

12 April 2019

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www.dia.govt.nz

Jake Preston

Via fyi.org.nz

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Dear Mr Preston

Official Information Act request reference OIA1819-0585

Thank you for your request for official information from Archives New Zealand. You have asked:

*Can you confirm that MBIE is complying fully with the Public Records Act 2005, and that all records, including all communication surrounding the MBIE Guidance have been retained?
Can you confirm that this includes the use of private email addresses used when being paid under the direction of EQC, which would have been transferred to MBIE under the formal transfer of EAG work to MBIE in November 2010?*

You have also raised your concerns about the use of private email addresses for work commissioned by the Ministry of Business, Innovation and Employment (MBIE), carried out by the Engineering Advisory Group

Your request is being refused under section 18(e) of the Official Information Act 1982, because the document alleged to contain the information requested does not exist.

You have the right to seek an investigation and review by the Ombudsman of this decision. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

While I cannot directly answer your request, the following information may be relevant to this situation. Under section 33 of the Public Records Act (PRA), the Chief Archivist is required to audit the information management practices of those public offices and local authorities subject to the PRA at intervals of not less than 5 years. As the most recent audit cycle was completed in 2015, and with the new Monitoring Framework under development, no information on MBIE's current compliance with the PRA is available.

MBIE were audited in 2014. The audit assessed organisational maturity against eight recordkeeping capability activities. Each activity was assessed against the requirements met and a rating for mature, developing or low capability given. The table below represents the assessment of capability within MBIE at the time of the audit in 2014. Overall, the Chief Archivist was satisfied that MBIE were complying with the PRA.

Table 1: Public Records Act Audit results for the Ministry of Business, Innovation and Employment, 2014

Activities	Capability Assessment
Planning	Mature
Resourcing	Mature
Training	Developing
Reporting	Mature
Creation and capture	Mature
Retrievability and security	Mature
Maintenance and storage	Mature
Disposal and transfer	Mature

In addition to being audited, public offices must obtain Chief Archivist authorisation to dispose¹ of information and records, which is issued through a legal instrument called a Disposal Authority. MBIE's Disposal Authority, DA644, details the classes of records MBIE creates, based on its functions, and notes the disposal action that must be taken and the associated timeframe. MBIE also use General Disposal Authorities 6 and 7, which cover common corporate records and records that have short-term transitory value. A copy of DA644 is attached for your interest. This document is also publicly available through Archway, our online archival management system, by searching by Disposal Authority from the homepage.

It is possible that the information you have been unable to obtain from MBIE has been lawfully disposed of. However, I do not have sufficient information about the use of private email addresses in this case to be satisfied of this. I have therefore directed the Archives New Zealand Advice & Compliance team to examine this issue as a case of potential non-compliance with the PRA. Advice & Compliance will keep you up to date on that work and might ask you for additional information. Thank you for bringing this to our attention.

Yours sincerely



Richard Foy
Chief Archivist
Archives New Zealand

¹ Disposal refers to the range of processes associated with implementing retention, transfer or destruction decisions.

Index to Ministry of Business Innovation and Employment Records Retention and Disposal Schedule

The MBIE retention and disposal schedule contains eighteen classes. They have been clustered into four broad groups and the class headings have been colour coded by the relevant group on the RDS worksheet. Click on the class title below to be taken to that part of the RDS spreadsheet.

Class number	Class title	Description
1	<u>ACCOUNTABILITY, GOVERNANCE AND STRATEGIC MANAGEMENT</u>	This class covers records not covered by the Archives New Zealand General Disposal Authority for common corporate records, GDA6.
2	<u>EXTERNAL RELATIONSHIP MANAGEMENT</u>	This class covers records that document how the Ministry interacts with other organisations, agencies and customers. It covers records of the development and management of strategic relationships and partnerships with external organisations. Records relating to relationships with other agencies as the result of a particular programme or area of work are covered by the classes relating to the area of work.
3	<u>SECTOR STRATEGY DEVELOPMENT AND IMPLEMENTATION</u>	This class covers records of the function of development and implementation of sector strategies. It includes topics and advice areas relevant to Ministry functions.
4	<u>STRATEGIC POLICY DEVELOPMENT AND ADVICE TO GOVERNMENT</u>	This class covers records of the activity of development and providing strategic policy advice to the New Zealand government and Ministers in the areas of the Ministry's core functions.
5	<u>REGULATORY REGIME DEVELOPMENT AND COMPLIANCE</u>	This class covers records concerning the development of legal instruments such as standards and regulations and the guidance provided to those who must adhere to the instruments. It also includes compliance and enforcement activities.
6	<u>MONITORING OF CROWN ENTITIES, STATUTORY ENTITIES, INSTITUTIONS AND OTHER EXTERNAL BODIES</u>	This class covers records documenting the process of the formal monitoring of crown entities, statutory entities, institutions and other external bodies and the reporting carried out as part of that monitoring.
7	<u>SECTOR, SYSTEM and PORTFOLIO MONITORING</u>	This class covers records relating to the monitoring of and reporting on sectors, systems and portfolios and their performance

8	<u>BUSINESS INTEGRITY SERVICES</u>	This class covers records relating to the provision of business integrity services covering company registration, Director appointments, insolvency and trustee activities. Also includes proceeds of crime records.
9	<u>CONSUMER SERVICES AND MONITORING</u>	This class covers records created to support compliance with trading standards including trade measurement, auctioneers registration, fuel quality, product safety and recalls to support good practices.
10	<u>EMPLOYMENT RELATIONS SERVICES</u>	This class covers records documenting the management and operations of employment relations services provided by the Ministry.
11	<u>IMMIGRATION SERVICES</u>	This class covers records created as part of the delivery of New Zealand immigration services and operations.
12	<u>INTELLECTUAL PROPERTY SERVICES</u>	This class covers records created as part of the management and operations of the New Zealand intellectual property regime. It includes design certificates, patents and trade marks.
13	<u>MANAGEMENT AND PERFORMANCE OF FUNDS, INVESTMENTS AND PARTNERSHIPS</u>	This class covers records relating to the management, performance and support of funds, investment and partnerships where the Ministry is the manager
14	<u>NATURAL RESOURCES MANAGEMENT</u>	This class covers records to do with the management of the crown minerals estate and assets.
15	<u>RADIO SPECTRUM MANAGEMENT</u>	This class covers records documenting the licencing and management of the New Zealand radio spectrum.
16	<u>RESIDENTIAL AND UNIT TITLE SERVICES</u>	This class covers records generated as part of the bond management activity for residential services, plus applications relating to the weathertight homes processes.
17	<u>RESOLUTION SERVICES</u>	This class covers records relating to the provision of resolution services relating to employment mediation, tenancy mediation, unit titles mediation, residential tenancy mediation, residential building construction disputes, weathertight homes mediation, insurance disputes.

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
1	ACCOUNTABILITY, GOVERNANCE AND STRATEGIC MANAGEMENT This class covers records not covered by the Archives New Zealand General Disposal Authority for common corporate records, GDA6.						
1.1	Advice to Chief Executive and/or Deputy Chief Executive's	Records of advice to the Chief Executive and/or Deputy Chief Executives are the documented advice provided specifically to the executive management level, often by roles such as 'Principal Advisor' or 'Chief Adviser' covering topics ranging from policy advice, organisational strategy, relationship management, or issues response. For example: - Chief Science Advisor - Chief Economist - Chief Advisor, Maori	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
1.2	Administrative support to Chief Executive and/or Deputy Chief Executives	Records of a routine administrative nature created to support the office of the Chief Executive and/or Office of the Deputy Chief Executive. Includes: - diary records - itineraries - copies of information supplied for reference purposes - invitations - congratulation and condolence messages	Date of last action	5 years	D - Destroy	Chief Executive or delegate	
1.3	Chief Executive correspondence	Records of correspondence to the Chief Executive where a response is required that is not a request for information. For example, correspondence from members of the public expressing their view of the agency.	Date of last action	10 years	D - Destroy	Chief Executive or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
1.4	Internal leadership and governance groups and committees formal records	Records of formal governance groups and committees established to provide governance and to act as decision-making forums. Includes both reporting structure-based decision-making bodies and governance groups and steering committees established internally to provide guidance, decision-making and advice at a strategic level. For example: <ul style="list-style-type: none"> - Senior Leadership Team - Executive Leadership Team - Capability and Strategy Implementation Steering Committee - Risk and Audit Committee Records may include: <ul style="list-style-type: none"> - agendas - meeting minutes - papers presented to the group/board 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
1.5	Enterprise-wide strategies	Records of the development and implementation of and reporting against organisational development and change strategies. For example: <ul style="list-style-type: none"> - the Ministry Maori Strategy (focussing on educating the Ministry staff to improve how they may work with Maori stakeholders) - Workforce Strategy 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
1.6	Organisation design and review	Records of the activity of reviewing the organisation's structure and functions at a strategic level and implementing new organisation design and structure. For example, decisions to move functions to other agencies, decision to completely restructure the agency. Records may include: <ul style="list-style-type: none"> - discussion documents - consultation and feedback documents - interim and final reports - implementation planning 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
1.7	Litigation records significant cases	All records: Judicial reviews, litigation regarding issues that sets a precedent or is of high public interest.	When case completed	20 years	D - Destroy	Deputy Chief Executive of	
1.8	Litigation summaries	Records summarising or listing litigation cases in which one or more of the central agencies have been involved.	When superseded	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
1. 9	Legislation development and review where the Ministry is the administering department	Records concerning the review and development of legislation and legislative instruments in the area of the Ministry's substantive functions. All records relating to the development and passing of primary and secondary legislation and any amendments or reviews, including the Immigration Instructions.	When legislation comes into force	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	See also GDA 6/2.2.1 - 2.2.3 for disposal of records of submissions on financial or employment legislation and of legal opinions
1. 10	Legislation development and review where the Ministry is not the administering department	Submissions on other agencies' legislation and legislative instruments.	When legislation passed	10 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
2	EXTERNAL RELATIONSHIP MANAGEMENT						
	This class covers records that document how the Ministry interacts with other organisations, agencies and customers. It covers records of the development and management of strategic relationships and partnerships with external organisations. Records relating to relationships with other agencies as the result of a particular programme or area of work are covered by the classes relating to the area of work.						
2.1	Stakeholder relationship programme management	Records of the development and oversight of the Ministry stakeholder relationship programme.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
2.2	Strategic relationship management with New Zealand organisations	<p>Records of relationship management activities that document the relationship between the Chief Executive/Deputy Chief Executives (or other senior staff representing the Ministry) and strategic stakeholders or partners of the Ministry not covered already by another class relating to a function of the agency. Examples of such stakeholders include:</p> <ul style="list-style-type: none"> - central government agencies such as Treasury, Accident Compensation Corporation - crown research institutes - industry bodies such as Business New Zealand, Association of Non-Government Organisations of Aotearoa, Federated Farmers, New Zealand Beef and Lamb - trade unions such as the Employment and Manufacturers Association - academics, universities and research providers - local authorities - iwi <p>Records may include:</p> <ul style="list-style-type: none"> - memoranda of understanding - meeting records - relationship strategy records - correspondence - internal notes about the relationship 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	DA 210 11.2

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
2.3	Strategic relationship management with international organisations	<p>Records of relationship management activities that document the relationship between the Chief Executive/Deputy Chief Executives (or other senior staff representing the Ministry) and strategic international stakeholders or partners of the Ministry not covered already by another class relating to a function of the agency. This class also includes development and review of international and Trans-Tasman instruments and agreements relating to areas for which the Ministry has responsibility. For example:</p> <ul style="list-style-type: none"> - OECD - Australian Standing Committee on Tourism - International Labour Organisation - UNHCR - APEC Tourism Ministers Meeting - Australian Competition and Consumer Commission <p>Records of the Ministry's strategic relationships with other jurisdictions, international associations and fora, including:</p> <ul style="list-style-type: none"> - bi-lateral, multi-lateral agreements - free trade agreements - memoranda of understanding - treaties - correspondence and meeting records - relationship strategy records - position papers, ministerial briefings - formal outputs of meetings - papers presented by Ministry staff to international organisations 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	DA 210 10.1

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
2.4	Operational relationship management records	Includes records created that reflect an operational-level relationship with an external organisations; i.e. working closely with a stakeholder as part of every day work activities or projects that are not covered by any other class in the retention and disposal schedule. Examples of records may include: <ul style="list-style-type: none"> - correspondence - routine internal memos - contact details - drafts of documents - meeting records - country files containing background information on different countries 	Date of last action	7 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
2.5	Service centre recordings	Recordings of phone calls made to the Ministry service centres - whether to do with immigration, labour workforce, building and housing issues or other Ministry functions. Includes recorded phone calls and phone call metadata.	Date of recording	2 years	D - Destroy	DCE Market Services and DCE Immigration New Zealand or delegate	This class ensures there is one standard time period for all service centre recordings DA347 covering Workplace Information and Promotion Contact Centre Phone Recordings (3 months) DA427 covering Immigration Contact Centre Phone Recordings (18 months)
2.6	Reporting and analysis records	Records, statistical returns and analysis providing summary information in service centre activity. Includes: <ul style="list-style-type: none"> - monthly reporting - adhoc business analysis and intelligence - trend analysis 	Date of last action	25 years	D - Destroy	DCE Market Services and DCE Immigration New Zealand or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
3	SECTOR STRATEGY DEVELOPMENT AND IMPLEMENTATION						
	This class covers records of the function of development and implementation of sector strategies. It includes topics and advice areas relevant to Ministry functions.						
3.1	Sector governance and advice boards/bodies - significant records	<p>Records of governance and advisory bodies that that the Ministry provides secretariat services for, that are formed to provide advice and input to support the development and implementation of sector strategies and action plans. Examples of such bodies are:</p> <ul style="list-style-type: none"> - Small Business Development Group - Maori Economic Development Advisory Board - Visitor Sector Emergency Advisory Group - Urban Chief Executives Meeting <p>Examples of significant records are:</p> <ul style="list-style-type: none"> - terms of reference - letters of appointment - formal meeting papers (such as agendas, minutes, papers presented) - formal correspondence - annual reports 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	Records of a routine and low level nature that are created as part of providing secretariat services or input into sector governance and advisory boards/bodies are covered by GDA 7

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
3.2	Sector strategy development and reporting where the Ministry is the lead	<p>Records that document the development of strategies and action plans at a national level where the Ministry is the lead agency and the reporting against the initiatives that fall under the strategies that have been developed. This includes records created as part of the development process and the final strategy documents. Example sector strategies/programmes are:</p> <ul style="list-style-type: none"> - Skilled and Safe Workplaces - Tertiary Education Strategy - Regional Economic Strategies - Māori Economic Development Strategy and Action Plan, He Kai Kei Aku Ringa - East Coast Study - Northland Regional Study - New Zealand Settlement Strategy - Refugee Resettlement Strategy - Better Public Service - Result 9 - Government Events Strategy <p>Example records may include:</p> <ul style="list-style-type: none"> - substantive drafts of papers/reports and finals - research and analysis supporting strategy development - consultation documents and feedback provided by external parties - discussion papers 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	DA 210 7.2 DA 210 11.1 DA 210 14.1
3.3	Sector action plan implementation where the Ministry is the lead - programme management records	<p>Records documenting the management and oversight of the implementation of sector strategies and action plans where the Ministry is the lead agency. Records may include:</p> <ul style="list-style-type: none"> - programme plans - project plans - communication strategies - project and programme reporting documents 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	Records of a routine and low level nature that are created as part of sector action plan implementation are covered by GDA 7

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
3.4	Partner working groups and industry advisory groups	<p>Records of partner working groups and/or industry advisory groups established to support and provide advice to the Ministry as part of the implementation of sector action plans and strategies. Example groups include:</p> <ul style="list-style-type: none"> - Auckland Joint Officials Group (AJOG) - Urban Oversight Group (UOG) <p>Records may include:</p> <ul style="list-style-type: none"> - agendas, minutes and other meeting records - discussion documentation - communications with the working party 	Date of last action	10 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
4	STRATEGIC POLICY DEVELOPMENT AND ADVICE TO GOVERNMENT						
	This class covers records of the activity of development and providing strategic policy advice to the New Zealand government and Ministers in the areas of the Ministry's core functions.						
4.1	Strategic policy development	Records concerning the development of strategic policy across all the Ministry's functions and outputs, including: <ul style="list-style-type: none"> - policy proposals - substantive drafts of reports - research and analysis supporting policy development - minutes and notes of meetings - consultation process documents - feedback provided by external parties - discussion papers for external comment and input - speeches - position papers - briefings to Chief Executive and Ministers - regulatory impact statements - finalised policy papers - <i>includes joint or combined policy initiatives where the Ministry is the lead agency</i> 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	DA 210 4.1 DA 266, DBH Implementation Guide 6/1.1
4.2	Operational policy and service design	Records of the design of frameworks and services to deliver strategic policy and regulatory implementation through operational channels. For example, fees reviews, the establishment of processes across the Ministry (and sometimes with other agencies) to administer a change to regulations such as new type of mediation, or compliance and enforcement regimes. Records may include: <ul style="list-style-type: none"> - service design planning - process development - discussion and consultation papers - publicity material 	Date of last action	10 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
4.3	Programme and project development arising from policy and legislation for which the Ministry has primary responsibility	Records of the planning and oversight of policy implementation projects. Records may include: <ul style="list-style-type: none"> - project planning and management records - project reporting - requests for proposals and evaluation of those proposals - contacts for implementation services 	Date of last action	10 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
4.4	Canterbury Recovery Programme Development and Implementation	Records of the Canterbury Recovery Programme and Ministry-led strategic policy areas for this programme. Includes: <ul style="list-style-type: none"> - strategy development - work programme planning and management - work stream management - public guidance material produced - technical guidance material produced - briefings for Chief Executive and Ministers - reports - models - requests for proposals - facilitation of workshops 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	Separated out as it is in response to a one off significant event - even though it is largely standard "policy development" activities
4.5	Public competition records	Records of competitions led by the Ministry where the outcome provides resource and research to support the development of policy and/or standards. For example " Simple House Competition" or the "Breathe Competition" for the redesign of Latimer Square in Christchurch. Records may include: <ul style="list-style-type: none"> - Competition planning - Evaluation criteria - Publicity - Entries - Review of competition outcomes 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
4.6	Policy development or review where the Ministry is not the lead agency	Records that document the development or review of government policy where the project is being led by another agency. Secondary policy advice. Includes: <ul style="list-style-type: none"> - information received - contributions and feedback provided - meeting records 	Date of last action	20 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
4.7	Aggregated/anonymised data and code	Data gathered (or sourced) and aggregated/anonymised to support strategic policy development and implementation. Typically stored in large databases/datasets. Also includes the code written to allow interrogation and use of the data, and metadata associated with the data. Records may include: - anonymised questionnaire/survey results - time series data - data models - code to assist with using the data	End of the calendar year that the data represents	50 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	This sub-class is marked as D because although it has long term business value to the Ministry it does not have archival value
4.8	Published research papers	Records that document the development of original research/occasional papers (often as a result of the research conducted to support policy development) where the Ministry is the lead.	Date of last action	10 years	D - Destroy**	Deputy Chief Executive of relevant branch or delegate	**One copy of every publication is to be provided to the Ministry corporate library for retention. **Two copies of all published papers (whether hard copy or electronic) must be deposited with the National Library under the Legal Deposit Scheme
4.9	Unpublished research papers	Unpublished reports produced and published from data collated and analysed as part of strategic policy advice activities that are developed to support research, sector and policy activities.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	DBH Implementation Guide 1.5/1
4.10	Completed interview, questionnaires, survey data that may be identifiable	Questionnaires and/or survey forms and/or interview transcripts completed to support research activities. Includes raw data. May be about identifiable individuals.	Date of last action	3 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
5	REGULATORY REGIME DEVELOPMENT AND COMPLIANCE						
	This class covers records concerning the development of legal instruments such as standards and regulations and the guidance provided to those who must adhere to the instruments. It also includes compliance and enforcement activities.						
5.1	Regulatory instrument development	Records documenting the development of regulations, standards and their subsequent review and revision. Includes records of proposals for change received and amendments drafted to the regulatory regime. For example, building regulations, the building code, product safety standards, employment standards, immigration advisers competency standards. Includes guidance, advice and project records, determination outcomes.	Date of last action	50 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	DA 264, DBH Implementation Guide 1/2.1
5.2	Technical guidance	Technical guidance, education and promotion. Records relating to the development and delivery of technical education and promotion to the sector. Includes planning and strategy documentation, programme content, promotion of courses and course evaluation. For example: - technical guides developed in relation to building products and approaches after the Canterbury Earthquakes - technical guidance on engine fuels specifications	Date of last action	10 years	D-Destroy**	Deputy Chief Executive of relevant branch or delegate	DA 264, DBH Implementation Guide 1/4.1 **One copy of every publication is to be provided to the Ministry corporate library for retention. **Two copies of all published papers (whether hard copy or electronic) must be deposited with the National Library under the Legal Deposit Scheme
5.3	Building consent and inspection	Liaison with Territorial and Regional Authorities - records detailing interactions with territorial and regional authorities in relation to the building consent processes. Includes general correspondence, technical reviews, complaints and minutes of meetings.	Date of last action	10 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	DA 264, DBH Implementation Guide 8/2.1
5.4	Licensed building practitioners personal files	Licensing and personal records detailing registration processes and actions for individual building practitioners.	Date of last action	Must be retained for the lifetime of the practitioner	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
5.5	Licensed building practitioners complaint and appeal records	Case files dealing with complaints and appeals against licenced building practitioners.	Date of last action	Must be retained for the lifetime of the practitioner	D - Destroy	Board Chair or delegate	
5.6	Licensed Building Practitioners Board records	Records of the Board. Includes: - Agendas - Papers presented - Minutes - Formal correspondence - Policy records	Date of last action	10 years	A - Retain As Public Archive	Board Chair or delegate	
5.7	Licensed building practitioners operations records	Records created to support the operation of the Licensed Building Practitioners Board. Includes: - Education and publicity material - Operational planning and reporting - Subject records	Date of last action	10 years	D - Destroy	Board Chair or delegate	See also GDA 6 for corporate records
5.8	Electrical Workers Registration Board records	Records of the Board. Includes: - Agendas - Papers presented - Minutes - Formal correspondence - Policy records	Date of last action	10 years	A - Retain As Public Archive	Board Chair or delegate	
5.9	Register of electrical workers and registration records	Covers the formal records of registration of electrical workers. Includes records held in the registers of electrical workers and the registration applications and associated correspondence.	Date of last registration	80 years	D - Destroy	Board Chair or delegate	
5.10	Electrical workers practising licence records	Records of the applications and issuing of practising licences which are required every two years for electrical workers who wish to carry out prescribed electrical work in their own right.	Date of issue of last practicing certificate	10 years	D - Destroy	Board Chair or delegate	
5.11	Electrical workers operations records	Records created to support the operations of the Electrical Workers Registration Board. Includes: - Education and publicity material - Operational planning and reporting - Examination papers and results - Subject records	Date of last action	10 years	D - Destroy	Board Chair or delegate	See also GDA 6 for corporate records
5.12	Electrical workers complaint and investigation records	Covers both records of complaints made to the Board about electrical workers (created by the Board), and the records of investigations carried out into the complaints by MBIE staff	Date complaint or investigation is settled	10 years	D - Destroy	Board Chair or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
5.13	Support and advice provided to independent occupational licencing boards	<p>Records created to provide support and advice to independent occupational licencing boards such as:</p> <ul style="list-style-type: none"> - Chartered Professional Engineers Council (CPEC) - Electrical Workers Registration Board (EWRB) - NZ Registered Architects Board (NZRAB) - Plumbers Gasfitters and Drainlayers Board (PGDB) - State Housing Appeals Authority (SHAA) - Building Practitioners Board - Engineering Associates Registration Board <p>Records may include:</p> <ul style="list-style-type: none"> - Records of Board appointments - Operational policy advice - Guidance information - Education and publicity material - Operational planning and reporting 	Date of last action	10 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
5.14	Monitoring, review and evaluation of regulatory regimes	<p>Records of formal monitoring, reviews, audits and evaluation to assess performance, delivery of outputs, viability and on-going management.</p> <p>Records may include:</p> <ul style="list-style-type: none"> - terms of reference - review reports - submissions - audit reports and schedules 	Date of last action	20 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
5.15	Trade remedy case files	Case files relating to the investigation of foreign manufacturers for the dumping of goods on the New Zealand market that may cause "material injury" to the domestic manufacturer. Includes records of any anti-dumping, countervailing, or safeguard duties imposed and reviews of those duties.	When case is completed	20 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
5.16	Trade remedy summary records	Summary records and final reports of all trade remedy cases. To be retained to show evidence of compliance with international obligations under World Trade Organisation agreements.	When case is completed	20 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	To be restricted once transferred to Archives New Zealand

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
6	MONITORING OF CROWN ENTITIES, STATUTORY ENTITIES, INSTITUTIONS AND OTHER EXTERNAL BODIES						
	This class covers records documenting the process of the formal monitoring of crown entities, statutory entities, institutions and other external bodies and the reporting carried out as part of that monitoring.						
6.1	Framework development and management	Records of the development and oversight of the monitoring framework used across the Ministry as the methodology and approach for monitoring the performance of external bodies. Records may include: <ul style="list-style-type: none"> - development of methodology and approach - overview of framework - reporting and review of framework 	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
6.2	Monitoring reports	Records of the development of quarterly and annual performance monitoring reports for all bodies monitored by the Ministry. Examples of bodies monitored by the Ministry include: <ul style="list-style-type: none"> - New Zealand Trade and Enterprise - Takeovers Panel - Housing New Zealand Corporation - Landcare Research - Commerce Commission - Marsden Fund Council - Electricity Authority Ruling Panel - Remuneration Authority Records may include: <ul style="list-style-type: none"> - records of the development of the quarterly and annual reports - final reports provided to the Minister - correspondence with the monitored entity about the findings - advice to Ministers on the performance of the entities 	End of financial year the report relates to	20 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	DA 210 9.1
6.3	Monitoring supporting information	Monitoring supporting information covers all supporting and background information gathered and used to prepare all monitoring-related reports on an entity basis. Includes documentation supplied by the entity being monitored.	End of financial year the report relates to	20 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
6.4	Board appointment records	Board appointment records are those detailed records of appointments to Boards made by the Ministry; i.e. where the Ministry is responsible (on behalf of the Minister) for appointing/approving Board members and managing the appointment process. Includes records of: - candidate information - applications (successful and unsuccessful) - background checks - evaluative material	Date the person ceases to be an active Board member/candidate	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
6.5	Investigation/major occurrence records	Records of any investigation or special monitoring undertaken at the request of the Minister into the performance of the monitored entity. Usually as a result of some form of "major occurrence". For example: - Approval for spending over \$10 million dollars such as the AgResearch planned rebuild in Lincoln Records may include: - background papers - research documents - drafts and finals of investigation reports	Date of last action	20 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
6.6	Operational policy, methodology and manuals	Records of operational policy, procedures, methodology and manuals for crown entity and institutions monitoring activities.	Date superseded	7 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
6.7	Reporting and analysis records	Records, statistical returns and analysis providing summary information in relation to crown entity and institution monitoring activities. Includes: - monthly reporting - adhoc business analysis and intelligence - trend analysis	Date of last action	25 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
7	SECTOR, SYSTEM and PORTFOLIO MONITORING This class covers records relating to the monitoring of and reporting on sectors, systems and portfolios and their performance.						
7.1	Reviews and evaluations	Review and evaluation records produced as a result of monitoring and analysis.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
7.2	Unpublished research reports	Unpublished reports produced from data collated and analysed about sectors, systems and portfolios that are developed to support research, sector and policy activities. Records that document the development of original research/occasional papers where the Ministry is the lead that are not published.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
7.3	Published research reports	Reports produced and published from data collated and analysed. For example: - International Visitor Survey - Regional Government Expenditure Report - Economic Development Indicators Report - The New Zealand Cycle Trail Evaluation Report - ICT Sector Economic Performance - Food and Beverage Overview Report - The Knowledge Intensive Services Sectors Report - Regional Economic Activity Report	Date of last action	10 years	D - Destroy**	Deputy Chief Executive of relevant branch or delegate	**One copy of every publication is to be provided to the Ministry corporate library for retention. **Two copies of all published papers (whether hard copy or electronic) must be deposited with the National Library under the Legal Deposit Scheme
7.4	Aggregated/anonymised data and code	Raw data gathered (or sourced) and aggregated/anonymised to support sector, system and portfolio monitoring activities. Typically stored in large databases. Includes both the data and metadata. Example data series: - Confidentialised data from Household Labour Force Survey - JobsOnline data from Seek and TradeMe Records may include: - questionnaire/survey results - time series data - code to assist with use of the data	End of the calendar year that the data represents	50 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	This sub-class is marked as D because although it has long term business value to the Ministry it does not have archival value

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
7.5	Analysis methodology records	Records about the methodologies used to analyse data and documentation about the data sets that support on-going use of the data. For example: <ul style="list-style-type: none"> - records of how data was used, collated and analysed - records of data collection processes and tools such as memoranda of understanding or agreements with data supply organisations such as Statistics New Zealand, TradeMe, etc. 	End of the calendar year that the data represents	50 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	This sub-class is marked as D because although it has long term business value to the Ministry it does not have archival value. These records need to be retained for the same length of time as the data in order to make sense of the data and to allow re-use.
7.6	Reporting and analysis records	Records, statistical returns and analysis providing summary information in relation to sector, system and portfolio monitoring. Analysis activities include working papers, draft reports, tables, technical analysis models, questionnaire development etc. to support analysis and forecast modelling. The records are typically held in large data stores of modelling tools and as well as data include documentation on the data models, and how they work. Records produced may include: <ul style="list-style-type: none"> - charts and graphs - data comparison records - data models - documentation about the data models 	Date of last action	25 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
8	BUSINESS INTEGRITY SERVICES						
This class covers records relating to the provision of business integrity services covering company registration, Director appointments, insolvency and trustee activities. Also includes proceeds of crime records.							
8.1	Bankruptcy case files - complex	Case files relating to complex bankruptcy cases. Case files may contain records such as: - correspondence - trust account records - claims register - asset register - creditors reports	Date the case is closed or the Debtor discharged - whichever is the later	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	DA378/1.1
8.2	Bankruptcy, No Asset Procedure (NAP) and Summary Instalment Order (SIO) case files - non complex	Non complex bankruptcy case files that are relatively minor in nature and of no on-going value. Case files may contain records such as: - correspondence - trust account records - claims register - asset register - creditors reports	Date the case is closed or the Debtor discharged - whichever is the later	6 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA378/1.2
8.3	Liquidation case files - complex	Case files relating to complex liquidations. Case files may contain records such as: - correspondence - trust account records - claims register - asset register - liquidators reports	Date case closed	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	DA378/1.3
8.4	Liquidation case files - non complex	Non complex liquidation case files that are relatively minor in nature and of no on-going value. Case files may contain records such as: - correspondence - trust account records - claims register - asset register - liquidators reports	Date case closed	6 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA378/1.4
8.5	Business records of bankrupt/liquidated companies	Business records of bankrupt or liquidated companies provided by the company to the Ministry in order to complete liquidation processes as per Companies Act 1993 Section 256 1(b).	After liquidation processes complete	1 year	D - Destroy	Deputy Chief Executive Market Services or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
8.6	Insolvency summary records/register	Summary details of all bankruptcy, NAP and SIO and liquidation events. Generated from the Insolvency database and published online as required by the Insolvency Act 2006.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	
8.7	Proceeds of crime case files	Case files initiated once a restraining order or confiscation order is received from the High Court.	Date case closed	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA378/2 Increase in retention period from 6 to 7 years
8.8	Enforcement case files - investigations (prosecution)	Records created during investigations into action for breaches of legislation where a decision is made to proceed with prosecution.	Date case closed	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA378/3.1 Increase in retention period from 6 to 7 years
8.9	Enforcement case files - investigations (non-prosecution)	Records created during investigations into action for breaches of legislation where a decision is made not to proceed with prosecution.	Date case closed	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
8.10	Enforcement case files - Director prohibition	Case files regarding people prohibited/banned from involvement as a director, manager or promoter in companies for a period not exceeding five years under section 385 of the Companies Act 1993.	Date case closed	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	DA378/3.2
8.11	Enforcement case files - Director non-prohibition	Case files regarding people investigated under section 385 of the Companies Act 1993 but not prohibited or banned.	Date case closed	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA378/3.3 Increase in retention period from 6 to 7 years
8.12	Enforcement case files - summary records	Summary statistics of prosecutions and prohibited directors - published for public access.	Date of last action	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA378/3.4 Increase in retention period from 6 to 7 years
8.13	Directors appointment records	Records supplied by individuals to support Director appointment processes to become Directors of New Zealand companies. Documents provided to support verification of eligibility.	Date of last action	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
8.14	Business registers (summary data)	<p>The business registers refer to the 'summary data' about companies and individuals created to support New Zealand business operations and compliance with legislation. The records are usually provided in summary form as an online business database/register. Example registers/summary data include:</p> <ul style="list-style-type: none"> - Companies Register - Personal Property Securities Register - Incorporated societies - Charitable trusts - Friendly societies & credit unions - Limited partnerships - Retirement villages - Financial service providers <p>Note: This sub-class does not include the actual company file or detailed documents relating to companies and/or organisations/individuals. See sub-class 8.15 and 8.16 for those records.</p>	Date of last entry in the register	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	Deferral of deposit will be sought meaning the register stays with the Companies Office and is not to be transferred to Archives New Zealand

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
8.15	Selected company records	<p>Company records/detailed documentation created to support the registration and oversight of New Zealand companies. All now created electronically. Were previously known as 'the company file' (which is separate to the summary data/company register). Retain company records relating to companies that fit within one of the following criteria will ensure that:</p> <ul style="list-style-type: none"> - records that relate to prominent, large or 'iconic' New Zealand companies – along with overseas companies registered on the New Zealand Companies Register – are retained as archives. These 'iconic' companies are those that have significantly impacted on the development of New Zealand's economic and social identity, such as Brierley Investments Limited, Fletcher Challenge Finance Holdings Limited, and Fisher & Paykel Appliances Limited; - all specialised sections of the Companies Register are captured as archives, including Incorporated Societies, which provide evidence of a diverse range of community activity; - Iwi-based companies are retained. It is expected that, as a result of the Treaty claim process, all Iwi-based companies have more than two directors with more than \$50,000 share capital. 	When company is struck off the register	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	DA377
8.16	All other Company records	All other Company records/detailed documentation of companies that do not meet the criteria listed above. All now created electronically. Were previously known as 'the company file' (which is separate to the summary data/company register).	When company is struck off the register	10 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA377
8.17	Company information required to be removed by legislation	<p>Company information/summary data that is no longer required due to changes in Company legislation, or information that is required to be removed from registers/summary data due to legislative requirements. For example:</p> <ul style="list-style-type: none"> - Details of Company Secretaries - Details of Auditors 	Date of last action	7 years (unless specific legislation specifies differently)	D - Destroy	Deputy Chief Executive Market Services or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
9	CONSUMER SERVICES AND MONITORING						
	This class covers records created to support compliance with trading standards including trade measurement, auctioneers registration, fuel quality, product safety and recalls to support good practices.						
9.1	Trading standards decisions and opinions	Records of advice provided to companies and individuals and internal procedure about compliance with trading standards legislation. Includes advice about: - legal metrology - accreditation (of companies and individuals) - administration of registers - fuel quality	Date of last action	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.2	Trade measurement operations records	Records documenting the operation of trade measurement. Includes: - procedures - records of breaches, infringements, prosecutions, complaints and inspections - laboratory - accreditation scheme records	Date of last action	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.3	Approvals	Approval documents issued for equipment approved for use in trade under the Weights and Measures Act and subordinate legislation.	Date of revocation of approval	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.4	Administration of registers	Records documenting the registration of occupations administered by Trading Standards, including auctioneers and motor vehicle traders.	Date of expiry of registration	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.5	Fuel quality sampling records	Records of fuel sampling and reporting.	Date of last action	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.6	Fuel levy collection	Records of levies collected in relation to motor fuels.	Date of last action	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
9.7	Product safety recalls	Records relating to: - the issues of compulsory recall orders by the Minister under s.32 of the Fair Trading Act 1986 - the notification of voluntary recalls under s.31A of the Fair Trading Act 1986 - monitoring of recall implementation (mandatory or voluntary) for which the Ministry is responsible under the Fair Trading Act 1986	Date of last action	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.8	Fuel levy collection	Product safety policy statements	Expiry or revocation of statement	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.9	Product safety case records	Case records relating to complaints, public enquiries, investigations into the safety of products. Includes records relating to the issue of suspension of supply notices by Product Safety Officers under s.33D of the Fair Trading Act 1986.	Date of last action	8 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.10	Unsafe goods notices	Records of unsafe goods notices issued by the Ministry as an Order in Council	Expiry or revocation of notice	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.11	Register of licenced Immigration Advisers	Register of licenced Immigration Advisers created to support New Zealand immigration processes and compliance with legislation such as the Immigration Advisers Licencing Act 2007. The records are provided in summary form as an online business database.	When database is superseded /decommissioned	2 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	
9.12	Immigration Advisers summary records	Summary information held about licenced Advisers, complaints, investigations and prosecutions. Held in the form of a database.	When database is superseded /decommissioned	2 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	
9.13	Immigration Advisers licence records	Records of applications and licences granted to Immigration Advisers. Must be renewed every 12 months. Includes: - applications - renewal documentation - supporting documentation - correspondence	Date of last registration	20 years	D - Destroy	Deputy Chief Executive Market Services or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
9.14	Complaints against Immigration Advisers	Records of complaints received and responded to about poor immigration advice against a licenced Adviser. Includes case records determined by the Immigration Advisors Disciplinary Tribunal.	Date of complaint resolution/case closure	20 years	D - Destroy	Deputy Chief Executive Market Services or delegate	Hearing records/cases of the Immigration Advisors Disciplinary Tribunal are retained for 8 years after the appeal period of the hearing then destroyed under Ministry of Justice DA 415
9.15	Immigration advice investigations and prosecutions	Records of investigations (that may or may not lead to prosecution), into unlicensed immigration advice activities. Includes case files.	Date of investigation resolution/case closure	25 years	D - Destroy	Deputy Chief Executive Market Services or delegate	Complements the time period for major fraud immigration application cases
9.16	Consumer advice and education	Records of advice and education provided to consumers/general business, workers and the public. May include: - formally published educational material such as posters, pamphlets, websites etc. - personalised advice in response to enquiries - workshop material	Date of last action	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
9.17	Product safety recalls and alerts - summary records/register	Summary details of product safety recalls and alerts. Records include: unsafe goods notices, revoked or expired unsafe goods notices, product safety recalls and alerts.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
10	EMPLOYMENT RELATIONS SERVICES This class covers records documenting the management and operations of employment relations services provided by the Ministry.						
10.1	Collective agreements	One copy of every collective agreement agreed to between employers and employees as submitted to the Ministry by the parties to the agreement.	Date agreement is superseded	10 years	A - Retain As Public Archive	Deputy Chief Executive LACE or delegate	
10.2	Strike and lock out notifications	Notifications of planned strikes and/or lockouts.	Date of strike/lock out	10 years	D - Destroy	Deputy Chief Executive LACE or delegate	
10.3	Labour inspection case files/investigation records	Case files that document the inspection and resolution process. Includes: - correspondence/complaints - witness statements - photos/voice recordings - evidence documentation - enforcement information	From date of case closure	10 years	D - Destroy	Deputy Chief Executive LACE or delegate	DA 120
10.4	Labour inspector summary case records	Summary record/register of the case files held in line of business database (INSITE or its replacement). Also includes the Serious Case Register.	From date of last entry	10 years	A - Retain As Public Archive	Deputy Chief Executive LACE or delegate	DA 120
10.5	Labour inspector audits and assessments	Records of targeted proactive projects to address labour issues within particular industries/sectors; i.e. non-employer/case-specific operations. For example: - Assessment of labour conditions in liquor outlets in Auckland - Assessment of labour conditions and issues in Christchurch rebuild industries Records may include: - project planning records - relationship management records (with other contributing agencies) - briefings - working papers - reports	Date of last action	10 years	D - Destroy	Deputy Chief Executive LACE or delegate	
10.6	Minimum wage exemption records	Records documenting the exemption process when an employee and employer have a permit in place to pay less than the minimum wage.	Date of permit expiry	10 years	D - Destroy	Deputy Chief Executive LACE or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
10.7	Investigation panel records	Records of internal investigation advisory groups established to provide labour inspectors with advice on large and/or complex labour inspection cases.	Date of last action	10 years	D - Destroy	Deputy Chief Executive LACE or delegate	
10.8	Reporting and analysis records	Records, statistical returns and analysis providing summary information in relation to employment relations activities. Includes: - monthly reporting - adhoc business analysis and intelligence - trend analysis - working papers	Date of last action	25 years	D - Destroy	Deputy Chief Executive LACE or delegate	
10.9	Operational policy, methodology and manuals	Records of operational policy, procedures, methodology and manuals to support employment relations activities.	Date superseded	10 years	D - Destroy	Deputy Chief Executive LACE or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11	IMMIGRATION SERVICES and Operations This class covers records created as part of the delivery of New Zealand immigration services and operations.						
11.1	Operational policy and process guidance	Records of the interpretation of government policy into instructions, processes and guidance for immigration activities. Includes the Immigration Toolkit, Detention Manual, etc.	Date when superseded	25 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.2	Records of Privacy Act complaints	Records of internal investigation into any privacy breach.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.3	Reporting and analysis records	Records of statistical returns and analysis providing summary information in relation to immigration services and support activities. Includes: - monthly and quarterly reporting - adhoc business analysis and intelligence - trend analysis - datasets contained in data warehouses (e.g. The MBIE Datawarehouse) - working papers	Date of last action	25 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	OP 00/0078
Attraction and settlement records							
11.4	Attraction and settlement product finals	Records of the publication, production and distribution of products (including final versions) prepared to support the attraction of migrants to New Zealand and the settlement of migrants and refugees in New Zealand. Includes those products targeted at attracting migrants, at providing migrants and refugees with information about living and working in New Zealand, and those targeted at employers providing information about employing and supporting migrants as employees. Includes hard-copy and online products.	When product has been superseded	5 years	D - Destroy**	Deputy Chief Executive Immigration New Zealand or delegate	**One copy of every publication is to be provided to the Ministry corporate library for retention. **Two copies of all published papers (whether hard copy or electronic) must be deposited with the National Library under the Legal Deposit Scheme

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.5	Content development for settlement products	Covers records of development of content of settlement products, including stakeholder consultation and stakeholder feedback records.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.6	Settlement service contract management	Records relating to the awarding and management of contracts for the provision of settlement services. For example with: - Red Cross - Citizens Advice Bureau - Local authorities Includes: - Request for proposal documentation and evaluation - Agreed contracts - contract relationships management - contract reporting and performance monitoring	Date of expiry of the contract	7 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	
11.7	Demographic settlement data	Summary data of demographic information relating to migrant clients of settlement services.	End of life of the database	7 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	The Settlement Services database is no longer being updated. Data from new services is now uploaded from excel spreadsheets to The MBIE Datawarehouse.
11.8	Client satisfaction surveys	Results of Client satisfaction with settlement services surveys undertaken annually by external provider.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.9	Attraction event records	Records relating to the attendance at promotional events to attract migrants to New Zealand such as expos in other countries.	Date of last action	7 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.10	Intake Lists	Lists of refugees and asylum seekers that come into New Zealand through the Refugee Centre.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.11	Incident records	Records of any incidents at the Mangere Refugee Resettlement Centre.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.12	Asylum seeker register	Register providing details of asylum seekers.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand
11.13	Resettlement records	Records supporting the management operations of the Refugee Quota Branch to support consideration of refugee cases and, reporting, interviews, intake lists, travel arrangements, health screening, case reports.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	Currently stored in the Resettlement Management database
11.14	Selection mission plans and reports	Records documenting the planning and execution of missions to overseas countries to select and support the New Zealand refugee quota. Includes reports developed following each mission.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand
11.15	Country research and information records	Records of research carried out into migrant country of origin, country risk assessment and profiling and information.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
Biometric information							

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.16	Biometric information	Records of any biometric information gathered at the New Zealand border and during the immigration lifecycle to support immigration security activities such as: - photographs of all or part of the person's head and shoulders - fingerprints - iris scans	Date of capture of the information	50 years	D-Destroy	Deputy Chief Executive Immigration New Zealand or delegate	Currently stored in datasets outside of the primary immigration database (AMS), but expected to be part of the core IGMS database (AMS replacement)

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
Arrival and departure records							
11.17	Arrival Cards	Records of arrival completed by airline passengers on entry into New Zealand with the exception of those belonging to people unlawfully in New Zealand.	Date of arrival	8 months	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	OP 00/0078
11.18	Arrival Cards belonging to people unlawfully in New Zealand	Records of arrival completed by airline passengers on entry into New Zealand who are people unlawfully in New Zealand.		To be held until the individual has left New Zealand or obtained the legal right to be in New Zealand	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	OP 00/0078
11.19	Departure Cards	Records of departure completed by airline passengers on leaving into New Zealand.	Date of departure	8 months	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	OP 00/0078
Visa applications health information							
11.20	Visa applications health information	Medical or health information associated with visa applications. Includes medical records associated with New Zealand visa applicants applying for Visitor, Student, Work visas.	After date of completion/submission of medical records by a physician	3 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
Individual case files (i.e. not application files)							
11.21	Individual case Ministerials	Includes all individual immigration cases decided by either the Minister, Associate Minister of Immigration or a delegated decision maker. Includes both Immigration Service working files, and files supplied to the decision-maker.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand
11.22	Individual case Section 61 decisions (made by Visa Services s61 team) NOT made by the Minister, Associate Minister of Immigration or a Delegated Decision Maker - where decision is for residency	Includes both Immigration Service working files, and files supplied to the decision-maker. Covers records of individual cases where the decision made results in residence being granted.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand
11.23	Individual case Section 61 decisions (made by Visa Services s61 team) NOT made by the Minister, Associate Minister of Immigration or a Delegated Decision Maker - where decision is for temporary visa or is a refusal to grant or consider	Includes both Immigration Service working files, and files supplied to the decision-maker. Covers records of individual cases where the decision made results in temporary visa being granted, and records where there has been a refusal to grant or refusal to consider the request.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.24	Deportation (of resident) records	Resident Deportation records. Includes both Immigration Service working files, and files supplied to the decision-maker.	Date of last action	50 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand
11.25	Deportation (of Temp Visa holder) records	Temporary Visa holder records. Includes both Immigration Service working files, and files supplied to the decision-maker.	Date of last action	50 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.26	Fraud investigation records - Minor cases	Case files of minor fraud investigations. Minor cases where full investigation is not warranted.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.27	Fraud investigation records - Major cases	Case files of major fraud investigations. Full investigation that may lead to prosecution.	Date of last action	25 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
Complaint records							
11.28	Statutory complaints	Records of complaints made by individuals to statutory bodies such as the Privacy Commissioner or the Ombudsman about specific immigration cases/applications.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.29	Client complaint resolution process files	Records of complaints management through the client complaints resolution process (CCRP).	Date of last action	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
Approved applications for permanent entry and permanent residence prior to introduction of IGMS							
11.30	Approved National Office applications up to and including October 1991 .	Includes refugee status and refugee quota applications.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand
11.31.1	Branch Office files where a National Office file does not exist up to and including October 1991 .	If no separate National Office file exists then the Branch Office file should be transferred to Archives New Zealand 10 years after date of decision. Includes refugee status and refugee quota applications.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.31.2	Branch Office files up to and including September 1988 where a separate National Office file exists.	If a separate National Office file exists then the Branch Office file should be destroyed 10 years after date of decision. Includes refugee status and refugee quota applications.	Date of decision	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period
11.32	Approved Overseas Post applications from October 1988 - October 1991 . ☒	Include refugee status and refugee quota applications.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period To be restricted once transferred to Archives New Zealand
11.33	All entry and permanent residence files for refugees from November 1991 onwards.	All entry and permanent residence files for refugees from November 1991 onwards.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period To be restricted once transferred to Archives New Zealand
11.34	All application forms from approved entry and permanent residence files from November 1991 onwards except for refugee and appeal files .	All application forms from approved entry and permanent residence files from November 1991 onwards except for refugee and appeal files. Includes PAC = Pacific Access Category /SQ = Samoan Quota residence categories. NOTE: Only the application form is to be transferred. All other parts of the file are to be destroyed at time of transfer.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period To be restricted once transferred to Archives New Zealand
11.35	All other information on approved entry and permanent residence files from November 1991 onwards except for refugee and appeal files .	All other information on approved entry and permanent residence files from November 1991 onwards except for refugee and appeal files. Includes PAC = Pacific Access Category/SQ=Samoan Quota Residence categories.	Date of decision	10 years or until application forms are transferred	D-Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period
Records of persons who have made appeals prior to introduction of IGMS							

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.36	All records, including applications, section 61 decisions, and client files of persons who have made appeals from National Office, Branch Office and Overseas Post files from October 1988 - October 1991 .	All records, including applications, section 61 decisions, and client files of persons who have made appeals from National Office, Branch Office and Overseas Post files from October 1988 - October 1991. Includes all records related to a person who appealed to the Immigration and Protection Tribunal and its predecessors; the Residence Appeal Authority, the Residence Review Board, Removal Review Authority, Deportation Review Tribunal, Refugee Status Appeals Authority. Includes all records of those who complained to the Ombudsman or lodged a judicial review.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period To be restricted once transferred to Archives New Zealand
11.37	All records, including applications, section 61 decisions, and client files of persons who have made appeals from November 1991 .	All records, including applications, section 61 decisions, and client files of persons who have made appeals from November 1991. Includes all records related to a person who appealed to the Immigration and Protection Tribunal and its predecessors; the Residence Appeal Authority, the Residence Review Board, Removal Review Authority, Deportation Review Tribunal, Refugee Status Appeals Authority. Includes all records of those who complained to the Ombudsman or lodged a judicial review.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period To be restricted once transferred to Archives New Zealand
Declined applications for permanent entry and permanent residence prior to introduction of IGMS							
11.38	Declined National Office, Branch Office, Overseas Post applications where a compliance action was issued from October 1988 - October 1991 .	All files for declined applications where a compliance action was issued from October 1988 - October 1991 . NOTE: Identified by blue file tag marked "secure".	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period To be restricted once transferred to Archives New Zealand
11.39.1	Branch Office files up to and including September 1988 where no separate National Office file exists.	If no separate National Office file exists then the Branch Office file should be transferred to Archives New Zealand 10 years after date of decision. Includes refugee status and refugee quota applications.	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period To be restricted once transferred to Archives New Zealand
11.39.2	Branch Office files up to and including September 1988 where a separate National Office file exists.	If a separate National Office file exists then the Branch Office file should be destroyed 10 years after date of decision. Includes refugee status and refugee quota applications.	Date of decision	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.40	All other declined applications from National Office, Branch Offices, Overseas Posts processed before November 1991 .	All other declined applications from National Office, Branch Offices, Overseas Posts processed before November 1991 .	Date of decision	10 years	D-Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period
11.41	All files for declined applications where a compliance action was issued from November 1991 .	All files for declined applications for permanent residence where a compliance action was issued from November 1991 .	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period To be restricted once transferred to Archives New Zealand
11.42	All other declined applications processed after November 1991 . Includes refugee status and refugee quota applications.	All other declined applications processed after November 1991 . Includes refugee status and refugee quota applications.	Date of decision	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 No change

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
Temporary entry application files prior to introduction of IGMS							
11.43	All files for declined applications where a compliance action was issued from November 1991 .	All files for declined applications for temporary entry where a compliance action was issued from November 1991 .	Date of decision	10 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Reduction in time period To be restricted once transferred to Archives New Zealand
11.44	All files for temporary entry applications which have not been subject to a compliance action, an appeal, a judicial review, an Ombudsman's investigation or a complaint, that do not fall into the "work to residence" categories, and that have not been revoked or were not exceptions to instructions .	All files for temporary entry applications which have not been subject to a compliance action, an appeal, a judicial review, an Ombudsman's investigation or a complaint, that do not fall into the "work to residence" categories, and that have not been revoked or were not exceptions to instructions.	Date of decision	6 months	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Statement excluding "work to residence" categories added.

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.45	All files for temporary entry applications which have not been subject to a compliance action, an appeal, a judicial review, an Ombudsman's investigation or a complaint, that do not fall into the "work to residence" categories, that were revoked or were exceptions to instructions.	All files for temporary entry applications which have not been subject to a compliance order, an appeal, a judicial review, an Ombudsman's investigation or a complaint, that do not fall into the "work to residence" categories, that were revoked or were exceptions to instructions.	Date of decision	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Statement excluding "work to residence" categories added.
11.46	All files for temporary entry applications under "work to residence" categories of visa.	All files for temporary entry applications under "work to residence" categories of visa.	Date of decision	4 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	New sub-class added to ensure work to residence visa category is retained longer
Returning resident visas prior to introduction of IGMS							
11.47	All files for returning resident visa applications issued before November 1991 which have not been subject to a compliance action, an appeal, a judicial review, an Ombudsman's investigation or a complaint.	All files for returning resident visa applications issued before November 1991 which have not been subject to a compliance action, an appeal, a judicial review, an Ombudsman's investigation or a complaint.	Date of decision	10 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 No change

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.48	All files on indefinite returning resident visas which were issued between October 1995 and October 1997 inclusive, which have not been subject to a compliance action, an appeal, a judicial review, an Ombudsman's investigation, or a complaint.	All files on indefinite returning resident visas which were issued between October 1995 and October 1997 inclusive, which have not been subject to a compliance action, an appeal, a judicial review, an Ombudsman's investigation, or a complaint.	Date of decision	100 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 Time period increased
11.49	All other files on returning resident visas which have not been subject to a compliance action, an appeal, a judicial review, an Ombudsman's investigation, or a complaint.	Includes applications for permanent resident visas, second or subsequent resident visas, or applications for a variation of travel conditions.	Date of decision	2 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 No change
Electronic summary data from AMS NOTE: prior to the introduction of IGMS, the full application record stored in AMS is not considered to be the complete and accurate record. Therefore the hard-copy file is still the official record for all immigration application files prior to the introduction of IGMS. However, the summary electronic information retained about each application in AMS should be retained to support future analysis. Once IGMS has been implemented all records retention sub-classes relating to immigration visa applications must be reviewed.							
11.50	Electronic summary data on each applicant for both temporary and permanent entry visas and permits (currently part of AMS).	Any migration of data to new electronic systems must ensure that no data is lost or damaged. This data may not be deleted from AMS, unless: - it has been successfully and fully migrated to a new electronic system with appropriate recordkeeping attributes: or - it has been transferred to Archives New Zealand. Suitability for transfer to Archives New Zealand would be determined by negotiation on a case by case basis.	Date of decision	25 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
11.51	Electronic summary data on permanent residence applications (currently part of AMS).	Any migration of data to new electronic systems must ensure that no data is lost or damaged. This data may not be deleted from AMS, unless: - it has been successfully and fully migrated to a new electronic system with appropriate recordkeeping attributes: or - it has been transferred to Archives New Zealand. Suitability for transfer to Archives New Zealand would be determined by negotiation on a case by case basis.	Date of decision	25 years	A - Retain As Public Archive	Deputy Chief Executive Immigration New Zealand or delegate	To be restricted once transferred to Archives New Zealand
11.52	Electronic summary data on temporary entry applications.	NOTE: This covers applications data only, not data on the applicant.	Date of decision	5 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	From OP 00/078 No change
11.53	Visa label administration	Visa label administration. Includes reconciliation reports (daily and monthly), records of cancelled labels.	Date of decision	7 years	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	
11.54	Visa labels	Visa labels (the actual labels) that are cancelled i.e. not used because of a technical issue (printing, sticking, editing).	Date of decision	6 months	D - Destroy	Deputy Chief Executive Immigration New Zealand or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
12	INTELLECTUAL PROPERTY SERVICES						
	This class covers records created as part of the management and operations of the New Zealand intellectual property regime. It includes design certificates, patents, trademarks and plant variety rights.						
12.1	Intellectual property registers - patents, trade marks, design, patents, plant variety rights attorneys	Registers providing summary contextual information about intellectual property applications and registrations including information such as when the application was made, the owner, its status, renewals, and when the intellectual property rights cease. The records are usually provided in summary form from an online of business database. Registers include: - trade marks register - register of patent attorneys - register of patents - register of designs register of plant varieties	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	
12.2	Intellectual property hearings cases	Case files created when there is a hearing about some aspect of the breach of intellectual property rights. For example a contested case between two parties. Includes case files of hearings for trade-marks, patents, designs and plant variety rights	Date case closed	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	
12.3	Intellectual property investigations and prosecutions -trade mark, patent, design application or plant variety rights	Case files created when there is a formal investigation or prosecution for trade mark, patent, design application or plant variety rights criminal offences. For example counterfeit goods.	Date case closed	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	
12.4	Intellectual property case files	The case file for a trade mark, patent, design application or plant variety rights consisting of all relevant documentation. Records on the case may include: - applications - correspondence - registration certificates - maintenance and renewal records - images of logos - compliance reports and internal notes - technical questionnaires - test results - examination reports and internal notes - statements and representations	After cessation of intellectual property rights	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	DA405/3.1

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
12.5	Patent attorney examination papers - completed	Examination papers completed by individuals as part of the process to become a registered patent attorney.	Date exam completed	10 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
12.6	Patent attorney registration exam information	Records documenting the development and final version of the exam papers to be sat by candidates.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Market Services or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
13	MANAGEMENT AND PERFORMANCE OF FUNDS, INVESTMENTS AND PARTNERSHIPS This class covers records relating to the management, performance and support of funds, investment and partnerships where the Ministry is the manager.						
13.1	Fund, Investment or Partnership establishment and strategic management	<p>Records documenting the major activities relating to the establishment of the fund, investment or partnership. Includes records about:</p> <ul style="list-style-type: none"> - the establishment of the fund - planned strategic management of the fund - memoranda of understanding arrangements with other parties involved in the establishment and control of the fund - criteria for decision-making about funding - requests for proposals - criteria and process for appointment to the fund, investment or partnership decision-making body - determination of types of investment or funding processes to be used to allocate funding <p>Examples of funds include:</p> <ul style="list-style-type: none"> - National Science Challenges - Pre-Seed Accelerator Fund - Tourism Growth Partnership - China Market Information Programme - New Zealand Screen Production Grant - Food Innovation Network - Health Innovation Hub - International Relationships Fund - Maintaining the Quality of Great Rides Fund (MGR) 	Date of last action	25 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	OP01/0083 for all of class 8 OP 01/0092 for all of class 8 DA 210 12.1

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
13.2	Formal funding governance and decision records	Records of the panel and boards of papers presented and funding decisions made in relation to the allocation of funding for research, science and technology and related activities. For example: <ul style="list-style-type: none"> - The Science Board - National Science Challenges Independent Assessment Panels - Major Events Investment Panel <p>Records may include:</p> <ul style="list-style-type: none"> - agendas - meeting minutes - papers presented to the decision-making body - papers prepared for Minister with recommendations on funding 	Date of last action	25 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	OP01/0083 13a
13.3	Summary funds management	Records summarising the allocation and management of funds, successful and unsuccessful applications. Includes summary databases and spread sheets recording all applications and their outcome. Example data base is the electronic investment management system (IMS) which records summary information about all funds that MBIE is responsible for.	Date of last action	25 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
13.4	Operational management and reporting	Records documenting the operational management of the fund, investment or partnership. Includes activities relating to: <ul style="list-style-type: none"> - records (minutes, papers and funding decisions) of decision making panels - reporting about the fund (over and above reporting on specific contracts) - records documenting application processes 	Date when fund is wound up	25 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
13.5	Panel management	Records relating to the appointment and management of panel and/or board members convened to determine successful funding bids. Includes: <ul style="list-style-type: none"> - appointment records - confidentiality agreements - letters of service (contracts) 	Date when tenure on panel is complete	25 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
13.6	Fund application and allocation records	Records of applications for allocation/award of funds. Includes fund application forms and supporting documentation, correspondence with applicants (both successful and unsuccessful).	When funding round is complete	25 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
13.7	Contract management	Records documenting the management of successful funding bids from establishment through to completion of funding contract, investment or partnership contract. Records may include: - signed deeds of funding/contracts - master agreement and work programme agreements - records of Partnership Boards - contract management - relationship management with the external party - contract reporting - emails relating to investment management within MBIE predecessor agencies such as the Foundation for Research Science and Technology (FRST), the Ministry of Research Science and Technology (MoRST), the Ministry of Science and Innovation (MSI)	When contract terms have been fulfilled or contract expires	25 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
13.8	Monitoring, review and evaluation of funds	Records of formal monitoring, reviews, audits and evaluation of funds to assess their performance, delivery of outputs, viability and on-going management. Records may include: - terms of reference - review reports - submissions - audit reports	Date when fund is wound up	25 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	
13.9	Reporting and analysis records	Records documenting the background analysis of funds to support funding management decisions and reporting. Records may include: - statistical returns - monthly reporting - adhoc business analysis and intelligence - trend analysis - working papers	Date of last action	25 years	D - Destroy	DCE Science, Skills and Innovation or delegate	
14	NATURAL RESOURCES MANAGEMENT This class covers records to do with the management of the crown minerals estate and assets.						

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
14.1	Allocation and management of prospecting exploration and mining permits	Records relating to applications for permits and licences, including material provided by individuals or organisations, reports and annual reporting records, monitoring of compliance, evidence of decision-making, authorisation by Ministers where appropriate and information released to the public. Note that records relating to the collection of royalties, levies and fees for petroleum and minerals extraction and permits form part of this process. Permits and licences may be active for a considerable period of time.	After the end of the permit or licence period	10 years	A - Retain As Public Archive	Deputy Chief Executive Infrastructure and Resources or delegate	DA 210, 13.1 To be restricted once transferred to Archives New Zealand
14.2	Operational policy, methodology and manuals	Records of operational policy, procedures, methodology and manuals for permit allocation and management activities.	Date superseded	10 years	D - Destroy	Deputy Chief Executive of relevant branch or delegate	
14.3	Residual management	Records relating to residual work, legal issues or transitional issues on State Coal Reserve land and the petroleum pipeline transmission system prior to 1991, including authorisation of system changes.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive Infrastructure and Resources or delegate	DA 210, 13.2
14.4	Promotion of investment in the Crown Minerals estate	Records covering activities and documentation that relate to the promotion of the Crown Mineral Estate.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Infrastructure and Resources or delegate	DA 210 13.3
14.5	Geo-science resource information/library	Records covering management of core libraries, geological datasets and databases, geo-science information, seismic data, technical reporting information and data preservation projects. Includes information submitted to the Crown under the Crown Mineral Act.	Date of last action, or when no longer required	20 years	A - Retain As Public Archive	Deputy Chief Executive Infrastructure and Resources or delegate	DA 210 13.4

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
15	RADIO SPECTRUM MANAGEMENT This class covers records documenting the licencing and management of the New Zealand radio spectrum.						
15.1	Licencing records	Records of the licencing and registration of the radio spectrum. Includes: - applications - licences - payment records - approval documentation - records of any events to do with an awarded licence	Date of last action	25 years	D - Destroy	Deputy Chief Executive Infrastructure and Resources or delegate	DA225
15.2	Radio spectrum licencing summary	Summary information about all licences awarded.	Date of last action	25 years	A - Retain As Public Archive	Deputy Chief Executive Infrastructure and Resources or delegate	
15.3	Compliance case records - minor	Records of licence conditions breach case records that relate to minor cases	Date of last action	10 years	D - Destroy	Deputy Chief Executive Infrastructure and Resources or delegate	
15.4	Compliance case records - major	Records of licence conditions breach case records that relate to major cases. A major case is one that is settled through prosecution and court processes.	Date of last action	25 years	D - Destroy	Deputy Chief Executive Infrastructure and Resources or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
16	RESIDENTIAL AND UNIT TITLE SERVICES						
This class covers records generated as part of the bond management activity for residential services, plus applications relating to the weathertight homes processes and tenancy dispute applications.							
16.1	Bond lodgement	Completed forms and records created to support bond lodgement processes. Includes: - completed bond lodgement forms	Date when tenancy ends	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA 265, DBH Implementation Guide 9.1/2
16.2	Bond management	Completed forms and records created to support bond management processes. Includes: - bond refund forms - bond transfer forms - change of landlord forms - change of tenant forms	Date of refund/transaction	7 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA 265, DBH Implementation Guide 9.1/2
16.3	Weathertight homes applications	Records of applications made through the Weathertight Homes Resolution Service for financial assistance. Includes applications, supporting documentation, correspondence, assessment records and decisions.	From date of settlement	50 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	DA 265, DA 266, DBH Implementation Guide 9.4/2
16.4	Tenancy dispute applications	Records of applications made through the Tenancy Tribunal. Includes applications, supporting documentation, correspondence and decisions.	From date of last action	7 years	D-Destroy	Deputy Chief Executive Market Services or delegate	DA 265, DBH Implementation Guide 9.1/1

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
17	RESOLUTION SERVICES						
	This class covers records relating to the provision of resolution services relating to employment mediation, tenancy mediation, unit titles mediation, residential tenancy mediation, residential building construction disputes, weathertight homes mediation, insurance disputes.						
17.1	Mediation case notes	Notes taken during mediation sessions between parties participating in mediation processes. Covers tenancy mediation, employment relations mediation, weathertight homes mediation etc.	Destroy at conclusion of meeting	Destroy at conclusion of meeting	D - Destroy	Deputy Chief Executive Market Services or delegate	
17.2	Mediation summary information	Information entered into line of business systems (such as INSITE, or the Claim Management System used for weathertight homes claims) recording details of mediation activities.	Date of last action	10 years	A - Retain As Public Archive	Deputy Chief Executive Market Services or delegate	To be restricted once transferred to Archives New Zealand
17.3	Records of settlements and mediation orders	Records of mediation settlements such as settlements made between employers and employees as a result of mediation or orders of a mediator resulting from mediation between tenant and landlord.	From date of settlement	10 years	D - Destroy	Deputy Chief Executive Market Services or delegate	DA 441/1.1 DA 265, DBH Implementation Guide 9.1/1
17.4	Mediation practice development	Records documenting the training of mediators.	Date of last action	10 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
17.5	Operational policy, methodology and manuals	Records of operational policy, procedures, methodology and manuals to support resolutions services activities.	Date superseded	10 years	D - Destroy	Deputy Chief Executive Market Services or delegate	
17.6	Reporting and analysis records	Records, statistical returns and analysis providing summary information in relation to resolution services activities. Includes: - monthly reporting - adhoc business analysis and intelligence - trend analysis - working papers	Date of last action	25 years	D - Destroy	Deputy Chief Executive Market Services or delegate	

	Class Title	Description and Examples of Records	Trigger (when record becomes non-current)	Minimum retention (after record is non-current)	Disposal action	Authority (for approval to dispose)	Notes/Cross References
17.7	Multi-national enterprise complaints records	Records of complaints made to MBIE (as the National Contact Point) under the OECD Guidelines on Multinational Enterprises. Records include: <ul style="list-style-type: none"> - Complaints - Case files/investigations - Settlement records - Process records 	Date superseded	10 years	A - Retain As Public Archive	Deputy Chief Executive of relevant branch or delegate	