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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
1. AUDIT, QUALITY AND RISK MANAGEMENT							
This class covers information and records created and used as part of activities of audit, quality and risk management. It covers both internal and external requirements and compliance and audit activities relating to University processes and obligations. It also covers emergency and risk management activities.							
Routine administration							
	1.1	Routine administrative information and records that support audit, quality and risk management activities	<p>Example information and records include:</p> <ul style="list-style-type: none"> Records that facilitate / administer the auditing, quality and review process Records that document the issue management process such as complaint management / incident reporting process, and the quality control of that process Audit programme arrangements and administration Records that administer and facilitate emergency management and contingency planning activities Routine correspondence Information that facilitates the reporting process for reports that are not audits, reviews or evaluations Reporting arrangements Interim metrics and dashboards Working papers for surveys 		Date of last action	Destroy	Until administratively no longer required
Audits and reviews							
	GDA6/1.1.2 GDA6/7.1.2	Information and records relating to minor audits and reviews	<p>Example information and records include:</p> <ul style="list-style-type: none"> Reviews, evaluations or audits that have no significant impact on policies, procedures or operational delivery Low level / routine audit information covering minor administrative matters, do not require significant financial investment Routine IT audits Internal audit reviews where no substantial issues are identified Self audit programmes Laboratory audits Includes both internal and external reviews and audits Academic reviews 	<p>Does not include:</p> <ul style="list-style-type: none"> Routine financial audits. See Finance and Accounting, Class 4 Final reports captured in Strategic Committees (e.g. Academic Board, Senate, Council) 	Date of last action	Destroy	7 years
	GDA6/1.1.4 GDA6/7.1.1	Information and records relating to major audits and reviews	<p>Example information and records include:</p> <ul style="list-style-type: none"> Reviews, evaluations or audits that significantly impact on planning, policies, procedures and services that results in a substantial change to the University Internal audit programme Major strategy, planning, organisational or funding reviews Major operational reviews and business process re-engineering Major quality / quality assurance audits etc. 	<p>Does not include:</p> <ul style="list-style-type: none"> Academic audit, accreditation and management. See Management of Academic Programmes Class 10 	Date of last action	Archive	10 years
Authorities and delegations							
	GDA6/1.2.4	Information and records documenting written authorities and delegations	<p>May include delegations across any aspect of the University where authority is given to managers allowing them to allocate resources and make decisions. Such as:</p> <ul style="list-style-type: none"> Administrative delegations (Governance and Management) Human resource delegations Contractual delegations Legal and risk delegations Student delegations Research delegations <p>Example information and records include:</p> <ul style="list-style-type: none"> Delegations allowing hiring of staff Authority to sign contracts on behalf of the University Temporary 'management' delegation while acting in a more senior role 	<p>Does not include:</p> <ul style="list-style-type: none"> The decisions / actions made by the delegated authority Financial delegations. See Finance and Accounting, Class 4 	Date of last action	Destroy	7 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	1.2	Information and records documenting written authorities within the University given to Committees or specific roles allowing them to act on behalf of the University, Council or Academic Board	<p>May include delegations across any aspect of the University. Such as:</p> <ul style="list-style-type: none"> • Administrative delegations (Governance and Management) • Human resource delegations • Contractual delegations • Legal and risk delegations • Student delegations • Research delegations <p>Example information and records include:</p> <ul style="list-style-type: none"> • Academic delegations • Use of university branding • Use of copyright material owned by the University 	<p>Does not include:</p> <ul style="list-style-type: none"> • The decisions / actions made by the delegated authority • Financial delegations. See Finance and Accounting, Class 4 	Date of last action	Archive	10 years
Fraud							
	GDA6/7.1.4	Information and records detailing minor fraud	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Petty theft • Research fraud • Dishonest practices • One-off misappropriations • Forgery of any type not motivated by personal gain that results in minor consequences 	<p>Does not include:</p> <ul style="list-style-type: none"> • Information placed on a personnel file. See Human Resources, Class 7 	Date of last action	Destroy	7 years
	GDA6/7.1.3	Information and records detailing serious instances of fraud	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Theft of significant amounts of money • Goods or property • Persistent ongoing misappropriations • Negligence incurring significant financial cost and/or other significant consequences e.g. change to policies and / or procedures • Misappropriation of IP • Deliberate and unauthorised disclosure of highly confidential information that results in significant damage to the university or endangers the safety of an individual. • Falsification of academic credentials 	<p>Does not include:</p> <ul style="list-style-type: none"> • Information placed on a personnel file. See Human Resources, Class 7 	Date of last action	Archive	10 years
Incident management							
	1.3	Information and records detailing minor incidents	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Information and records that document issues, events and incidents (and how they are resolved) that do not have an ongoing / significant effect on University policy, practice, precedent, strategy etc. • Complaint documentation and associated contextual / background information • Records outlining identification and resolution of an issue / event / complaint e.g. interview notes, discussion documents etc. <p>Examples of minor incidents are:</p> <ul style="list-style-type: none"> • One-off compliance issue such as technical privacy breach. For example mail being sent to incorrect student • Unexpected restrictions to access on campus • Scams targeting University staff and students 	<p>Does not include:</p> <ul style="list-style-type: none"> • Issues raised through Official Information Act requests, Privacy Act, Ombudsmen and the Human Rights Commission. See Engagement and Communications, Class 3 • Student disciplinary matters or grievance and appeals against student academic issues. See Student Administration, Class 15 • Personnel grievances, disputes or dismissals. See Human Resources, Class 7 	Date of last action	Destroy	7 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	1.4	Information and records detailing major incidents	<p>Example information and records include:</p> <ul style="list-style-type: none"> Records of incidents / complaints that result in the setting of significant precedent when it comes to the University's strategies, policies, business practice etc., significant changes in policies, procedures, high level discussion within the University, legal action or wide media coverage. Initial complaint documentation Associated correspondence and attachments University reports, records of decisions Legal advice Records outlining resolution etc. <p>Examples of major incidents are:</p> <ul style="list-style-type: none"> Major compliance failure – i.e. significant privacy breach Security threat that requires evacuation of building or premises Close down of campus during COVID-19 Potential breach of policy receiving considerable news coverage Death or serious injury of student on campus Bomb scare Altercations between difference student groups on campus Claims against the University 	<p>Does not include:</p> <ul style="list-style-type: none"> Issues raised through Official Information Act requests, Privacy Act, Ombudsmen and the Human Rights Commission. See Engagement and Communications, Class 3 Student disciplinary matters or grievance and appeals against student academic issues. See Student Administration, Class 15 Personnel grievances, disputes or dismissals. See Human Resources, Class 7 	Date of last action	Archive	10 years
Insurance							
	1.5	Information and records documenting insurance policies and policy negotiations	<p>Example information and records include:</p> <ul style="list-style-type: none"> Documents relating to University negotiations with its insurers, brokers, loss adjustors and facilitators, including reports and/or analysis Insurance policies Working documents to support negotiations, policy renewals Policy reviews 		After policy expired	Destroy	7 years
	1.6	Information and records of minor insurance claims and their management	<p>Example information and records include:</p> <ul style="list-style-type: none"> Claim documentation for minor claims Supporting documentation 		Date of last action	Destroy	7 years
	1.7	Information and records of major insurance claims and their management	<p>Example information and records include:</p> <ul style="list-style-type: none"> Significant damage reports Independent valuations Claims documentation for major claims Insurance policy responses 	See also Response to Nationally Significant Events, Class 13	Date of last action	Archive	10 years
Issue monitoring							
	1.8	Information and records that document the ongoing monitoring of minor issues	<p>Example information and records include:</p> <ul style="list-style-type: none"> Issues that had no impact on university policies, procedures, strategy, risk and compliance etc. Low-level monitoring reports <p>Examples of minor issues are:</p> <ul style="list-style-type: none"> Routine audit findings that require minor improvement to specific business practice or process Equitable availability of laptops and study space for online lectures/assessments 		Date of last action	Destroy	2 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	1.9	Information and records that document the ongoing monitoring of major issues	<p>Example information and records include:</p> <ul style="list-style-type: none"> Information and records that outline the ongoing monitoring of issues that resulted in significant changes to university policies, procedures, strategy, risk and compliance etc. Reports to do with the monitoring of significant issues Investigation reports, including recommendations following lessons learned <p>Examples of major issues are:</p> <ul style="list-style-type: none"> Management of the University COVID 19 response Alleged breach of human rights/discrimination through selection criteria Allegations of organised student cheating Sexual harassment on campus Significant whistle-blower allegations 		Date of last action	Archive	10 years
Quality management							
	1.10	Information and records of routine monitoring of call centres for quality control	<p>Example information and records include:</p> <ul style="list-style-type: none"> Selected call centre recordings that have been used to monitor quality control of call centre operations and responses. 	<p>Does not include:</p> <ul style="list-style-type: none"> All call centre recordings - only those that have been used to monitor quality control processes of call centre operations. For all other call centre recordings see Engagement and Communications, Class 3 Student advice. See Student Administration, Class 15 and Student Services, Class 16 	Date of last action	Destroy	Until administratively no longer required
	1.11	Information and records created for the purposes of understanding and improving learning and teaching experiences for students	<p>Example information and records include:</p> <ul style="list-style-type: none"> Summary learning analytics reports Intervention / mitigation plans 	<p>Does not include:</p> <ul style="list-style-type: none"> Surveys Management of the quality of academic programmes Information placed on an individual students record 	Date of last action	Destroy	7 years
	1.12	Information and records created for the purposes of understanding and improving quality of services to staff, students and alumni	<p>Example information and records include:</p> <ul style="list-style-type: none"> Continuous improvement programmes 	<p>Does not include:</p> <ul style="list-style-type: none"> Surveys 	Date of last action	Destroy	7 years
Reporting							
	GDA6/1.2.3	Information and records of non-financial minor reporting	<p>Example information and records include:</p> <ul style="list-style-type: none"> Low level reporting / records associated with report development and only have specific, low level impact on university business OR reports that are in summarised or consolidated form elsewhere. Background papers Research drafts, data, comments etc. Low-level audit responses Project reports Daily, weekly, monthly summary or scorecard reports Single Data Return (SDR) 	<p>Does not include:</p> <ul style="list-style-type: none"> Financial reporting. See Finance, Class 4 	Date of last action	Destroy	7 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	GDA6/1.2.1	Information and records of non-financial major reporting	Example information and records include: <ul style="list-style-type: none"> • Consolidated and / or summarised corporate monitoring / compliance / quality assurance reports, returns etc. for operational areas that have or will have a significant impact and / or influence on key / significant University functions AND are not covered under Issues Management (Significant) OR under Information Management Systems and Services: Control and Location Indices / Guides (Significant). • Monitoring reports of significant projects, survey reports, business cases etc. • Internal summary reports of incidents and events and their outcomes • Significant reports to funding agencies 	Does not include: <ul style="list-style-type: none"> • Financial reporting. See Finance, Class 4 	Date of last action	Archive	10 years
	1.13	Information and records documenting the facilitation of accreditation to voluntary compliance standards	Example information and records include: <ul style="list-style-type: none"> • International Standards Organisation (ISO) standards reporting and monitoring 		After standard / regulation etc. superseded / completed	Destroy	7 years
Risk management, emergency management and contingency planning							
	1.14	Information and records that capture the framework for risk management, emergency management and contingency planning procedures and standards	Example information and records include: <ul style="list-style-type: none"> • Risk management and compliance framework • Business continuity framework • Strategic risk register 	Does not include: <ul style="list-style-type: none"> • Working documents for the development of the framework 	Date of last action	Destroy	7 years
	1.15	Information and records that capture the implementation of risk management, emergency management and contingency planning procedures and standards	Example information and records include: <ul style="list-style-type: none"> • Draft emergency plans and scenarios • Risk assessments • Business assurance tracking • Business Continuity Planning Health Checks 	Does not include: <ul style="list-style-type: none"> • Hazard or occupational health management. See Health and Safety and Welfare, Class 6 	Date of last action	Destroy	2 years
	1.16	Information and records that document final approved plans covering risk management, emergency management and business continuity / contingency planning	Example information and records include: <ul style="list-style-type: none"> • Business continuity plans • Disaster recovery plans (IT) • Emergency management plans 		After plan is superseded	Destroy	2 years
Submissions							
	1.17	Information and records of individual submissions from staff and students on specific issues that are not confidential	Example information and records include: <ul style="list-style-type: none"> • Submissions • Internal review submissions e.g. school review • Change proposals • Survey forms 		After approval of the completed final version of the record	Destroy	Until administratively no longer required
	1.18	Information and records of individual submissions that are considered to be confidential submissions	Example information and records include: <ul style="list-style-type: none"> • Submissions provided on the agreement that the written submission will be destroyed as soon as the report has been written • Internal review submissions e.g. school review • Change proposals • Survey forms 		After approval of the completed final version of the record	Destroy	Immediately

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Surveys							
	1.19	Information and records documenting survey reports that affect a division / unit only of the University	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Summary reports of survey results • System user surveys • Student services survey (e.g. Programme surveys) 	<p>Does not include:</p> <ul style="list-style-type: none"> • Academic quality or teaching reviews. See Management of Academic Programmes, Class 10 • Building survey reports. See Property and Facilities Management, Class 11 	Date of last action	Destroy	2 years
	1.20	Information and records documenting survey reports that affect the whole of the University	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Summary reports of survey results • Student graduate survey • Staff surveys • University rankings exercises (e.g. Times Higher Education etc.) 	<p>Does not include:</p> <ul style="list-style-type: none"> • Academic quality or teaching reviews. See Management of Academic Programmes, Class 10 • Building survey reports. See Property and Facilities Management, Class 11 • Working papers for survey reports - these are covered in Class 1.1 	Date of last action	Archive	10 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
2. COLLECTIONS MANAGEMENT							
This class covers information and records created and used as part of the activities of managing University collections of art, private records, museum specimens and other objects which are owned by the University, or on loan to the University. It does not cover the University Library collection which is covered in Class 8. PLEASE NOTE: This disposal schedule does not cover the items in the actual collection, but rather the information and records created to support their acquisition, use, management, storage, preservation and disposal.							
Routine administration							
	2.1	Routine administrative information and records that support collection management activities	Example information and records include: <ul style="list-style-type: none"> • Routine correspondence • Reporting arrangements • Interim metrics and dashboards 		Date of last action	Destroy	Until administratively no longer required
Control, use and preservation							
	2.2	Information and records associated with registering and describing the objects within the collection	Example information and records include: <ul style="list-style-type: none"> • Catalogues / Indexes • Inventories • Electronic control systems • Registers • Finding aids 		After collection is disestablished	Archive	10 years
	2.3	Information and records relating to access and use of the collection	Example information and records include: <ul style="list-style-type: none"> • Applications for access • Access conditions • Register of access 		Date of last action	Destroy	10 years
	2.4	Information and records relating to the preservation, protection, maintenance, restoration and enhancement of the collection	Example information and records include: <ul style="list-style-type: none"> • Temperature and humidity control readings • Pest treatments 		Date of last action	Destroy	2 years
	2.5	Information and records documenting conservation and preservation carried out directly on collection objects	Example information and records include: <ul style="list-style-type: none"> • Notes on Repairs • Recordings of deacidification treatments etc. • significant deviations/incidents with failure of monitoring equipment 		After collection item is disposed of	Destroy	2 years
Exhibitions and displays							
	2.6	Information and records relating to the planning and implementation of an exhibition or display	Example information and records include: <ul style="list-style-type: none"> • Invitations to exhibit • Liaison with donors • Opening of displays • Reviews 		Date of last action	Destroy	2 years
	2.7	Information and records documenting exhibition memorabilia	Example information and records include: <ul style="list-style-type: none"> • Catalogues • Brochures • Exhibition ephemera 	Does not include: <ul style="list-style-type: none"> • Material sent to Legal Deposit 	Date of last action	Archive	10 years
	2.8	Information and records documenting loaning out of collection items, or borrowing of items from other organisations / individuals for use in exhibitions / displays	Example information and records include: <ul style="list-style-type: none"> • Loan arrangements • Legal contracts 		Date of last action	Destroy	25 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Planning, acquisition and disposal							
	2.9	Information and records relating to collection management planning	Example information and records include: <ul style="list-style-type: none"> • Collection management plan • Collection management strategies • Collection development plan • Collection valuation 		Date of last action	Destroy	25 years
	2.10	Information and records relating to the purchase or other means of acquisition and the de-accessioning and disposing of collections or items	Example information and records include: <ul style="list-style-type: none"> • Correspondence • Negotiations • Final agreements on terms and conditions • Ownership deeds or certificates • Sale or auction records • Agreements and contracts for loans in perpetuity • Records relating to the sale, transfer, destruction or repatriation of a collection or items within a collection 	Does not include: <ul style="list-style-type: none"> • Fixed term loans or monetary donations 	After collection is disestablished	Archive	10 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
3. ENGAGEMENT AND COMMUNICATIONS							
This class covers information and records created and used to support the University's communication and engagement with internal and external stakeholders in official or promotional ways							
Routine administration							
	3.1	Routine administrative information and records that support University engagement and communications activities	Example information and records include: <ul style="list-style-type: none"> • Minor correspondence • Address and invitation lists • Photographic images that are not selected as part of the curated record • Requests for publications • Production, marketing and distribution of publications and advertisements • Reference and information-only records • Print processing • Routine requests (e.g. asking for speaker) • General enquiries from public (including the call centre) • Subscription lists • Administration of VIP visits • Travel itineraries, transportation, etc. • Thank you notes, Messages of condolence • Open day and roadshow administration 		Date of last action	Destroy	Until administratively no longer required
Alumni							
	3.2	Information and records relating to alumni information maintenance and communications	Example information and records include: <ul style="list-style-type: none"> • List of alumni contacts, for example database holdings • Mail-out arrangements • Signed statements by alumni • Updating and maintaining alumni contact details • Enquiries • Correspondence • Surveys 	Does not include: <ul style="list-style-type: none"> • Publication of alumni magazines • Events for alumni • Donor agreements 	Date of last action	Destroy	2 years
Campaigns, marketing and fundraising							
	3.3	Information and records that support University management of minor campaigns, marketing or fundraising, or development and organisation of campaigns, marketing or fundraising	Example information and records include: <ul style="list-style-type: none"> • Production, marketing and distribution of publications and advertisements • Posters and brochures • Advertising schedules • Marketing plans • Briefs 		Date of last action	Destroy	7 years
	3.4	Information and records that support University management of significant campaigns, marketing or fundraising, or development and organisation of campaigns, marketing or fundraising	Example information and records include: <ul style="list-style-type: none"> • Design plans • Reports • Fundraising plans • Summary results 		Date of last action	Archive	10 years
Communications							
	3.5	Information and records documenting the information communicated to staff, clients, stakeholders, interested parties and / or the general public that is routine or minor in nature	Example information and records include: <ul style="list-style-type: none"> • Routine speeches and addresses regarding minor issues • Minor articles • Copies of photographs • Social media and instant messaging communications created for informational or promotional purposes e.g. blogs, tweets • Provision of routine administrative information e.g. opening hours or requests for copies of publications • Posted listserv messages 		Date of last action	Destroy	Until administratively no longer required

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	GDA6/6.1.1	Information and records documenting promotional / informational information communicated to staff, clients, stakeholders, interested parties and / or the general public that is of a significant nature	<p>Example information and records include:</p> <ul style="list-style-type: none"> • University news releases, significant University speeches and addresses • Significant articles written by University employees and/or contractors, • News briefings • Significant media recordings produced by the University as well as scripts of films • Media recordings produced or commissioned by the University • Key / significant publicity campaigns • Education resource kits • Posters 	Does not include: • Website related documentation. See Information Management, Information Technology, Systems and Services, Class 8	Date of last action	Archive	10 years
Complaints							
	3.6	Information and records documenting minor complaints by members of the public against the University that do not have any direct impact on University policies or decisions and are not officially registered as an incident or placed on an employee's personnel file	<p>Example information and records include:</p> <ul style="list-style-type: none"> • General complaints in the form of correspondence etc. on policies or quality/standard of service • Complaints on personal matters (e.g. traffic offences, tax matters, etc.). • Complaints about student behaviour 	Does not include: • Privacy Act complaints • Student complaints against the University or a staff member • Complaints made against a specific staff member placed on an employee's personnel file	Date of last action	Destroy	2 years
	3.7	Information and records documenting major complaints by members of the public against the University that do have some impact on University policies or decisions and are not officially registered as an incident or placed on an employee's personnel file	<p>Example information and records include:</p> <ul style="list-style-type: none"> • General complaints in the form of correspondence etc. on policies and quality/standard of service • Complaints on personal matters (e.g. traffic offences, tax matters, etc.). • Complaints about student behaviour 	Does not include: • Privacy Act complaints • Student complaints against the University or a staff member • Complaints made against a specific staff member placed on an employee's personnel file	Date of last action	Destroy	7 years
Donations, gifts and bequests							
	GDA6/6.1.17	Information and records relating to the receipt of minor / token gifts and donations by the University or any trust or company controlled by the University , e.g.. token gifts that have little monetary or other value	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Details of gift selection • Purchase and presentation by the university • University receipt of gifts and donation received 	Does not include: • The actual gifts or objects, unless they are public records under the Public Records Act 2005, e.g. artworks produced or acquired in the course of the University's business • Donation of human bodies	Date of last action	Destroy	2 years
	GDA6/6.1.16	Information and records relating to the receipt of major gifts and donations by the University or any trust or company controlled by the University , e.g.. gifts or donations that have substantial value, national importance, long-term benefit, etc.	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Details of gift selection or donation • Purchase and presentation by University • University receipt of gifts or donations received • Financial donations of significant value 	Does not include: • The actual gifts or objects, unless they are public records under the Public Records Act 2005, e.g. artworks produced or acquired in the course of the University's business • Donation of human bodies	Date of last action	Archive	10 years
Event management							
	3.8	Information and records relating to University involvement with minor events	<p>Minor events may include:</p> <ul style="list-style-type: none"> • Public Lectures • Conferences organised by the University • Orientation events <p>Example information and records include:</p> <ul style="list-style-type: none"> • Briefing notes • Visitation programme • Record of official discussions and meetings 		Date of last action	Destroy	2 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	3.9	Information and records relating to University involvement with major events	<p>Major events may include:</p> <ul style="list-style-type: none"> • Overseas visits by New Zealand dignitaries (e.g. Prime Minister, Ministers of the Crown, etc.) • Overseas VIP visitors to New Zealand (e.g. royalty, heads of state, senior officials, Nobel Prize winners etc.) • Alumni events • The use of University grounds and facilities <p>Example information and records include:</p> <ul style="list-style-type: none"> • Briefing notes • Visitation programme • Record of official discussions and meetings • Visit reports • Visitors' books etc. • Significant public lecture series and recordings • Conferences organised by the University 		Date of last action	Archive	10 years
Liaison with external stakeholders							
	3.10	Information and records that outline minor relationship issues, discussions etc. with key stakeholders	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Requests for information • Routine administrative arrangements • Day to day correspondence and contact information of a transitive/facilitative level 		Date of last action	Destroy	Until administratively no longer required
	3.11	Information and records that outline major relationship issues, discussions etc. with key stakeholders	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Reports on findings • Submissions and representation to local and regional bodies and central government 		Date of last action	Archive	10 years
Market research							
	3.12	Information and records created for use in publications and documents for the University and media	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Environmental scans • Reports • Surveys • Gathered market research from outside agencies 	<p>Does not include:</p> <ul style="list-style-type: none"> • Minor records which are administrative in nature 	Date of last action	Destroy	7 years
Media monitoring							
	3.13	Information and records that monitor media information published or aired about significant topics to do with the University as well as records that summarise or document key responses to media articles, questions, reports etc.	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Press clippings • Media releases about the University by third parties 	<p>Does not include:</p> <ul style="list-style-type: none"> • Media releases from the University 	Date of last action	Destroy	Until administratively no longer required
Official information requests made under the provisions of legislation and regulations e.g. Privacy, Official Information, Human Rights and Coronial inquiries							
	3.14	Information and records dealing with non-precedent setting information requests made under legislation	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Correspondence • Reports • Investigations • Information requests 		Date of last action	Destroy	7 years
	3.15	Information and records dealing with precedent setting information requests made under legislation	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Correspondence • Reports • Investigations • Information requests 		Date of last action	Archive	10 years
	3.16	Requests "to be forgotten" from students, alumni and staff	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Record of the original request and response 		Date of last action	Destroy	75 years
Photographic records							
	3.17	Information and records that are a curated selection of photographs of staff and students	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Portraits • Overseas visitors • Sports groups • Social events 		Date of last action	Archive	10 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	3.18	Information and records that are images of minor events, or are images with no metadata or where the subject is unidentifiable	Example information and records include: • Images		Date of last action	Destroy	1 year
	3.19	Information and records that are a curated selection of representative images of events of significance to the University and its development and interaction with the broader community for example opening centres, events of academic significance etc.	Example information and records include: • Registers • Indexes • Job books of photographic images		Date of last action	Archive	10 years
	3.20	Information and records created as publicity material about which there is an agreement with staff and/or students regarding how long the images can be used			Date of last action	Destroy	Once period for use has expired
	3.21	Information and records of photographs / negatives where the physical condition has deteriorated to such an extent that negatives or photographs cannot be reasonably salvaged and are therefore inaccessible	NOTE: records considered for destruction under this sub-class may only be destroyed after submitting documentary evidence in support of this recommended action to the Chief Archivist and obtaining their confirmation to proceed.		On receipt of confirmation from the Chief Archivist that this sub-class can be applied to the effected records	Destroy	As soon as practicable
Publications							
	3.22	Information and records documenting publications produced or commissioned by the University for internal use	Example information and records include: • Published and printed material • VC newsletter • Internal presentation programme		Date of last action	Archive one copy of published / printed material not lodged with Legal Deposit Office	25 years
	3.23	Information and records documenting publications produced or commissioned by the University for external use	Example information and records include: • University calendar • Faculty handbooks, undergraduate, postgraduate handbooks • Alumni newsletter		Date of last action	Archive one copy of published / printed material not lodged with Legal Deposit Office and where a duplicate had value added by University employees (e.g. heavily annotated)	25 years
Sponsorship							
	GDA6/6.1.4	Information and records documenting minor sponsorship activities and routine sponsorship administration	Example information and records include: • Sponsorship request or approval forms • Rejection letters • Application proposals • Routine administration • Low-level administrative correspondence		Date of last action	Destroy	7 years
	3.24	Information and records documenting major national or new sponsorships that are precedent setting, contentious or controversial, granted and/or received by the University	Example information and records include: • Proposals • Decision-making records • Accountability reports		Date of last action	Archive	10 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
4. FINANCE AND ACCOUNTING							
This class covers information and records created and used to support financial and accounting processes and activities within the University, from group level to University-wide.							
Routine administration							
	4.1	Routine administrative information and records that support financial management activities	Example information and records include: <ul style="list-style-type: none"> • Records that facilitate / administer the financial and accounting process • Low level financial and accounting transactions administration • Administrative reporting • Financial information requests • Routine correspondence 		Date of last action	Destroy	Until administratively no longer required
Financial operations							
	4.2	Information and records that support routine operational financial and accounting activities	Example information and records include: <ul style="list-style-type: none"> • Student fees, refunds, allowances • Payroll and transactional payroll information • Financial planning, budgeting and reporting that are of a minor nature • Financial reports that are summarised elsewhere / transactional and / or processing in nature • Financial delegations • Reporting e.g. Reconciliation, Journal transactions, monthly • Information about travel by University employees that need to be kept for accounting purposes such as travel insurance, final travel plans, payment of travel club memberships (e.g. Koru Club) • TEC funding e.g. data sent to TEC for funding compliance • Routine financial audits • Transactional banking and finance records e.g. general ledger receipts and expenditure • Bank statements, instructions to banks, automatic payments, direct debit • Voucher receipts and reconciliations • Routine taxation information such as GST returns, correspondence on taxation, fringe benefit tax returns, PAYE returns to IRD, yearly reports showing totals for student loans repayments • Imprest accounts • Routine write-offs 	Does not include: <ul style="list-style-type: none"> • Consolidated significant capital asset register see Property and Facilities Management, Class 11 • Payroll information in personnel files. See Human Resources, Class 7 	Date of last action	Destroy	7 years
	4.3	Information and records documenting investments and other financial assets	Example information and records include: <ul style="list-style-type: none"> • Forward foreign exchange • Derivatives—Interest rate swaps • Bonds 		Date of last action	Destroy	7 years
Loans and trusts							
	4.4	Information and records relating to the raising of major loans and use of loan funds	Example information and records include: <ul style="list-style-type: none"> • Risk analysis • Record of loan negotiation decisions • Corporate summary records of loan use • External funding application 		Date of last action	Archive	25 years
	4.5	Information and records relating to trust investments	Example information and records include: <ul style="list-style-type: none"> • Trusts investments documentation • Documentation of legal entities established by the University through bequests or legal agreements 		Date of last action	Archive	25 years
Procurement and tendering							
	4.6	Information and records documenting successful procurement or tender for major capital projects	Example information and records include: <ul style="list-style-type: none"> • Requests for proposal • Requests for information • Tender • Successful tender response • Tender evaluation 	Does not include: <ul style="list-style-type: none"> • Property projects. See Property and Facilities Management, Class 11 	Date of last action	Archive	25 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	4.7	Information and records documenting successful procurement or tender for minor capital projects	Example information and records include: <ul style="list-style-type: none"> • Requests for proposal • Requests for information • Tender 	Does not include: <ul style="list-style-type: none"> • Property projects. See Property and Facilities Management, Class 11 	Date of last action	Destroy	7 years
	4.8	Information and records documenting unsuccessful tenders	Example information and records include: <ul style="list-style-type: none"> • Requests for proposal • Requests for information • Tender 	Does not include: <ul style="list-style-type: none"> • Property projects. See Property and Facilities Management, Class 11 	Date of last action	Destroy	Until administratively no longer required
Significant financial records							
	GDA6/1.2.1	Information and records of regular financial and accounting processes that are of a significant nature	Example information and records include: <ul style="list-style-type: none"> • Consolidated, accountability and budgeting reporting records • Consolidated annual financial statements • Annual financial performance reports against purchase agreements • Consolidated significant capital expenditure budget and expenditure 	Does not include: <ul style="list-style-type: none"> • Low-level budget and financial planning. See Finance and Accounting, Class 4 • University Annual Report 	Date of last action	Archive	10 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
5. GOVERNANCE AND STRATEGIC MANAGEMENT							
This class covers information and records created and used as part of the activities of governance, that is, information that relates to the top-level decision-making and leads the processes within the University, and how they are carried out.							
Routine administration							
	5.1	Routine administrative information and records that support governance activities, meetings and the administration of meetings	Example information and records include: <ul style="list-style-type: none"> • Records that facilitate / administer governance processes • Administrative reporting • Routine correspondence • Low-level meeting facilitation information • Routine and non-substantial correspondence • Reference and information-only records such as meeting notifications / invitations and acceptances • Travel arrangements (non-financial records) • Secretarial administration • Venue and catering arrangements • Security arrangements 		Date of last action	Destroy	Until administratively no longer required
Committees and working parties							
	5.2	Information and records of committees and working parties that are of a minor nature	Example information and records include: <ul style="list-style-type: none"> • Sub-committees, ad hoc committees and/or working parties, staff meetings etc. • Agendas • Minutes • Membership Lists • Reports and decisions 		Date of last action	Destroy	2 years
	5.3	Information and records of committees and working parties that are of an operational nature	Example information and records include: <ul style="list-style-type: none"> • Agendas • Minutes • Membership Lists • Reports and decisions 	Does not include: <ul style="list-style-type: none"> • Council, committees that report to Council, or Committees formed for strategic purposes 	Date of last action	Destroy	7 years
Corporate identity / brand							
	5.4	Information and records that cover the development of the University's identity, brand and image	Example information and records include: <ul style="list-style-type: none"> • Development and protection of name, coat of arms, crest, motto, logo or seal of the university • Development and approval • Rationale for decisions made • Intellectual property • Trademarks 		Date of last action	Archive	25 years
	5.5	Information and records that cover significant corporate objects	Example information and records include: <ul style="list-style-type: none"> • Key University objects relating to corporate identification and recognition, authorisation, approval and guarantee of authenticity, creation of significant documents • Coat of arms cast • Logo prints blocks • Common seal of the University • Engraved plates 		Date of last action	Archive	25 years
Elections and appointments							
	5.6	Information and records relating to the conduct of Council election and appointments	Example information and records include: <ul style="list-style-type: none"> • Rolls of individuals eligible to vote • Advertising • Balloting • Nominations • Notices • Papers • Results • Scrutineers • Tally sheets 		After declaration of election result or appointment	Destroy	3 months

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Governance of trusts and company's							
	5.7	Information and records of trust or companies that are more than 50% owned by the University	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Certificate of incorporation • Certificate to commence business • Constitution of the institution or company • Trust deeds • Seal book • Register of directors and secretaries • Register of directors' shareholdings and share dealings (part of the Interests Register) • Interests register • Board minutes / Board committee minutes • Resolutions of Board and Board Committees • Memoranda and articles of association • Annual report and accounts (signed copy) • Directors certificates • Regulation 17 certificates authorising the distribution of advertisements for securities 	<p>Does not include:</p> <ul style="list-style-type: none"> • Trust investment records. See Finance and Accounting, Class 4 • Information or records of trusts or company's not covered by the Public Records Act e.g. that are not more than 50% owned by the University 	When company ceases to exist	Archive	10 years
Planning (strategic and operational)							
	GDA6/1.2.1	Information and records of consolidated high-level governance-related plans and reports	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Annual and strategic plans • Investment Plan • Profile • Monitoring of performance against targets • Reports of performance measurement against output targets • Campus development plan 		Date of last action	Archive	10 years
	5.8	Information and records reflecting substantial employee input to the formation of university decisions and plans	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Input provided through employee networks and other similar empowering initiatives • Meeting minutes • Consolidated submissions and input into university plan development • Internal consultation on development of the University strategic plan 	<p>Does not include:</p> <ul style="list-style-type: none"> • Individual submissions. See Audit, Quality and Risk Management, Class 1 	Date of last action	Destroy	7 years
	GDA6/1.2.2	Information and records reflecting business unit contribution to University plans / framework	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Input provided through business units • Working papers 		Date of last action	Destroy	When administratively no longer required
	5.9	Information and records documenting School / Faculty / College / Institute / Central Service Units / Departmental operational plans and reports	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Annual plans and reviews • Administrative plans and reports • Service plans and reports • Performance reports • Other occasional and ad hoc reports 		Date of last action	Destroy	7 years
Policies and procedures							
	GDA6/1.1.1	Information and records documenting final approved University-wide policies and procedures	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Master set of approved University policies and procedures applicable University wide • Codes of Conduct, guidelines etc. 	<p>Does not include:</p> <ul style="list-style-type: none"> • Policy and procedures that are at a University unit level 	Date of last action	Archive	10 years
	GDA6/1.1.3	Information and records documenting final approved operational policies and procedures	<p>Example information and records include:</p> <ul style="list-style-type: none"> • School / Faculty level policies and procedures and guidelines 	<p>Does not include:</p> <ul style="list-style-type: none"> • University wide approved policies 	Date of last action	Destroy	7 years
	5.10	Information and records relating to the development and maintenance of policies and procedures	<p>Example information and records include:</p> <ul style="list-style-type: none"> • University-wide and School / Faculty level • Drafts / working papers • Input received / review documentation 		Date of last action	Destroy	2 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Strategic project management							
	5.11	Information and records relating to minor projects that either use the strategic project framework, are enterprise wide, or require significant additional funding	<p>Covers Project Management of minor projects that do not have a significant effect on the University as a whole not otherwise covered in this disposal authority</p> <p>Example information and records include:</p> <ul style="list-style-type: none"> • Business case • Project progress reports • Monitoring • Vendor documents • Project documents • Benefits analysis • Post project review and evaluation 	<p>Does not include:</p> <ul style="list-style-type: none"> • Legal agreements. See Legal, Class 9 • Projects relating to property. See Property and Facilities Management, Class 11 • Tendering documentation. See Finance and Accounting, Class 4 	Date of last action	Destroy	7 years
	5.12	Information and records relating to major projects that either use the strategic project framework, are enterprise wide, or require significant additional funding	<p>Covers Project Management of major projects not otherwise covered in this disposal authority such as University projects involving large capital expenditure, that result in significant changes to University policies, procedures, strategy, risk and compliance</p> <p>Example information and records include:</p> <ul style="list-style-type: none"> • Business case • Project progress reports • Monitoring • Vendor documents • Project documents • Benefits analysis • Post project review and evaluation • Analysis and monitoring for financial reporting • Change management strategy 	<p>Does not include:</p> <ul style="list-style-type: none"> • Legal agreements. See Legal, Class 9 • Projects relating to property. See Property and Facilities Management, Class 11 • Tendering documentation. See Finance and Accounting, Class 4 	Date of last action	Archive	10 years
Treaty relationships							
	5.13	Information and records that document University compliance and dealings under the Treaty of Waitangi/Te Tiriti o Waitangi, and relationships with Māori	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Significant / high-level records that cover significant University compliance and dealings under the Treaty, and relationships with Māori. • Māori input into University planning and policy (e.g. University Māori consultative / advisory group) • Liaison with iwi and other Māori groups/bodies, records of substantial meetings and discussions • significant service contracts with Māori • Māori development funding and initiative programmes 		Date of last action	Archive	10 years
University Council and strategic committees							
	5.14	Information and records that facilitate Council and strategic committee meetings	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Reimbursement • Travel etc. of members 		Date of last action	Destroy	7 years
	5.15	Information and records of minor correspondence and invitations to the Chancellor and Council members	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Administrative / facilitative correspondence to / from members 		Date of last action	Destroy	2 years
	5.16	Information and records of major correspondence and invitations to the Chancellor and Council members	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Correspondence to / from Council and/or Committee about significant / far-reaching corporate / service issues 	<p>Does not include:</p> <ul style="list-style-type: none"> • Correspondence attached to official record of meetings 	Date of last action	Archive	10 years
	5.17	Information and records that provide an official record of all Council and strategic committee meetings	<p>Includes board of governors, Council, academic board, professorial boards of university, senior management, Senate and their sub-committees for the University and Predecessor agencies</p> <p>Example information and records include:</p> <ul style="list-style-type: none"> • Agendas • Signed / approved minutes • Matters arising • Associated reports and other documentation 		Date of last action	Archive	10 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	5.18	Information and records of minor reports, reviews etc. presented to Council/Committees	Example information and records include: <ul style="list-style-type: none"> • Reports about areas that have a short term impact / low influence on University strategies and plans, policies and procedures or services and have low compliance / business ramifications • Final report • Monthly staffing report 		Date of last action	Destroy	7 years
	5.19	Information and records of major reports, reviews etc. presented to Council/Committees	Example information and records include: <ul style="list-style-type: none"> • Reports, reviews etc. to / from Council/Committee about areas of significant impact and / or influence on key University strategies and plans, policies and procedures and services, and / or have significant compliance / business ramifications. e.g. reports from special inquiries • Final report • Academic portfolio profile (by year) 	Does not include: <ul style="list-style-type: none"> • Reports attached to official record of meetings 	Date of last action	Archive	10 years
Vice-Chancellors correspondence							
	5.20	Information and records relating to correspondence created by and received from the Vice-Chancellor's Office where not otherwise covered by this disposal authority	Example information and records include: <ul style="list-style-type: none"> • Correspondence created and received 		Date of last action	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
6. HEALTH and SAFETY and WELFARE							
This class covers information and records created and used to support activities relates to health and safety and welfare at the University							
Routine administration							
	6.1	Routine administrative information and records that support managing, monitoring and recording occupational health issues	Example information and records include: <ul style="list-style-type: none"> • Minor correspondence • Reference and information-only records • Low level facilitation • Travel arrangements, meeting establishment 	Does not include: <ul style="list-style-type: none"> • Routine ACC service contracts. See Legal, Class 9 • Planning and Strategy and Policies. See Governance and Strategic Management, Class 5 	Date of last action	Destroy	Until administratively no longer required
Field trips							
	6.2	Information and records documenting the health and safety aspects of field trips	Example information and records include: <ul style="list-style-type: none"> • Attendance records • Briefing notes • Signed participant forms • Risk evaluations, preventive and safety measures 		Date of last action	Destroy	2 years
Hazard management							
	6.3	Information and records documenting the presence, installation, use, neutralisation and / or disposal of hazardous substances on property, premises, facilities and land owned or rented / leased by the University	Hazardous substances include substances as identified in the Hazardous Substances and New Organisms Act 1996 that are: <ul style="list-style-type: none"> • Explosive • Flammable • Oxidising • Toxic • Corrosive • Eco toxic (including asbestos, genetically modified organisms, toxic waste) Example information and records include: <ul style="list-style-type: none"> • Locations • Nature of the hazardous substances • Risk evaluations, preventive and safety measures • Disposal / neutralisation measures • Asbestos register • Inventory 		Date of last action	Archive	10 years
	6.4	Information and records documenting the presence, installation, use, neutralisation and / or disposal of dangerous substances on property, premises, facilities and land owned or rented / leased by the University	Dangerous substances include substances as identified in the Hazardous Substances and New Organisms Act 1996 that are: <ul style="list-style-type: none"> • Defined as a biohazard • Dangerous chemicals • Controlled drugs Example information and records include: <ul style="list-style-type: none"> • Registers • Inventories • Locations • Nature of the hazardous substances • Risk evaluations, preventive and safety measures • Disposal / neutralisation measures • Records of transfer to another institution or licensee 		Date of last action	Destroy	10 years
	6.5	Information and records documenting the presence of-infectious material	Example information and records include: <ul style="list-style-type: none"> • Registers • Procedures • Maintenance and repair work • Incident and accident investigation records 		Date of last action	Destroy	10 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	6.6	Information and records documenting the presence and management of radioactive materials	Example information and records include: <ul style="list-style-type: none"> • Receipts • Procedures • Inventories • Receipts and inventories • Written local rules for the safe use of material • Incident and accident investigation records • Written emergency procedures 	Does not include: <ul style="list-style-type: none"> • Health monitoring 	Date of last action	Destroy	10 years
	6.7	Information and records documenting the use of X-ray analytical equipment	Example information and records include: <ul style="list-style-type: none"> • Registers • Procedures • Maintenance and repair work • Written local rules for the safe operation of equipment • Incident and accident investigation records • Written emergency procedures 		Date of last action	Destroy	10 years
Health and safety and welfare							
	GDA6/3.5.7	Information and records relating to the administration and delivery of the occupational safety and health programme	Example information and records include: <ul style="list-style-type: none"> • Employee welfare and support services such as safety administration • Vaccination • Workplace support services (employee counselling) • Employee assistance programmes (EAP) • Near miss reports 		Date of last action	Destroy	7 years
	6.8	Information and records outlining occupational health and safety issues in a separate employee file that contains information summarised or reported elsewhere or records of staff who worked in facilities maintenance, construction, engineering workshops, or with asbestos	Example information and records include: <ul style="list-style-type: none"> • Accident compensation claims / returns • Incident, accident reporting • Employee health information • Employee health monitoring • Employee exposure monitoring • Asbestos monitoring 		After date of last employment or as required by individual agreements with ACC	Destroy	40 years
	6.9	Information and records documenting accident and incident reporting for staff who do not work in facilities maintenance, construction, engineering workshops, or with asbestos	Example information and records include: <ul style="list-style-type: none"> • Notification • Description of event • Investigation 		Date of last action	Destroy	7 years or such period contractually agreed with ACC, whichever is longer.
Laboratory management							
	6.10	Information and records relating to the approval of the laboratory and containment facilities by oversight bodies (e.g. Ministry of Primary Industries)	Example information and records include: <ul style="list-style-type: none"> • Approval documentation 		Date of last action	Destroy	7 years
	6.11	Information and records relating to the use and management of laboratory equipment	Example information and records include: <ul style="list-style-type: none"> • Autoclave boiler safety records • Biohazard hood records including compliance certificates 		Date of last action	Destroy	7 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Planning and training							
	6.12	Information and records that support activities involved in developing plans and strategy	Example information and records include: <ul style="list-style-type: none"> • Requirements, undertaking research, consulting • Drafts and working papers • Safety-in-design material 		Date of last action	Destroy	Until administratively no longer required
	GDA6/3.5.1	Information and records documenting approved health and safety plans	Example information and records include: <ul style="list-style-type: none"> • Final approved plans 		Date of last action	Destroy	7 years
	6.13	Information and records relating to the education, training and raising awareness on health and safety matters to staff and students	Example information and records include: <ul style="list-style-type: none"> • Campaigns • Departmental Training • Induction, staff orientation • Training programme development • Laboratory training records • Health and safety representatives training • Training records • Attendance register 		Date of last action	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
7. HUMAN RESOURCES							
This class covers information and records created and used to support human resources and personnel management processes and activities within the University, from group level to University-wide.							
Routine administration							
	7.1	Information and records documenting routine human resources administration and operations, transactions, processes, procedures etc.	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Low level human resources administration and reporting • Routine employment related information requests • Routine correspondence • Employee departure administration (e.g. exit interviews) • Incomplete forms • Minor and routine employment relations matters • Routine recruitment records (advertisements, interview panel requests, interview notes) • Unsuccessful applicant data • Routine human resources returns to external organisations • Administrative records that facilitate travel for university employees that do not need to be kept for accounting purposes (such as travel applications, initial and facilitative correspondence and requests for information with / from travel agents, hotels, travel) clubs etc. • Day to day discussions with Unions on administrative issues 	<p>Does not include:</p> <ul style="list-style-type: none"> • Privacy and or Official Information Act requests. See Engagement and Communications, Class 3 	Date of last action	Destroy	Until administratively no longer required
Human resources and personnel operations							
	7.2	Information and records that support routine operational human resource and personnel management activities	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Employer assistance to employee groups, e.g. employee social club, employee sports teams etc. • Attendance and leave management • Routine recruitment e.g. position justifications, job evaluation, contract templates, job evaluation • Desk files • Records that relate to the employment, establishment of positions, organisational and staffing structures that are not covered by other classes (including the records of staff where there is no remuneration received) • Routine records of University administered superannuation/retirement schemes • Administration of accommodation and housing assistance • Minor negotiations, and discussions with unions • Staff training programmes/training needs analysis • Organisation culture programme implementation plans • Employee performance management • Case files for misconduct, grievances, disputes and dismissals 	<p>Does not include:</p> <ul style="list-style-type: none"> • Information placed in personnel files • Student attendance records 	Date of last action	Destroy	7 years
Associations							
	7.3	Information and records relating to non-financial aspects of associations to which employees belong	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Information from organisations • Correspondence arranging membership • Union / employment relations education leave entitlements 	<p>Does not include:</p> <ul style="list-style-type: none"> • Information placed in personnel files 	Date of last action	Destroy	2 years
Awards and honours (employees)							
	GDA6/3.3.2	Information and records covering University's nomination of employees for significant national and international honours and awards	<p>Example information and records include:</p> <ul style="list-style-type: none"> • New Zealand's Honours awards • International awards • Awards from non-government organisations 			Archive	10 years after date of last action
	7.4	Information and records documenting staff awards	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Register of staff award schemes and award recipients • Teacher awards • Staff excellence • Research excellence 	<p>Does not include:</p> <ul style="list-style-type: none"> • Information placed in personnel files • Records of the awarding Committee 	Date of last action	Destroy	Until administratively no longer required

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Grievances, disputes and dismissals							
	7.5	Information and records related to preliminary/fact-finding investigations of misconduct that were not proceeded with and disciplinary matters where a staff member is found not to have committed a breach (e.g. the allegations have been found to be false, vexatious or misconceived or could not be proved)	This includes unsubstantiated allegations. Example information and records include: • Advice of allegation and response	Does not include: • Individual case files, see sub-class 7.2	Date of last action	Destroy	3 months
	7.6	Information and records documenting the investigations and the outcome of personnel misconduct cases	Example information and records include: • Warning letter placed on a personnel file for a specified period • Reports • Investigations/appeals records • Signed statements	Does not include: • Individual case files, see sub-class 7.2	Date of last action	Destroy	7 years or such period as individually agreed with the staff member, whichever is shorter
Industrial relations							
	7.7	Information and records documenting significant negotiations, discussions and disputes with unions including but not limited to Tertiary Education Union	Example information and records include: • Minutes of meetings • Significant correspondence • Final, signed collective agreement • Pay and condition negotiations • Industrial action notices such as strike action, stop works, lockouts	Does not include: • Information and records relating to the development and negotiation of individual agreements which will be on the personnel file of the particular staff member	Date of last action	Archive	15 years
Organisational and staffing structures							
	GDA6/3.2.3	Information and records consolidated at a corporate level that document University organisational and staffing structures	Example information and records include: • Consolidated organisational charts • Annual consolidated summaries of employee establishment numbers and structure		Date of last action	Archive	10 years
Performance management and employee assessments							
	7.8	Information and records of the planning and evaluation of employee performance not placed on personnel files	Example information and records include: • Employee performance plans • Performance appraisal forms • Employee performance agreements • Assessment interviews • Performance review reports • Judgments/decisions after performance reviews • Administration of performance management system	Does not include: • Information placed in personnel files	Date of last employment	Destroy	7 years
	7.9	Information and records documenting the formal processes run to promote academics to a higher position e.g. to Senior Lecturer, Associate Professor, Professor	Example information and records include: • Reference checks • Portfolio • Application	Does not include: • Performance management for academic staff members • Information placed on individual personal files	Completion of reconsideration period or appeal process whichever is longer	Destroy	2 years
Personnel files							
	GDA6/3.1.1 GDA6/3.1.2	Personnel files of employees filling senior University roles or received significant national or international honours, achieved high distinction	Example information and records include the personnel files of: • Vice-Chancellor and all those who report directly to the Vice-Chancellor who form part of the tier two senior management structure • Executive Director of the NZVCC (known as Universities New Zealand) • CEOs or equivalent of entities covered by this disposal schedule • Employees who received significant national / academic / literary / sporting awards or honours, and / or achieved high distinction or fame such as Order of New Zealand, Order of Merit, Honorary doctorates, Academic medals, Literary prizes, Emeritus Professor	Does not include personnel files of other staff	After date of last employment	Archive	10 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	GDA6/3.1.3	Personnel files of all other staff not covered by other classes of personnel files	Example information and records include: • Staff personnel files	Does not include visiting student agreements, see Class 12	After date of last employment	Destroy	7 years (Note: records may need to be retained longer for administrative reasons e.g. rights and entitlements to long service leave, superannuation etc.)
	7.10	Personnel files of employees killed or seriously injured while on duty	Example information and records include: • Records of employees who in the course of their duties are killed or receive injuries that result in permanent disability or serious injury.		Date of last action	Archive	10 years
	GDA6/3.1.4	Information and records that summarise employee histories	Example information and records include: • Summaries of employee histories • Summaries of personnel history from information systems documenting employee details • Indices and registers • Personal file cover sheets (remove from personal files) • Employee summary sheets • Service schedules • Staff, salary and service records cards • Other summary records As a minimum requirement Universities are to produce a readily accessible record that contains the following employee information: • Name • Employment Location • Date of birth • Positions held and salary • Dates of employment If readily able to be produced, then the following information should also be contained in the employee summary information records: • Marital status • Gender • Occupational grading level • Educational qualifications • Superannuation service summary	NOTE: If the University is unable to easily produce the personnel history summaries containing the above information, then it should contact Archives New Zealand before implementing this sub-class NOTE: For most Universities this information in more recent years will be in electronic form	Date of last action	Archive	10 years
Recruitment and selection							
	GDA6/3.2.1	Information and records of significant recruitment initiatives and programmes sponsored by the University	Example information and records include: • Summary records on programme establishment / success • High-level / key information relating to Māori and Pasifika recruitment • Monitoring of programme effectiveness • Targeted recruitment		Date of last action	Archive	10 years
Superannuation and medical schemes							
	GDA6/3.5.4	Information and records of a significant nature documenting the University's direct management of employee superannuation and medical schemes	Example information and records include: • All trust deeds and rules • Trustee minute books • Funds' annual accounts • Investment policy • Investment records • Actuarial valuation reports		Date of last action	Archive	10 years
Vetting							
	7.11	Information and records relating to the vetting of potential staff	Example information and records include: • Vetting		Date of last action	Destroy	1 year

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
8. INFORMATION MANAGEMENT, INFORMATION TECHNOLOGY SYSTEMS AND SERVICES							
This class covers information and records created and used as part of the activities relating to the creation, monitoring, maintenance, administration etc. of information technology and information management systems and services							
Routine administration and operations							
	8.1	Routine administrative information and routine operational records that support information management, technology systems and services activities	Example information and records include: <ul style="list-style-type: none"> • Day to day management of electronic storage • Database management • Administration of duplication, reproduction and copying services • Request and allocation of equipment and services • Test scripts, fixes, action reports • Routine operational domain name registration • Knowledge base articles • Unsuccessful requests for proposals (RFP) • Non-user generated files • Incomplete forms • Development and test sites • Hacking reports • Mail, courier and distribution • Lecture recording setup • Routine copying of material as part of the day-to-day library/archives service 		Date of last action	Destroy	Until administratively no longer required
Business intelligence							
	8.2	Information and records documenting business intelligence and analytic activities that are not pursued and result in no further treatment or action	Example information and records include: <ul style="list-style-type: none"> • Anonymised reports • Summary reports • Raw data, processed datasets, finalised dataset 	Does not include: <ul style="list-style-type: none"> • Data held in the source systems or data warehouse 	Date of last action	Destroy	Until administratively no longer required
	8.3	Information and records documenting business intelligence and analytic activities that are pursued and result in further treatment or action	Example information and records include: <ul style="list-style-type: none"> • Anonymised reports • Summary reports • Raw data, processed datasets, finalised dataset 	Does not include: <ul style="list-style-type: none"> • Data held in the source systems or data warehouse 	Date of last action	Destroy	7 years
Copyright management							
	8.4	Information and records documenting successful requests for material owned or used by the University	Example information and records include: <ul style="list-style-type: none"> • Requests by external organisations for permission to reproduce either published or unpublished material in which the University owns copyright • Successful requests to reproduce published material held under copyright by another organisation or individual • Signed licence agreements and the interpretation of the Copyright Act to enable specific uses of material 		Date of last action	Destroy	50 years
	8.5	Information and records documenting unsuccessful requests for material owned or used by the University			Date of last action	Destroy	2 years
	8.6	Information and records documenting use of or infringements of copyright by the University, or of the University's copyright	Example information and records include: <ul style="list-style-type: none"> • Infringements or breaches of the University's copyright which do not proceed to litigation. Includes investigations, notifications of breaches, negotiations and takedown notices. 		Date of last action	Destroy	7 years
	8.7	Information and records documenting licence negotiations and returns to rights owners or agents	Example information and records include: <ul style="list-style-type: none"> • Annual returns to rights holders or agents (e.g. CLL) • Transactional licence agreements • Licensing of photos or images for use on webpages and brochures 		Date of last action	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Information governance							
	8.8	Information and records that show the frameworks, accountabilities and strategic management of enterprise wide data governance	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Enterprise architecture framework • Information asset register • Data custodianship • Data security classification framework • Information security architecture • Identity and access management framework • Business intelligence strategies • KPIs and metrics frameworks 		After framework has been superseded	Destroy	10 years
	8.9	Information and records associated with creating, maintaining and evaluating control mechanisms for systems	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Classification systems • Compliance systems • File structure lists • Data dictionary, (e.g. entity relationship and data flow diagrams) • Data structure (e.g. files, trees, tables) • Schema (e.g. file classification schemes) • In-house systems development and customisation (e.g. information software development) • Information architecture • Thesaurus • Registers • Identity management 	<ul style="list-style-type: none"> • Does not apply to the records that are managed WITHIN information systems. When a system becomes defunct, all electronic records must be migrated to another system or remain accessible in the defunct system for the retention period that is appropriate for the type of records within the system. 	After system is decommissioned and all records contained in the system are either migrated to another system or have been legally destroyed or transferred in accordance with this schedule	Destroy	When administratively no longer required
Internet / intranet management							
	GDA6/8.1.7	Information and records relating to the ongoing administration / facilitation / management of University internet and intranet sites	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Day-to-day web content updates • Management and development meetings • Minor development and design 		Date of last action	Destroy	Until no longer administratively required
	8.10	Information and records that are summarised or of significance detailing the development and design of University sites, as well as significant site updates.	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Records or projects relating to major redesign of web sites 	<p>Does not include:</p> <ul style="list-style-type: none"> • Actual online websites and webpages 	Date of last action	Archive	10 years
IT Infrastructure management							
	8.11	Information and records relating to the establishing and management of IT technical and storage infrastructure	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Enterprise infrastructure and storage hardware e.g. Data Centre, tape, disk and cloud storage, data migration 		Date of last action	Destroy	7 years
	8.12	Information and records documenting management of IT devices bought or leased by the University	<p>Example information and records include:</p> <ul style="list-style-type: none"> • IT device documentation (including lecture room ITC equipment) • Replacement documentation • Mobile phones and tablets • Rollout planning 	<p>Does not include:</p> <ul style="list-style-type: none"> • Contract for purchase or lease. See Legal, Class 9 	Date of last action	Destroy	2 years
Library and information services							
	8.13	Information and records relating to the operation of library and information services to students, staff and alumni	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Enquiries • Indices and catalogues • Interloan services • Public Catalogues • Reference services • Academic liaison and teaching • Deposit of material into research repository 		Date of last action	Destroy	Until no longer administratively required
	8.14	Information and records documenting the loan transactions of items from the University's and other repositories collections	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Interloan services • Circulation history • Return or retrieval of items from other repositories 		Date of last action	Destroy	Until no longer administratively required
	8.15	Information and records documenting library release authorisation forms for PhD theses	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Approved embargo form • Embargoed thesis management (access) 		Completion of the embargo	Destroy	2 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	GDA6/8.1.4	Information and records documenting the acquisition of library, information and records management materials or services where the tendering process does not apply	Example information and records include: <ul style="list-style-type: none"> • Publication ordering and purchasing • Collection development and maintenance • Deaccessioning of externally sourced holdings (e.g. selling, giving away) • Digitisation programme and processes • Metadata schema • Subscription of journals and databases 		Date of last action	Destroy	7 years
Records disposal decisions							
	8.16	Information and records detailing ultimate disposal decisions for University records (both paper-based and electronic)	Example information and records include: <ul style="list-style-type: none"> • Registers • Transit cards that contain disposal decisions • In-house disposal decisions and schedules • Annotated and electronic lists of records destroyed. 	NOTE: Some records covered by this section may also fall under Information Management Systems and Services: Control and Location Indices/Guides. For example, registers and indices giving disposal details.	Date of last action	Destroy	75 years
Software management							
	GDA6/8.1.1	Information and records surrounding the development of software in-house, as well as modifications to externally sourced software	Example information and records include: <ul style="list-style-type: none"> • Programmes, applications • Configuration files • Set up routines • Installers • Patches • Executables etc. 	NOTE: If removal / destruction of software results in the loss of data / metadata, the original version (and data) must be kept until the data is legally allowed to be destroyed under the recommendations in this schedule.	Once software is defunct and / or new version installed	Destroy	Until no longer administratively required
	GDA6/8.1.1	Information and records that provide evidence of software updates and their installation / rollout for systems developed in-house or for off-the shelf systems		NOTE: If removal / destruction of software results in the loss of data / metadata, the original version (and data) must be kept until the data is legally allowed to be destroyed under the recommendations in this schedule.	Once software is defunct and / or new version installed	Destroy	Until no longer administratively required
	8.17	Information and records relating to the subscription and renewal of software licenses	Example information and records include: <ul style="list-style-type: none"> • Cloud based systems • Licence fee documentation 	Does not include: <ul style="list-style-type: none"> • Licence control systems / asset management system 	After licence has expired	Destroy	7 years
System development / establishment							
	8.18	Information and records that describe the facilitation of in-house or off the shelf system development	Example information and records include: <ul style="list-style-type: none"> • Emails arranging meetings • Correspondence discussing request for proposal (RFP) responses • Employee feedback etc. • Project Management 		Date of last action	Destroy	2 years
	GDA6/8.1.1	Information and records providing evidence of the in-house development / commission or development / installation / rollout of any information system	Example information and records include: <ul style="list-style-type: none"> • RFPs • Project information • Technical specifications • Development data • Installation planning • Upgrade and modification documentation • Handover documentation • Sign offs to do with internal systems, intranet, website, system upgrades • Solutions architecture and integrated design etc. • Functional specifications • Use cases 		After system is decommissioned and all records contained in the system are either migrated to another system or have been legally destroyed or transferred in accordance with this schedule	Destroy	Until no longer administratively required

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
System implementation, management and maintenance							
	8.19	Information and records that document the process of installing a new system, including services delivered by external providers including cloud-based systems	Example information and records include: <ul style="list-style-type: none"> • Installation planning • Solutions architecture and integrated design 		Date of last action	Destroy	7 years
	GDA6/8.1.1	Information and records relating to the ongoing management of information systems	Example information and records include: <ul style="list-style-type: none"> • Upgrade and modification documentation • Database management • Substantial change requests • Handover of system 	<ul style="list-style-type: none"> • Does not apply to the records that are managed WITHIN information systems. When a system becomes defunct, all electronic records must be migrated to another system or remain accessible in the defunct system for the retention period that is appropriate for the type of records within the system. 	After system is decommissioned and all records contained in the system are either migrated to another system or have been legally destroyed or transferred in accordance with this schedule	Destroy	When administratively no longer required
	8.20	Information and records relating to the maintenance and upkeep of information systems	Example information and records include: <ul style="list-style-type: none"> • System logs • Patch logs • Minor change requests 	<ul style="list-style-type: none"> • Does not apply to the records that are managed WITHIN information systems. When a system becomes defunct, all electronic records must be migrated to another system or remain accessible in the defunct system for the retention period that is appropriate for the type of records within the system. 	Date of last action	Destroy	2 years
	8.21	Information and records relating to IT security	Example information and records include: <ul style="list-style-type: none"> • Response planning for cyber-security attack • Incident management and response • User access logs • User provisioning records 		Date of last action	Destroy	7 years
User guides and training manuals							
	8.22	Information and records documenting user guides and training material for external and "off the shelf" systems	Example information and records include: <ul style="list-style-type: none"> • User guides and/or training manuals for externally developed software, hardware, programmes, systems etc. 	NOTE: If user guides refer to University-developed software for which deletion will result in the eradication of data / metadata, the guide along with the original version (and data) must be kept until the data is legally allowed to be destroyed under the recommendations of this schedule	After system is decommissioned and no longer required for reference purposes. e.g. for the life of the system plus any archived documents / programmes	Destroy	Until no longer administratively required

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
9. LEGAL							
This class covers information and records created and used as part of the legal activities and processes by / for the University such as legal monitoring of issues and incidences that have impact on University business and maintenance of legal agreements, contract management etc.							
Routine administration							
	9.1	Information and records outlining the administration and facilitation of legal processes and functions	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Contract templates • Administration and routine correspondence • Background information for contract or agreement negotiation 	<p>Does not include:</p> <ul style="list-style-type: none"> • Administration of human resources contracts relating to employees. See Human Resources, Class 7 	Date of last action	Destroy	Until administratively no longer required
Certificates of title and ownership							
	9.2	Information and records documenting deeds / certificates of title and ownership	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Certificates and other documents of title 		After sale or other disposal of property	Destroy	10 years
Contract negotiation and agreements							
	9.3	Information and records outlining the negotiations, facilitation, development of minor contracts	<p>Minor contracts are low-level / routine contracts and agreements that are those that have low financial value and face minimal compliance / risk management issues such as low- level negotiations and partnership proposals.</p> <p>Example information and records include:</p> <ul style="list-style-type: none"> • Correspondence between parties • Final signed agreement • Contract variations • Development of IT maintenance agreements • Minor / routine outsourcing contract documentation • Routine ACC service contracts • Summary documentation of provider contracts • Routine contracts and specifications for supply, purchase, services, rentals 	<p>Does not include:</p> <ul style="list-style-type: none"> • Administration of human resources contracts relating to employees. See Human Resources, Class 7 • Insurance agreements or claim management. See Audit, Quality and Risk Management, Class 1 	After all conditions of the contract have been met and administratively no longer required for reference or legal purposes	Destroy	7 years
	9.4	Information and records outlining the negotiations, facilitation, development of major contracts	<p>Major contracts are high level corporate / governance contracts and agreements, contracts that use a significant amount of funding and/or have high levels of associated compliance / risk management. Example information and records include:</p> <ul style="list-style-type: none"> • Correspondence between parties • Negotiation documents • Final contract / agreement • Contract with TEC for targeted delivery of programmes • Original purchase or disposal contract for significant capital assets • Successful partnership agreements with significant business partners or service agreements with service providers that involve significant resourcing • International consortia agreements • Funding agreements • Land purchase agreements • Agreements with Iwi 		After all conditions of the contract have been met and administratively no longer required for reference or legal purposes	Archive	15 years
Lease agreements							
	9.5	Information and records documenting lease agreements	<p>Lease agreements may include:</p> <ul style="list-style-type: none"> • Leasing agreements and contracts on significant capital items • Lease and rental agreements on tenanted University properties and properties leased by the University <p>Example information and records include:</p> <ul style="list-style-type: none"> • Signed lease and rental agreements and revisions 		After lease terminated / expired	Destroy	12 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Legal action, litigation, claims and disputes involving the University							
	9.6	Information and records of minor legal action directly involving the University that are not held in the court or some other judicial body's records	<p>Legal action may include:</p> <ul style="list-style-type: none"> • Court cases • Dispute and mediation hearings <p>Example information and records include:</p> <ul style="list-style-type: none"> • Legal advice • Background summaries • Negotiation before formal action • Briefings and instructions to lawyers • Out-of-court settlements • University-annotated copies of court records 	Does not include: • Employee grievances, disputes and dismissals. See Human Resources, Class 7	Date of last action and administratively no longer required for reference purposes	Destroy	10 years
	9.7	Information and records of significant legal action directly involving the University that are not held in the court or some other judicial body's records	<p>Legal action may include:</p> <ul style="list-style-type: none"> • Court cases • Dispute and mediation hearings <p>Example information and records include:</p> <ul style="list-style-type: none"> • Reports • Briefs • Reviews or similar research • Legal advice • Background summaries • Negotiation before formal action • Briefings and instructions to lawyers • Out-of-court settlements • University-annotated copies of court records 	Does not include: • Employee grievances, disputes and dismissals. See Human Resources, Class 7	Date of last action and administratively no longer required for reference purposes	Archive	10 years
Legal opinions and advice							
	GDA6/2.2.3	Information and records that review and comment on minor / routine University internal processes or decision making	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Commentary on University reports to external agencies such as the Privacy Commissioner etc. • Reviews of project finance or procurement • Reviews of research findings 		Date of last action	Destroy	7 years
	GDA6/2.2.2	Information and records that review and comment on major University internal processes or decision making	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Legal opinions and advice on significant legal issues and events that are escalated to top management or to legal action • Precedent-setting legal opinions relating to university policies and/or practices within the University 		Date of last action	Archive	10 years
Legislation							
	9.8	Information and records of University submissions on legislation, regulations or local body by-laws that will have little or no impact on the University's functions, or activities	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Submissions that do not recommend legislative changes or amendments 		Date of last action	Destroy	2 years
	GDA6/2.2.1	Information and records of major University submissions on legislation, regulations or local body by-laws that will have impact on the University's functions, activities and / or jurisdictions	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Written submission by University on particular legislation • Management briefing notes / papers for University employee attendance at Cabinet and Select Committees 		Date of last action	Archive	10 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Property access and concession rights							
	9.9	Information and records of agreements granted by or to the University that give fixed-term property access and concession rights	<p>Property access and concession rights may include:</p> <ul style="list-style-type: none"> • Rights of way • Easements • Concessions • Land encroachments • Irrigation agreements <p>Example information and records include:</p> <ul style="list-style-type: none"> • Agreements • Associated documents (e.g. plans, diagrams) 	<p>Does not include:</p> <ul style="list-style-type: none"> • Lease agreements. 	After expiry of the agreement	Destroy	2 years
	9.10	Information and records of agreements granted by or to the University that give in perpetuity property access and concession rights	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Rights of way • Easements • Concessions • Land encroachments • Irrigation agreements <p>Example information and records include:</p> <ul style="list-style-type: none"> • Agreements • Associated documents (e.g. plans, diagrams) • Covenants 		After sale or other disposal of property	Destroy	7 years
Statutory and regulatory instruments							
	9.11	Information and records documenting statutory and regulatory instruments	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Firearm authorisation forms and approval • Liquor licensing • Drone regulations 		Date of last action	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
10. MANAGEMENT OF ACADEMIC PROGRAMMES							
This class covers information and records created and used to support the management of courses of study. Note: This excludes teaching notes as they are not covered by the Public Records Act.							
Routine administration							
	10.1	Routine administrative information and records that support academic programme management activities	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Programme or course proposals that were not approved • Examiner / assessor nomination forms • Invigilator timetables • Class rolls • Administration for review panels • PhD oral arrangements • Special/alternative arrangements 		Date of last action	Destroy	Until administratively no longer required
Assessment management							
	10.2	Information and records relating to the management of the process relating to examinations and assessment	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Pre-assessment and post-assessment moderation of assessment item • Examiners reports 	<p>Does not include:</p> <ul style="list-style-type: none"> • Routine administration of the setting up of examinations (e.g. rooms bookings, invigilator timetables) 	Date of last action	Destroy	7 years
	10.3	Information and records relating to the grading/marking of individual assessment components of a subject or course , including requests from students that special consideration be given due to circumstances which affected their performance in an examination or other assessment activity and records of appeals and recounts relating to grades	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Attendance records for courses with grade component for attendance • Internal assessment grades • Correspondence • Aegrotat • Appeals relating to grades • Recount information 	<p>Does not include:</p> <ul style="list-style-type: none"> • Recording the successful final decision (as this is part of the academic transcript) 	Date of last action	Destroy	7 years
Curriculum development and approval (institutional approval process, from Committee on University Academic Programmes/school/department/discipline to governing body)							
	10.4	Information and records considered to be working papers relating to curriculum development and approval	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Correspondence • Notes • Draft proposals not submitted through the approval process • Feedback on the proposal via the Committee on University Academic Programmes 	<p>Does not include:</p> <ul style="list-style-type: none"> • Committee records or the master set of approved curricula 	Date of last action	Destroy	Until administratively no longer required
	10.5	Information and records of the approval process	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Agendas • Minutes • Graduating Year Reviews 		Date of last action	Archive	10 years
	10.6	Information and records documenting approved curricula	<p>This includes curricula approved by Committee on University Academic Programmes (CUAP) as well as by Academic Board, Academic Committee, Senate or equivalent</p> <p>Example information and records include:</p> <ul style="list-style-type: none"> • Master set • Course descriptions 	<p>Does not include:</p> <ul style="list-style-type: none"> • Copies of curricula which were not approved • When the full papers and reports are included in a governance committees records 	Date of last action	Archive	10 years
	10.7	Information and records documenting submissions to the Committee on University Academic Programmes (CUAP) on other University's programme proposals	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Reviewers comments 		Date of last action	Destroy	Until administratively no longer required
Curriculum and programme review							
	10.8	Information and records relating to minor reviews of the curricula and programmes, including working papers	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Committee records • Reference/advisory/industry groups correspondence • Notes • Course alteration proposals <p>Note: summary information of the result of reviews and the final report becomes part of the records of Academic Board / Senate (or equivalent)</p>	<p>Does not include:</p> <ul style="list-style-type: none"> • The master set of approved curricula 	Date of last action	Destroy	2 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	10.9	Information and records relating to major reviews of the curricula and programmes, including working papers	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Committee records • Reference/advisory/industry groups correspondence • Notes • Course alteration proposals <p>Note: summary information of the result of reviews and the final report becomes part of the records of Academic Board / Senate (or equivalent)</p>	<p>Does not include:</p> <ul style="list-style-type: none"> • The master set of approved curricula 	Date of last action	Destroy	10 years
Equity programmes and services							
	10.10	Information and records relating to planning, development, delivery and review of equity programmes (including Māori, Pacific, Disability, LGBTQIA ((lesbian, gay, transgender, queer, intersex, asexual) rainbow, refugees)	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Evaluation material • Programme plan • Reviews <p>Note: outcomes of any reviews or changes in practices are approved by Academic Board / Senate (or equivalent), Senior Leadership and or Council as appropriate</p>	<p>Does not include:</p> <ul style="list-style-type: none"> • Records on individual students 	Date of last action	Destroy	10 years
Management of continuing education programmes							
	10.11	Information and records documenting the delivery of professional development, short courses, special interest topics, international and domestic study tours, online open access courses	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Annual programme • Reviews • Programme development • Enrolments and completions 	<p>Does not include:</p> <ul style="list-style-type: none"> • Credit bearing courses. See Student Administration, Class 15 	Date of last action	Destroy	7 years
Quality and accreditation management							
	10.12	Information and records relating to the assessment of data/feedback on course delivery	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Survey/data collection summary results • Findings of surveys • Reporting, recommendations and action taken • Course evaluations 	<p>Does not include:</p> <ul style="list-style-type: none"> • Personal information/individual response forms 	Date of last action	Destroy	10 years
	10.13	Information and records relating to the development and monitoring of academic quality	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Self-evaluations, • Teaching and learning plans, • Graduate profiles, • Student retention and completion statistics 		Date of last action	Destroy	10 years
	10.14	Information and records relating to the management of external accreditation	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Accreditation management • Monitoring of accreditation • Reporting to accreditors 	<p>Does not include:</p> <ul style="list-style-type: none"> • Student work kept as exemplars for the purposes of accreditation 	Expiry of accreditation approval	Destroy	7 years
Student engagement and learning							
	10.15	Information and records created for the purposes of understanding and optimising learning and the environments in which it occurs	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Summary learning analytics reports 	<p>Does not include:</p> <ul style="list-style-type: none"> • Surveys 	Date of last action	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
11. PROPERTY AND FACILITIES MANAGEMENT							
This class covers information and records created and used to support the planning, design, construction, maintenance and management of the University's built environment and associated operational services							
Routine administration							
	11.1	Routine administrative information and records that support property and facility management activities	Example information and records include: <ul style="list-style-type: none"> • Routine correspondence • Reporting arrangements • Background to building codes and building warrants of fitness etc. • Interim metrics and dashboards • Security activity logs • Catering arrangements and services • Catering equipment (tables, ovens etc.) • Administration of cafes 		Date of last action	Destroy	Until administratively no longer required
Property and facilities operations							
	GDA6/5.1.1 GDA6/5.1.13	Information and records that support routine operational property and facility management activities	Example information and records include: <ul style="list-style-type: none"> • Fixed Asset Register • Code of compliance facilitation • Defect notices • Background to building codes and building warrants of fitness • Records of minor construction, works and engineering projects are those that are standard everyday construction type work of a minor nature or alterations (e.g. fit-outs, landscaping / gardening, fencing, routine maintenance an upkeep, office refurbishment / redecorating) • Information covering the leasing and rental of property owned, administered or leased by the University such as correspondence with tenants, rent reviews • Building specifications of rented / leased property • For plans and drawings (e.g. site elevations) of rented property • Maintenance and repairs of fixture and fittings, e.g. office furniture, furnishings, floor coverings, etc. • Equipment/plant history records • Stock records and inventories • Reports on indoor environment quality, energy, transport, water, materials, emissions • Reports on carbon neutrality • Provision of building services (e.g. cleaning, heating, refrigeration, power, gardening, lifts, pumping, lighting, pest control, furnishings, air-conditioning) • Rent /rates and valuations • Provision of accommodation (e.g. layout planning, space allocation) • Building warrant of fitness • Fire protection (e.g. fire safety certificates, alarm testing) 		Date of last action	Destroy	7 years
Compliance							
	11.2	Information and records that document major capital assets in consolidated form for legal and compliance requirements including compliance certification	Example information and records include: <ul style="list-style-type: none"> • Consolidated significant Capital Assets register listing buildings • Significant plant and equipment etc. • Code of Compliance • Certificate of Public Use 		Date of last action	Archive	10 years
	11.3	Information and records documenting regulatory compliance	Example information and records include: <ul style="list-style-type: none"> • Consents applied for under the Resource Management Act 1991 (RMA) • Building compliance / certification • Seismic assessment • Heritage building management 	Does not include <ul style="list-style-type: none"> • Code of Compliance • Certificate of Public Use 	After the building has been demolished or sold	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Construction, works and engineering							
	GDA6/5.1.2	Information and records documenting major construction, works and engineering projects	<p>Major construction, works and engineering projects are those that involve large capital expenditure, that are purpose-designed and built, that result in University ownership of a significant capital asset, or involve construction of a first-type standard design. For example:</p> <ul style="list-style-type: none"> • teaching spaces / learning spaces • offices • building / structures that received architectural / design awards • properties and sites of national significance • project records containing information of historic / social / architectural significance (e.g. historical / heritage building restoration / conservation, significant maintenance of historical / heritage sites and monuments) <p>Example information and records include:</p> <ul style="list-style-type: none"> • Records of methods and designs used • Summary project progress and inspection reports by architects and contractors, environmental reports • Project documents • Drawings, plans, as built etc. • Drawings / plans, records of methods and designs used • Project progress and inspection summary reports • Approval certificates • Vendor documents • Building information models (BIM) and Computer Aided Drawings (CAD) drawings 	<p>Does not include</p> <ul style="list-style-type: none"> • Legal agreements. See Legal, Class 9 	Date of last action	Archive	10 years
Flora/fauna management							
	11.4	Information and records relating to the handling, relocation or disposal of protected flora and fauna under the control of the University	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Animal species registers • Animal surveys • Plant species register • Plant surveys 		Date of last action	Destroy	2 years
Hazardous substances							
	11.5	Information and records documenting the management of hazardous substances	<p>Includes asbestos, toxic waste on property, premises, facilities and land owned or rented / leased by the university.</p> <p>Example information and records include:</p> <ul style="list-style-type: none"> • Locations • Nature of the hazardous substances • Risk evaluations, preventive and safety measures • Disposal / neutralisation measures • Asbestos register 	<p>Does not include:</p> <ul style="list-style-type: none"> • Radioactive material. See Research Management, Class 12 	Date of last action	Archive	10 years
Management of the property portfolio							
	11.6	Information and records documenting minor activities related to the management of property, assets, buildings	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Building registration, naming, numbering • Accommodation moves (e.g. planning and organisation, new building layouts) • Directional signage • Booking rooms and venues (e.g. internal room booking, notifications, setups and forms) • Notification of plant, electrical or reticulation shutdowns • Accommodation moves 		Date of last action	Destroy	2 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Security							
	11.7	Information and records of the routine management and administration of security (both physical and electronic) of buildings and facilities	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Issuing of security passes/access cards/keys • Key registers • Guard rosters • Security check rosters and reports • Monitoring access • Monitoring of visitors (e.g. visitors' log, contractors' log) 		Date of last action	Destroy	2 years
	11.8	Information and records of compliance activities associated with the management and administration of security (both physical and electronic) of buildings and facilities	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Installation of security equipment • Security breaches/infringements 		Date of last action	Destroy	7 years
	GDA6/5.1.12	Information and records documenting University surveillance	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Surveillance Camera Tapes • Audio recordings of security guards 		Date of last action	Destroy	Until administratively no longer required
Site plans and building details							
	GDA6/5.1.4	Information and records documenting master version of plans and buildings of University-owned property	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Building specifications and drawings such as floor plans, engineering plans, site elevations • Map and plan control documentation such as registers and indexes • As built and final specifications 		Date of last action	Archive	10 years
Stores, supplies, fixtures, fittings and plant / equipment							
	GDA6/5.1.13	Information and records documenting the installation, maintenance, storage, of stores, supplies and equipment	<p>Also includes information and records relating to maintenance and repairs of fixture and fittings, e.g. office furniture, furnishings, floor coverings, etc.</p> <p>Example information and records include:</p> <ul style="list-style-type: none"> • Equipment maintenance • Equipment/plant history records • Stock records and inventories • Fixture and fittings registers/lists 		Date of last action or when the warranty expires whichever is longer	Destroy	7 years
Traffic and vehicle management							
	11.9	Information and records relating to traffic and vehicle management	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Plans for parking spaces • Applications for parking permits • Wheel clamping • Vehicle damage reports • Fleet / vehicle maintenance • Fleet card records • Vehicle running sheets etc. 		Date of last action	Destroy	2 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
12. RESEARCH MANAGEMENT							
This class covers information and records associated with managing and administering research. Note: information and records covering commercialisation activities of research are also included in Class 9 (Legal) and 5 (Governance).							
Routine administration							
	12.1	Information and records relating to the administration activities to support approved research projects	Example information and records include: <ul style="list-style-type: none"> • Applications • Approvals • Project resource allocations • Allocation of ISBN numbers for publications • Correspondence with other research groups, research partners and stakeholders • Project progress reports • Financial reports 	Does not include: <ul style="list-style-type: none"> • Contracts. See Legal, Class 9 	After project completed	Destroy	7 years
	12.2	Information and records documenting unsuccessful research applications	Example information and records include: <ul style="list-style-type: none"> • Unsuccessful applications • Correspondence concerning applications 		Date of last action	Destroy	2 years
Contestable research funding management							
	12.3	Information and records relating to the administration and management activities to support contestable research funding	Example information and records include: <ul style="list-style-type: none"> • Correspondence with government and or funding agencies • Evidence portfolios • Peer esteem items • Record of the research output • PBRF 	Does not include: <ul style="list-style-type: none"> • Funding for specific research projects 	Completion of funding round	Destroy	7 years
Controlled Drugs and Restricted Veterinary Medicines							
	12.4	Information and records of the management of controlled drugs and restricted veterinary medicines	Example information and records include: <ul style="list-style-type: none"> • Drug registers • Receipts • Destruction records • Correspondence with Ministry of Health • External audit reports • Licensing • Incidents and resulting investigations • Institutional Drug Administration Orders • Transfer of material to another licensee • Institutional operating plans • Veterinary Operating Instructions 	Does not include: <ul style="list-style-type: none"> • Neutralisation or destruction 	Date of last action	Destroy	7 years
Ethics management							
	12.5	Information and records documenting assessment of the appropriateness of research on ethical grounds in relation to such areas as human and animal ethics, biosafety and radiation safety	Includes records of Ethics Committee (including agendas and minutes) Example information and records include: <ul style="list-style-type: none"> • Applications • Assessments • Approvals • Draft Consent notices • Complaints and resulting investigations • Project reports 	Does not include: <ul style="list-style-type: none"> • Ethics Committee where minutes are included in reports to Council or sub-Committees of Council. 	After project completed or as determined by the Ethics Committee	Destroy	20 years
Product management and commercialisation							
	12.6	Information and records relating to the registration of patents and ownership of intellectual property where owned in part or completely by the University	Example information and records include: <ul style="list-style-type: none"> • Registration of patents and ownership of intellectual property 	Does not include: <ul style="list-style-type: none"> • Copyright (as is automatic) 	Date of last action	Archive	10 years
	12.7	Information and records relating to use of intellectual property of the University	Example information and records include: <ul style="list-style-type: none"> • Contracts • Licensing • Agreements • Other formal arrangements 		After the conditions of the contract or agreement have been met	Destroy	7 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Research facility management							
	12.8	Information and records relating to the administration activities to support the use of animals in research and teaching and learning	Example information and records include: <ul style="list-style-type: none"> • Licence applications • Breeding management documentation • Requests for animals • Veterinary treatment/prescription records • Veterinary patient files 	Does not include: <ul style="list-style-type: none"> • Ethics approval 	Date of last action	Destroy	7 years
	12.9	Information and records relating to the administration activities to support anatomy and specimen management	Example information and records include: <ul style="list-style-type: none"> • Specimen registers • Acquisition documentation • Storage and management records • Licences to practise anatomy • Disposal records 	Does not include: <ul style="list-style-type: none"> • Actual specimens or tissue 	Date of last action	Destroy	7 years
	12.10	Information and records relating to the administration and management activities to support bequests of human bodies and human tissue for teaching and research purposes	Example information and records include: <ul style="list-style-type: none"> • Original enquiries • Bequest forms • Bequest register 		Date of last action	Archive	25 years
	12.11	Information and records relating to the administration activities to support laboratories / field stations	Example information and records include: <ul style="list-style-type: none"> • Rosters • Instructions for use of facilities • Consumables requests • Cleaning records • Maintenance rosters/requests 	Does not include: <ul style="list-style-type: none"> • Records to be retained for health and safety requirements 	Date of last action	Destroy	2 years
Transitional facilities and/or containment facilities (biosecurity)							
	12.12	Information and records relating to uncleared risk goods or new organisms (including genetically modified organisms)	Example information and records include: <ul style="list-style-type: none"> • Registers of material held • Transfer authority forms • Biosecurity authority/clearance certificate forms 		Date of last action	Destroy	7 years
	12.13	Information and records relating to the management of biosecurity facilities	Example information and records include: <ul style="list-style-type: none"> • Correspondence with Ministry of Primary Industries • External audit reports • Internal audit reports • Licensing • Incidents and resulting investigations • CTO approvals • MPI permits • EPA approvals • Quarantine and containment manual • Training Records 		Date of last action	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
13. RESPONSE TO NATIONALLY SIGNIFICANT EVENTS							
This class covers information and records associated with the University's response to significant events of national importance (e.g. the Canterbury earthquake sequence 2010-2012, and the Christchurch Mosque shootings 2019)							
Routine administration							
	13.1	Routine administrative information and records that support responses to nationally significant events	Example information and records include: <ul style="list-style-type: none"> • Minor correspondence • Address lists • Reference and information-only records • General enquiries from public 		Date of last action	Destroy	Until administratively no longer required
Event response records							
	13.2	Information and records of ad hoc or standing committees relating to event response at both operational and strategic levels	Example information and records include: <ul style="list-style-type: none"> • Meeting minutes • Significant memoranda • Disaster response plans • Documentation reflecting changes in teaching and learning delivery required in response to disaster 		Date of last action	Archive	10 years
	13.3	Information and records of University interaction with stakeholders, local and central government agencies during event response (e.g. local authorities, Ministry of Education, Tertiary Education Commission, local iwi, health boards and/or disaster recovery/response agencies)	Example information and records include: <ul style="list-style-type: none"> • Memoranda of Understanding • Central government directives • Correspondence, web and social media posts detailing the University's status and response 	Does not include: <ul style="list-style-type: none"> • Insurance claims management. See Audit, Quality and Risk Management, Class 1 	Date of last action	Archive	10 years
	13.4	Information and records reflecting and documenting the personal connection and experience of University staff, students and stakeholders to the event	Example information and records include: <ul style="list-style-type: none"> • Projects linking University staff/students with the community to remember or rebuild or repurpose resources • Memorial planning • Remembrance books 		Date of last action	Archive	10 years
	13.5	Information and records that are non-recoverable due to disasters or hazardous contamination	Example information and records include: <ul style="list-style-type: none"> • Records irretrievably damaged due to flood/fire • Records unable to be salvaged from damaged storage areas • Records irretrievably damaged due to mould or harmful contamination <p>NOTE: records considered for destruction under this sub-class may only be destroyed after submitting documentary evidence in support of this recommended action to the Chief Archivist and obtaining their confirmation to proceed.</p>		On receipt of confirmation from the Chief Archivist that this sub-class can be applied to the effected records	Destroy	As soon as practicable

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
14. SPECIALIST SERVICES							
This class covers information and records created and used to support specialist services to external University clients							
Routine administration							
	14.1	Routine administrative information and records that support provision of specialist services	Example information and records include: <ul style="list-style-type: none"> • Minor correspondence • Address lists • Reference and information-only records • General enquiries from public 		Date of last action	Destroy	Until administratively no longer required
Client services							
	14.2	Information and records that document advice given to external clients in a professional capacity	Example information and records include: <ul style="list-style-type: none"> • Call logs of the National Poisons Centre • Radiocarbon dating lab requests 		Date of last action	Destroy	10 years
	14.3	Information and records that document patient information/files where members of the public have elected to be treated by students under supervision and/or by specialist university staff Consistent with Health Information Regulations Consistent with the Health (Retention of Health Information) Regulations 1996.	Includes patient clients e.g. optometry, audiology, podiatry, psychology, nutrition etc. where final year students practice under supervision Example information and records include: <ul style="list-style-type: none"> • Components of the Patient File include but are not limited to: • In-patient/out-patient/consumer/client • Key health information summary • Consents • Correspondence • Assessments • Investigations and results • Diagnoses • Treatment/care/management plans <p>NOTE: Implementation of the discharge action must be carried out in accordance with section 25 of the Public Records Act and Archives New Zealand discharge process.</p>	Does not include: <ul style="list-style-type: none"> • Provision of medical services to students. See Student Services, Class 16 	Date of last provision of service	Destroy / Discharge	10 years
	14.4	Information and records that document patient information/files where children under the age of 18 have been treated by students under supervision and/or by specialist university staff following consent from the caregiver Consistent with the Health (Retention of Health Information) Regulations 1996.	Includes patient clients e.g. optometry, audiology, podiatry, psychology, nutrition etc. where final year students practice under supervision Example information and records include: <ul style="list-style-type: none"> • Components of the Patient File include but are not limited to: • In-patient/out-patient/consumer/client • Key health information summary • Consents • Correspondence • Assessments • Investigations and results • Diagnoses • Treatment/care/management plans <p>NOTE: Implementation of the discharge action must be carried out in accordance with section 25 of the Public Records Act and Archives New Zealand discharge process.</p>	Does not include: <ul style="list-style-type: none"> • Provision of medical services to students. See Student Services, Class 16 	Date of last provision of service	Destroy / Discharge	20 years after contact, or the child reaches 25 (whichever is longer) or 10 years after date of death
	14.5	Information and records that document animal patients that have been treated by students and/or by specialist university staff under supervision	Example information and records include: <ul style="list-style-type: none"> • Animal treatment file 		Date of last provision of service	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
15. STUDENT ADMINISTRATION							
This class covers information and records associated with the administration and management of students. Note: Due to the wide variety of practices relating to what documents are placed on a student file it is not possible to cover these in a single disposal class. To sentence student files it will be necessary to check what records are placed on the file, match those to the relevant disposal classes then apply the longest retention period to the whole file. PLEASE NOTE: that the sub-classes in this class are arranged in the order in which a student typically has interactions with the University.							
Routine administration							
	15.1	Routine administrative information and records that support provision of student administration	Example information and records include: <ul style="list-style-type: none"> • Incomplete forms • Data input forms • Incomplete applications for admission or enrolment 		Date of last action	Destroy	Until administratively no longer required
Student recruitment							
	15.2	Information and records held about a potential student prior to the process of admission	Example information and records include: <ul style="list-style-type: none"> • Biographical information • Programmes / courses interested in 		Date of last action	Destroy	Until administratively no longer required
	15.3	Information and records relating to student recruitment initiatives by the University	Example information and records include: <ul style="list-style-type: none"> • Promotional material • Roadshow arrangements • Documentation about school visits and school partnerships 		Date of last action	Destroy	2 years
Admissions							
	15.4	Information and records that document the development and establishment of admission criteria	Example information and records include: <ul style="list-style-type: none"> • Policy statements 		Date of last action	Archive	25 years
	15.5	Information and records that document applications/offers of admission which are successful and accepted to any course of study offered by the University	Example information and records include: <ul style="list-style-type: none"> • Application forms and supporting documents • Offers of places • Supporting documents • Interviews • Selection tests • Acceptances etc. • Notes made by selection panels reviewing portfolios or performances for the purpose of assessing admission standards (e.g. fine arts, creative writing, music etc.) 	Does not include: <ul style="list-style-type: none"> • Portfolios or exemplars of work either provided by a student or undertaken for the purposes of assessment for admission e.g. for fine arts, creative writing, music etc. 	Date of last action	Destroy	10 years
	15.6	Information and records that document applications/offers of admission which were unsuccessful or not accepted for any course of study offered by the university	Example information and records include: <ul style="list-style-type: none"> • Application forms and supporting documents • Offers of places • Supporting documents • Interviews • Selection tests • Correspondence • Vetting 	Does not include: <ul style="list-style-type: none"> • Incomplete forms 	Date of last action	Destroy	1 year
Vetting							
	15.7	Information and records relating to the vetting of students for admission to programmes	Example information and records include: <ul style="list-style-type: none"> • Vetting forms 		Date of last action	Destroy	1 year
Timetabling							
	15.8	Information and records relating to the compilation of timetables including constraints, available rooms, courses and equipment needed by courses	Example information and records include: <ul style="list-style-type: none"> • Booking forms • Published timetables 		Date of last action	Destroy	Until administratively no longer required
Enrolment							
	15.9	Information and records relating to the administrative arrangements for enrolments	Example information and records include: <ul style="list-style-type: none"> • Mail-outs • Routine emails advising of enrolment dates • Administrative documentation for student ID's • Administrative documentation of finance office hours etc. 	Does not include: <ul style="list-style-type: none"> • Information placed on the student record 	Date of last action	Destroy	Until administratively no longer required

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	15.10	Information and records documenting the enrolment of students into courses or programmes of study	Example information and records include: <ul style="list-style-type: none"> • Enrolment applications • Declarations signed or agreed to by students (for example in which they agree to abide by University Acts, Regulations, by-laws, rules, policies etc.) • Registration Forms • Course Approval Forms • Online enrolment systems • Supporting documentation received as part of verification of student identification 	Does not include: <ul style="list-style-type: none"> • Incomplete forms 	Date of last action	Destroy	10 years
	15.11	Information and records documenting the provision of student identification usually in the form of student ID cards, including university library cards	Example information and records include: <ul style="list-style-type: none"> • Records relating to the provision of student identification 		Date of last action	Destroy	Until no longer required for reference or administrative purposes
Student record maintenance							
	15.12	Information and records documenting additions/amendments to the student record between the period of enrolment and graduation	Example information and records include: <ul style="list-style-type: none"> • Applications for credit • Applications for concessions • Applications for reassignment • Late deletions • Correspondence • Unsatisfactory progress records • Exclusions • Signed student advice • Thesis candidature • Thesis supervisor reports • Thesis progress reports • Academic advice • Programme progress and audit, • Records about placements undertaken for credit 	Does not include: <ul style="list-style-type: none"> • Data input forms where the data is immediately entered into the system of record (e.g. forms to add / drop courses where directly entered into the Student Management System) 	Date of last action	Destroy	7 years
	15.13	Information and records documenting student practicums as part of the academic programme where professional bodies require evidence of a practicum as part of registration into that body.	Example information and records include: <ul style="list-style-type: none"> • Practicum records • Practicum reports • Evidence of placement and dates 		Date of last action	Destroy	50 years
	15.14	Information and records documenting student fitness for practice as required by medical registration professional bodies.	Example information and records include: <ul style="list-style-type: none"> • Fitness for practice records 		Date of last action	Destroy	50 years
Employment services							
	15.15	Information and records relating to linking students with employees for industrial/practical work experience	Example information and records include: <ul style="list-style-type: none"> • Records of enquiry • Liaison with prospective employers • Record of work 		Date of last action	Destroy	7 years
Disciplinary matters							
<i>The activities associated with the disciplinary processes involving individual students. This includes both academic (e.g. plagiarism, cheating etc.) and non-academic misconduct (e.g. damage to property, violence etc.) and covers: investigations, charges, formal inquiries.</i>							
	15.16	Information and records related to preliminary/fact-finding investigations of misconduct that were not proceeded with and disciplinary matters where a student is found not to have committed a breach	This includes where the allegations have been found to be false, vexatious or misconceived or could not be proved unsubstantiated allegations. Example information and records include: <ul style="list-style-type: none"> • Advice of allegation and response • Reports • Investigations • Signed statements 		Date of last action	Destroy	Until administratively no longer required

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
	15.17	Information and records that document disciplinary hearings where a student is found to have committed a breach but minor or no disciplinary action is taken (e.g. caution or reprimand)	Example information and records include: <ul style="list-style-type: none"> • Advice of allegation and response • Reports • Investigations • Signed statements • Inquiry records • Representations • Referrals to external bodies • Records of remedial and/or disciplinary action (including exclusion) • Submissions in relation to disciplinary action 		Date of last action	Destroy	7 years
	15.18	Information and records that document disciplinary hearings where a student is found to have committed a breach and a serious disciplinary action is taken	This includes records concerning investigations, charges, inquiries and punishments and matters that have been referred to external bodies for investigation (e.g. Police). Example information and records include: <ul style="list-style-type: none"> • Advice of allegation and response • Reports • Investigations • Signed statements • Inquiry records • Representations • Referrals to external bodies • Records of remedial and/or disciplinary action (including exclusion) • Submissions in relation to disciplinary action • Register of disciplinary hearings 		Date of last action	Destroy	25 years
	15.19	Information and records relating to the management and administrative processes associated with disciplinary hearings	Example information and records include: <ul style="list-style-type: none"> • Membership lists • Meeting arrangements 	Does not include: <ul style="list-style-type: none"> • Minutes and agendas created by the governance committee 	Date of last action	Destroy	7 years
Fees							
	15.20	Information and records documenting the schedules of fees set	Example information and records include: <ul style="list-style-type: none"> • Fees schedules 	Does not include: <ul style="list-style-type: none"> • Information and records relating to the payment of fees. See Finance and Accounting, Class 4 	Date of last action	Destroy	7 years
Graduation							
	15.21	Information and records relating to the determination and notification to students of their eligibility to graduate	Example information and records include: <ul style="list-style-type: none"> • Application to graduate • Offers to graduate • Lists of students eligible to graduate 	Does not include: <ul style="list-style-type: none"> • Records relating to the request for replacement certificates 	Date of last action	Destroy	2 years
	15.22	Information and records documenting the master record of university graduates (including those who graduate in absentia)	Example information and records include: <ul style="list-style-type: none"> • Roll of graduates 		Date of last action	Archive	10 years
	15.23	Information and records relating to the organisation of the graduation ceremony	Example information and records include: <ul style="list-style-type: none"> • Administrative arrangements (e.g. speakers, venue catering) • Production of award certificates • Transcripts of guest speeches 		Date of last action	Destroy	1 year
	15.24	Information and records that document the graduation programme	Example information and records include: <ul style="list-style-type: none"> • Graduation Event Programme 		Date of last action	Archive	10 years
	15.25	Information and records relating to academic dress protocols	Example information and records include: <ul style="list-style-type: none"> • Policies 		Date of last action	Archive	10 years
	15.26	Information and records that document the awarding of honorary degrees	Example information and records include: <ul style="list-style-type: none"> • Records relating to nomination and recommendation for the award of an honorary degree 		Date of last action	Archive	10 years
	15.27	Information and records that document unsuccessful nominations for honorary degrees	Example information and records include: <ul style="list-style-type: none"> • Records relating to the unsuccessful nomination and recommendations for an honorary degree 		Date of last action	Destroy	Until administratively no longer required

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Scholarships/Awards/Bursaries/Fellowships Includes both internal and external scholarships, bursaries, prizes or fellowships: <ul style="list-style-type: none"> • Scholarships: Benefits, usually in the form of money, which are tenable by students for specified periods of time under certain conditions, e.g. proceeding to the next year in a course. They are generally gained on the basis of performance at examinations. • Awards: Rewards for results in annual examinations, essay, compositions and other forms of assessment. • Fellowships: Benefits, usually in the form of money, travel or accommodation costs, tenable for specific periods and usually offered by, or in conjunction with another university or other institution. • Bursaries: Financial support available to students, usually on the home campus, who meet specified criteria. 							
	15.28	Information and records relating to successful applications and nominations to receive scholarships, awards, bursaries or fellowships	Example information and records include: <ul style="list-style-type: none"> • Correspondence declining offers for scholarship • Records of decisions • Successful applications • Notifications • Supporting documentation 		Date of last action	Destroy	2 years
	15.29	Information and records relating to unsuccessful applications and nominations to receive scholarships, awards, bursaries or fellowships	Example information and records include: <ul style="list-style-type: none"> • Unsuccessful applications or nominations • Notifications • Supporting documentation 		Date of last action	Destroy	3 months
	15.30	Information and records documenting the master list of recipients of honours awards, bursaries and fellowships			Date of last action	Archive	10 years
	15.31	Information and records relating to the establishment and conditions of scholarships, awards, bursaries and fellowships	Example information and records include: <ul style="list-style-type: none"> • Correspondence • Terms and conditions 		Date of last action	Archive	10 years
	15.32	Information and records relating to the management of scholarships, awards, bursaries and fellowships	Example information and records include: <ul style="list-style-type: none"> • Funds management • Correspondence 		Date of last action	Destroy	7 years
Student exchange programmes							
	15.33	Information and records relating to applications received for placement as an exchange student	Example information and records include: <ul style="list-style-type: none"> • Applications forms • Correspondence • Notification of acceptance/refusal 		Date of last action	Destroy	2 years
	15.34	Information and records relating to arrangements, contracts or agreements with other Universities for student exchange programmes	Example information and records include: <ul style="list-style-type: none"> • Contracts • Inter University Agreements 		Date of last action	Destroy	7 years
Transcripts/Final reports							
	15.35	Information and records documenting student academic transcript/final results	Example information and records include: <ul style="list-style-type: none"> • Final student results • Transcript of results 		Date of last action	Archive	25 years
	15.37	Information and records relating to requests for transcripts, verification or graduation status	Example information and records include: <ul style="list-style-type: none"> • Requests 		Date of last action	Destroy	Until administratively no longer required

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
16. STUDENT SERVICES							
This class covers information and records associated with the provision of services to students either by the University or an entity that has an agreement or contract with the University.							
Routine administration							
	16.1	Routine administrative information and records that support provision of student services	Example information and records include: <ul style="list-style-type: none"> • Incomplete forms • Appointment bookings • Room bookings 		Date of last action	Destroy	Until administratively no longer required
Accommodation							
<i>Provision of accommodation whether through residential colleges or residential placements where the accommodation service is provided directly by the University</i>							
	16.2	Information and records relating to the operation and maintenance of student accommodation	Example information and records include: <ul style="list-style-type: none"> • Meal requests • Dietary requirements • Catering orders • Room condition reports • Maintenance schedules • Key tracking • Rosters • Timetables • Instructions for use of facilities • Laundry and cleaning forms • Surveys and feedback forms • Applications for student residence • Forms filled out by Home Stay providers • Communications with agencies about vetting / security process issues 	Does not include: <ul style="list-style-type: none"> • Accommodation fees. See Finance and Accounting, Class 4 	Date of last action	Destroy	Until administratively no longer required
	16.3	Information and records relating to the management of student residents within student accommodation	Example information and records include: <ul style="list-style-type: none"> • Residents files/contracts • Correspondence • Complaints • Requests for additional services 	Does not include: <ul style="list-style-type: none"> • Accommodation fees. See Finance and Accounting, Class 4 	Date of last action	Destroy	7 years
Child care services							
<i>The provision of child care services or centres where the service is provided directly by the University</i>							
	16.4	Information and records relating to the operation and maintenance of child care facilities	Example information and records include: <ul style="list-style-type: none"> • Fees assessment • Meals requests • Dietary requirements • Menu planning • Catering orders • Laundry and cleaning documentation • Surveys/feedback forms • Stationery orders 		Date of last action	Destroy	Until administratively no longer required
	16.5	Information and records documenting the registration of children for a place at the child care facility and the selection of successful applicants	Example information and records include: <ul style="list-style-type: none"> • Application forms • Selection documentation 		Date of last action	Destroy	Until administratively no longer required
	16.6	Information and records documenting the personal record of each child	Example information and records include: <ul style="list-style-type: none"> • Attendance records • Parental authorisations • Contact details • Medical reports • Special requirements (e.g. health and dietary) • Injury reports 		Date of last action	Destroy	7 years
	16.7	Information and records documenting learning and development plans	Example information and records include: <ul style="list-style-type: none"> • Learning and developmental plans for individual children 		After child cease to attend the child care facility	Destroy	2 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
Financial support services							
	16.8	Information and records relating to the provision of student financial support / aid activities	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Personal case notes • Award applications • Award decisions • Budgeting advice • Hardship applications 		Date of last action	Destroy	7 years
Provision of health services							
<i>Provision of health services for students and staff where the service is provided directly by the University—Health Services can include medical services, counselling, dental services, speech etc.</i>							
	16.9	Information and records that document the management of patient bookings	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Appointment books • Appointment registers 		Date of last action	Destroy	Until administratively no longer required
	16.10	Information and records that document patient information/files Consistent with DHB Disposal Authority DA337 Consistent with the Health (Retention of Health Information) Regulations 1996.	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Components of the Patient File include but are not limited to: • In-patient/out-patient/consumer/client • Key health information summary • Consents • Referrals - received and sent • Correspondence • Assessments • Investigations and results • Diagnoses • Treatment/care/management plans • Medication orders and administration documentation <p>NOTE: Implementation of the discharge action must be carried out in accordance with section 25 of the Public Records Act and Archives New Zealand discharge process.</p>		Date of last provision of service	Destroy / Discharge	10 years
	16.11	Information and records relating to the management of the prescription and administration of medicines	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Drug registers • Prescription file copies 		Date of last action	Destroy	10 years
Provision of support services							
	16.12	Information and records relating to the delivery of services to students such as career advisory services, student learning support centres, religious services, Māori services, Pacific Island Services and disability support, wellbeing services, LGBTQIA/rainbow community	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Client files • Wellness programmes 	Does not include: • Monitoring of pastoral care for international students. See Student Administration, Class 15 • Records relating to the development and planning of the service	Date of last action	Destroy	7 years
	16.13	Information and records relating to the provision of recreational services	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Client files (can include to staff and members of the public, alumni etc. as services offered to more than just students) 	Does not include: • Monitoring of pastoral care for international students. See Student Administration, Class 15	Date of last action	Destroy	7 years
	16.14	Information and records relating to programmes to support students	<p>Example information and records include:</p> <ul style="list-style-type: none"> • PhD research skills programmes • Development of academic integrity skills • Student mentoring programmes 	Does not include: • Mandatory courses that are included on the academic transcript	Date of last action	Destroy	Until administratively no longer required
	16.15	Information and records relating to the pastoral care of students (both domestic and international students)	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Interview records • Reports • Compliance with Code of Practice for the Pastoral Care of International Students 		Date of last action	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
17. UNIVERSITY MARAE							
This class covers information and records associated with managing and administering University marae.							
Routine administration							
	17.1	Routine administrative information and records that support University marae	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Minor correspondence • Address and invitation lists • Reference and information-only records • Print processing • General enquiries from public 		Date of last action	Destroy	Until administratively no longer required
Marae management							
	17.2	Information and records relating to the receipt of minor koha and donations by the marae	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Record of koha received 		Date of last action	Destroy	7 years
	17.3	Information and records relating to the receipt of major koha and donations by the marae	<p>Includes gifts or donations that have substantial value, national importance, long-term benefit, etc.</p> <p>Example information and records include:</p> <ul style="list-style-type: none"> • Details of koha or donation • Receipt of gifts or donations received • Financial donations of significant value 		Date of last action	Archive	10 years
	17.4	Information and records relating to marae involvement with minor events	<p>Minor events may include:</p> <ul style="list-style-type: none"> • Conferences organised by the University • Powhiri arrangement for staff induction <p>Example information and records include:</p> <ul style="list-style-type: none"> • Briefing notes • Visitation programme • Staff professional development in Te Reo or Tikanga Māori 		Date of last action	Destroy	2 years
	17.5	Information and records relating to marae involvement with major events	<p>Major events may include:</p> <ul style="list-style-type: none"> • Hui or tangi hosted by the marae • Alumni events • The use of marae grounds and facilities • Māori Graduation ceremonies <p>Example information and records include:</p> <ul style="list-style-type: none"> • Records of the event • Programmes 		Date of last action	Archive	10 years
	17.6	Information and records documenting the history of the marae	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Information that has been collated and/or consolidated about the history of the marae • Original research material, recorded oral histories and notes for books on the history of the University • Historical research papers • Summary histories created both published and unpublished • Information on notable/significant marae events, staff and buildings 		Date of last action	Archive	25 years
	17.7	Information and records of committees and working parties that are of a minor nature	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Sub-committees, ad hoc committees and/or working parties, staff meetings etc. • Agendas • Minutes • Membership Lists • Reports and decisions 		Date of last action	Destroy	2 years
	17.8	Information and records of committees and working parties that are of significance to the management of the marae	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Agendas • Minutes • Membership Lists • Reports and decisions 	<p>Does not include:</p> <ul style="list-style-type: none"> • Council, committees that report to Council, or Committees formed for strategic purposes 	Date of last action	Destroy	7 years

Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
18. UNIVERSITY PUBLISHING							
This class covers information and records created and used to support the commissioning, editing and publication of books or journals by the University Press or by the University. It also includes the management of University Press. The class excludes in-house and promotional material developed under communications and marketing.							
Routine administration							
	18.1	Routine administrative information and records that support University publishing activities	Example information and records include: <ul style="list-style-type: none"> • Minor correspondence • Address lists • Reference and information-only records • Promotional material • Book launches • General enquiries from public 		Date of last action	Destroy	Until administratively no longer required
	18.2	Information and records relating to activities that support book and journal publishing	Example information and records include: <ul style="list-style-type: none"> • Inventory management • Sales data • Royalties • Orders and distribution • ISBN / ISSN management • Print run details • Production and design information • Subscriber details • Peer reviews of articles to be published • Citations/downloads/abstracts • Journal issue planning 	Does not include: <ul style="list-style-type: none"> • Financial records. See Finance Class 5 • Author agreements and other contracts. See Legal Class 11 	Date of last action	Destroy	7 years
Book publishing							
	18.3	Information and records documenting every book published by the University Press/ 'book files'	Example information and records include: <ul style="list-style-type: none"> • Correspondence with the author • Reports • Licensing agreements with other book publishers • Publishing history of work • Book awards 		Date of last action	Archive	10 years
	18.4	Information and records relating to catalogues of books published by the University Press	Example information and records include: <ul style="list-style-type: none"> • Catalogues 		Date of last action	Archive	10 years
	18.5	Information and records documenting manuscripts of books, drafts and proof copies	Example information and records include: <ul style="list-style-type: none"> • Manuscripts • Drafts of books • Proof copies 		Date of last action	Destroy	7 years
Journal publishing							
	18.6	Information and records documenting every journal published by the University Press/University	Example information and records include: <ul style="list-style-type: none"> • Master set of journals • Constitution / Terms of Reference • ISSN registration • Supplementary materials (e.g. DVD) 		Date of last action	Archive Unless a copy has been lodged with National Library, in which case Destroy	25 years
	18.7	Information and records documenting editorial activities associated with the publishing of journals e.g. draft, proof and published versions of articles	Example information and records include: <ul style="list-style-type: none"> • Drafts of articles • Proof copies of journals • Peer review of journal articles • Issue planning • Citation and download statistics 		Date of last action	Destroy	7 years

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Class	Sub-class	Title/Description	Examples	Does not include	Trigger	Disposal action	Minimum retention period
		Historical records					
	18.8	Information and records documenting the history of the University	<p>Example information and records include:</p> <ul style="list-style-type: none"> • Information that has been collated and/or consolidated about the history of the University • Original research material and notes for books on the history of the University • Historical research papers • Jubilee and centennial histories • Summary histories created by University, both published and unpublished • Information on notable/significant agency events, staff and buildings 		Date of last action	Archive	25 years