUBLIC RECORDS

The records of the DHBs are public records under the *Public Records Act* 2005. They are

records, including health information, created or received by a public office in the conduct of its affairs. The records can be in any type or *format*. This definition does not mean that all records are accessible to the public. See ACCESS DECISION, ACCESS AGREEMENT.

PUBLIC RECORDS ACT 2005

The objectives of the legislation are to:

- Promote accountability between the Crown, the public, and Government agencies
- Enhance public confidence in the integrity of public records
- Enhance and promote our historical and cultural heritage
- Encourage partnership and goodwill envisaged by the Treaty of Waitangi in relation to public records.

The Act has two key duties that DHBs must adhere to. They are:

Requirement to create and maintain records.

Under the *Public Records Act*, all public offices and local authorities are required to create and maintain full and accurate records in accordance with normal, prudent business practice. They must also be accessible over time.

Authority of the Chief Archivist is required to dispose of public records.

(Archives NZ)

<http://www.archives.govt.nz/about.php>)

The *Public Records Act* requires agencies like DHBs to gain the Chief Archivist's authorisation before *disposing public records* if there is no prior agreement (such as a GDA) with the Chief Archivist.

RECORD/S

"[I]nformation created, received, and maintained as evidence and *information* by an organisation or person, in pursuance of legal obligations or in the transaction of business". (ISO 15489-2001, Part 1, 3.15)

RECORDS AUDIT

See under SURVEY

RECORDKEEPING

"The creation and maintenance of complete accurate and reliable evidence of business

transactions in the form of recorded *information*." (AS 4390-1996, Part 1, 4.19)

Recordkeeping includes the following processes: The creation of *records* in the course of business activity and the means to ensure the creation of adequate *records*;

The management of records used in business (traditionally regarded as the domain of records management) and as archives (traditionally regarded as the domain of archives administration). (Archives NZ)

RECORDKEEPING REQUIREMENTS

"Identified needs for *evidence* arising from various internal and/or external sources that may be satisfied through appropriate *recordkeeping* action (such as creation, capture, maintenance, preservation, and *access*). The sources include legislative and other regulatory sources, including industry codes of best practice, broader government interests, external clients or stakeholders and the general public. An umbrella term that covers identified requirements and prioritised requirements." (DIRKS, Glossary, p.11)

RECORDKEEPING SYSTEMS

"[I]nformation systems which capture, *maintain* and provide access to *records* over time." (AS 4390-1996, Part 1, 4.20)

See also CLASSIFICATION

RECORD SERIES

See SERIES

RECORDS MANAGEMENT

"Activities within the management of the continuum of *records* of an organisation which facilitate the systematic capture, control, maintenance, dissemination and disposition of the *records* of that organisation. Records management is primarily concerned with capturing complete, accurate, and reliable documentation of organisational activity for current purposes. See also *Recordkeeping systems, Records manager*." (KA, p.477)

RECORDS MANAGER

"A person [...] responsible for the effective and efficient delivery of *records management*

services to meet an organisation's requirements.
." (KA, p.477)

See also RECORDS MANAGEMENT

RETAIN

The act of storing and *maintaining* records (electronically, physically) until their ultimate disposal. Often this is for the minimum *retention period*.

Once records identified under the GDA have reached the minimum *retention period*, they can either be *disposed* of or retained within the DHB for a longer period of time.

See also TRANSFER TO ARCHIVES NEW ZEALAND

RETENTION PERIOD

The period of time, usually based on an estimate of the frequency of current and future use, and taking into account statutory and regulatory provisions, that records need to be *retained* before their final *disposal*. (KA, p.479)

The retention period usually commences from the time of the *disposal trigger*.

See also DISPOSAL TRIGGER

SEMI - CURRENT RECORDS

Those *records* within the DHB that are required so infrequently in the conduct of current business that they can, if wished, be transferred from offices to separate storage areas until their *disposal*. This is often done to save on storage space and costs. (KA, p.472)

See also DISPOSAL and CURRENT, CLOSED, RECORDS

SENTENCING

The process of identifying and classifying *records* according to a *disposal authority* and applying a disposal action specified in it. This is a process carried out by the DHBs themselves to provided guidelines and standards.

It can be used as an integral part of *recordkeeping* and assist in the overall management of *records* from point of creation. (Archives NZ)

SERIES

Records created within or received by the DHB which belong together because:

They are part of a discernable filing system (alphabetical, numerical, chronological, or a combination of these);

They have been kept together because they result from the same activity; or

They are of similar *formats* and relate to a particular *function*.

A *series* may consist of only one *item*.

See also CLASS. (KA, p.479)

SIGNIFICANT RECORDS

From the GDA.

A record that documents, or has an important impact on key, vital or important DHB business (governance, corporate, services) and decision-making processes

A record where destruction would have a high probability of an adverse impact on high-level decision-making and accountability

Does not cover the concept of "large amount"

See also MINOR RECORDS

STAKEHOLDER

Those people and organisations who may effect, be affected by, or perceive themselves to be affected by, a decision or activity made within the DHB. The term stakeholder may also include interested parties. (DIRKS, Glossary, p.13, attributed to Australian and New Zealand Standard, AS/NZS 4360-1999, *Risk Management*)

STANDARDS

"*Records management and recordkeeping standards* are authoritative standards to which an organisation is subject or which it chooses to adopt. Standards provide benchmarks for measuring performance and describe best practices in any or all aspects of *recordkeeping*.

Thus standards may function to specify minimum performance levels or describe best practice." (DIRKS, Glossary, p.13)

The international standard for recordkeeping is ISO 15489

SUPERSEDED

(From the GDA.)

When a *master record* is replaced by a new *master record*, or is no longer required and not replaced.

SURVEY

The process of gathering *information* in a systematic and consistent way about records in their administrative context.

In the DHB this would be an examination of *current* or *semi-current* records noting briefly their nature, systems of arrangement, date ranges, quantities, *function*, physical condition, reference use, and rates of accumulation. (KA, p.480)

This *information* is used to develop and implement *disposal authorities* (like the GDA), establish what is not covered, plan appropriate storage, identify *vital records*, develop records classification systems or project space requirements.

Also referred to as records survey.

TRACKING

"The process of "creating, capturing, and maintaining *information* about the movement and use of *records*". (ISO 15489-2001, Part 1, 3.19)

TRANSACTION

"[T]he smallest unit of business activity. (AS 4390-1996, Part 1, 4.27)

For example, adding information to a record is a transaction, so is making notes of a telephone call, writing up a report, or entering data.

TRANSFER LISTS

A list of records compiled at the time of transfer from the DHB to *Archives New Zealand* and based on *Archives New Zealand's* listing guidelines and templates.

A copy of this transfer list becomes the DHB's reference document to track what has been sent to *Archives New Zealand*.

TRANSFER TO ARCHIVES NEW ZEALAND

(From the GDA.)

There are two options:

DHBs may request to defer the transfer of these records for the long term (i.e., permanently or much longer than the recommended retention period), and retain custody in either on-site or off-site storage but this must be

-- to the standards outlined in *Archives New Zealand's* Continuum package

-- AND with the Chief Archivist's agreement

OR

DHBs may transfer these records to *Archives New Zealand* after the *minimum retention period* has passed

TRIGGER POINT

See under DISPOSAL TRIGGER

UNTIL NO LONGER

ADMINISTRATIVELY REQUIRED

(From the GDA.)

Take this literally. That is,

If the DHB needs to use the record, then the record shall be kept as long as that need exists.

This may be short term (less than a year e.g.

planning for a staff function) or very long term

(20 years plus e.g. patient registers that the DHB refers to regularly)

This needs to be applied **after** the minimum retention period has passed if no alternative instructions are given.

"Required use" includes referring to *as well as* adding to the record.

Use of a record is not the same as "contact" with a patient (See also AFTER LAST CONTACT)

VITAL RECORDS

Those *records* that are essential for the ongoing business of the DHB, and without which the DHB could not continue to function effectively.

The identification and protection of such *records* is a primary object of *records management* and disaster planning. (KA, p.481)

References

Archives New Zealand: Te Rua Mahara o te Kawangātana. (n.d.) Retrieved on 20 May 2003, from <http://www.archives.govt.nz/about.php>,

Archives New Zealand. (n.d.) *G5: Glossary of recordkeeping and archival terms*. Wellington, New Zealand, Author. [G5]

Australian Archives [now National Archives of Australia]. (1996). Appendix 1: Glossary. In *Australian Archives Handbook*. Dickson, ACT: Author. [AAHA]

Ellis, J. (Ed.). (1993). *Keeping archives*. (2nd ed.). Port Melbourne, Vic: Thorpe in association with the Australian Society of Archivists. (KA)

Flynn, P. (Ed.). (2003, January 14) *The XML FAQ*. [Originally maintained on behalf of the World Wide Web Consortium's XML Special Interest Group, v. 3.01]. Retrieved on February 24, 2003, from <http://www.ucc.ie:8080> [*The XML FAQ*]

International Organization for Standardization. (2001). *ISO15489: Information and documentation: Records management*. Geneva, Switzerland, ISO. [ISO 15489]

Kennedy, J. & Schauder, C. (1998). *Records management: A guide to corporate recordkeeping*. (2nd ed.). Melbourne, Vic.: Longman. [Kennedy and Schauder]

McKemmish, S., Cunningham, A. & Parer, D. (1998). Metadata mania. In *Place, Interface and Cyberspace: Archives at the Edge, Proceedings of the 1998 Conference of the Australian Society of Archivists, Fremantle 6-8 August 1998*. Retrieved February 4, 2003 from <http://www.sims.monash.edu.au/research/rcrg/publications/recordkeepingmetadata/sm01.html> [McKemmish, Cunningham, and Parer]

National Archives of Australia. (2001). *Designing and implementing recordkeeping systems (DIRKS): Manual for commonwealth agencies*. Canberra, ACT: Author. [DIRKS]

Proceedings of the Archiving Metadata Forum. The Netherlands, June 2000. (2000). Available from www.archiefschool.nl/docs/workproc.pdf (PAMF)

Public Record Office. (2003). *Freedom of Information Act 2000: Model action plan for achieving compliance with the Lord Chancellor's Code of Practice on the Management of Records: [3] Model action plan for higher and further education organisations: with appendices*. (v. 2 2002, with new introduction 2003). Retrieved on February 4, 2003, from http://www.jisc.ac.uk/uploaded_documents/modelactionplan.pdf [Funded by the Joint Information Systems Committee]. [JISC-PRO]

Public Records Act 2005. (2005). Wellington, New Zealand. GP Print.

Reed, B. (2002). Appraisal: An overview of theory and practice. In *Past Caring? What Does Society Expect of Archivists: Proceeding of the Australian Society of Archivists Conference, Sydney 13-17 August 2002*. Canberra, ACT: Australian Society of Archivists. [Reed]

Standards Australia. (1996). *AS 4390: Records management*. (Superseded by ISO15489 in 2002). Homebush, NSW: Author. [AS 4390]

State Records Authority of New South Wales. (2002, April). Definitions supplied in Australian Society of Archivists Committee on Descriptive Standards, *Codification of the Series System*, Committee Draft. [SRNSW]

State Records Authority of New South Wales. (1994). *Government recordkeeping manual: Volume 1: Requirements, conceptual framework: 4. Glossary of recordkeeping terms*. Sydney, NSW: Author. [NSWGR]

Thompson, D. (Ed.). 1995). *The concise Oxford dictionary of current English*. (9th ed.). Oxford, England: OUP. (*Concise Oxford Dictionary*, 9th ed.)

[Although this bibliography has been drawn from G5: Glossary of Recordkeeping and Archival Terms from Archives New Zealand Continuum publications, it has been revised prior to its inclusion here]

Appendix 3: RECORDKEEPING LEGISLATION for DHBs

The DHB GDA applies minimum retention periods that are in line with existing standards and legislation.

The following is a list of legislation reviewed during the development of the GDA. It is not complete and does not substitute legal advice.

Acts etc specifying specific retention periods for records:

GOODS AND SERVICES TAX ACT 1985 (7 years for financial information)

HEALTH (RETENTION OF HEALTH INFORMATION) REGULATIONS 1996 (10 years minimum from date of last contact for information on identifiable individual). Standard cited in most health legislation.

LIMITATION ACT 1950 (6 – 12 years for contracts, torts etc, 60 years from Crown, 12 years to Crown for actions relating to land recovery / redemption. In case of death / bodily injury, limitation period is up to and including 6 years after the disability no longer exists, or the person dies.)

TAX ADMINISTRATION ACT 1994

(At least 7 years after the end of the tax year to which records relate and occasionally for a further 3 years after this date if the Commissioner gives notice.)

OTHER LEGISLATION:

Drinking Water Standards for New Zealand. (10 years), Resource consents from Local Authorities (25 to 35 years plus).

Acts etc requiring the creation / keeping of records as proof of activities or to make information available to a third party (no retention periods given):

ADOPTION ACT 1955

ALCOHOLISM AND DRUG ADDICTION ACT 1966

BIRTHS, DEATHS, AND MARRIAGES REGISTRATION ACT 1995

BIRTHS, DEATHS, AND MARRIAGES REGISTRATION (PRESCRIBED INFORMATION AND FORMS) REGULATIONS 1995

CANCER REGISTRY ACT 1993

CHILDREN, YOUNG PERSONS, AND THEIR FAMILIES ACT 1989

CIVIL AVIATION ACT 1990

COMMISSIONS OF INQUIRY ACT 1908

CONTRACEPTION, STERILISATION, AND ABORTION ACT 1977

CORONERS ACT 1988

CROWN ENTITIES ACT 2004

EVIDENCE ACT 1908

EVIDENCE AMENDMENT ACT 2000

HAZARDOUS SUBSTANCES AND NEW ORGANISMS ACT 1996

HEALTH ACT 1956
HEALTH (NATIONAL CERVICAL SCREENING PROGRAMME) AMENDMENT ACT 2004
HEALTH AND DISABILITY COMMISSIONER ACT 1994
HEALTH AND DISABILITY SERVICES (SAFETY) ACT 2001
HEALTH AND SAFETY IN EMPLOYMENT ACT 1992
HEALTH AND SAFETY IN EMPLOYMENT AMENDMENT ACT 2002
HEALTH PRACTITIONERS COMPETENCE ASSURANCE ACT 2003
HEALTH PRACTITIONERS REGULATIONS for ALL DHBs
HEALTH REGULATIONS
HEALTH RESEARCH COUNCIL ACT 1990
HEALTH (RETENTION OF HEALTH INFORMATION) REGULATIONS 1996
HUMAN RIGHTS ACT 1993
HUMAN TISSUE ACT 1964
INCOME TAX ACT 2004
INJURY PREVENTION, REHABILITATION, AND COMPENSATION ACT 2001
JUDICATURE ACT 1908
MEDICINES ACT 1981
MENTAL HEALTH (COMPULSORY ASSESSMENT AND TREATMENT) ACT 1992
MISUSE OF DRUGS ACT 1975
MISUSE OF DRUGS AMENDMENT ACT 2005
MISUSE OF DRUGS REGULATIONS 1977
NEW ZEALAND PUBLIC HEALTH AND DISABILITY ACT 2000
NEW ZEALAND PUBLIC HEALTH AND DISABILITY (ARCHIVES) REGULATIONS 2001
OFFICIAL INFORMATION ACT 1982
PRIVACY ACT 1993
PROTECTION OF PERSONAL AND PROPERTY RIGHTS ACT 1988
PUBLIC RECORDS ACT 2005
SOCIAL SECURITY ACT 1964
SUMMARY PROCEEDINGS ACT 1957
TUBERCULOSIS ACT 1948 \\
VENEREAL DISEASES REGULATIONS 1982