

Retention Periods for Records Created in Puukenga

Prepared by Manager, Information & Policy – 02/08/2013 (V2)

GDA & Record Class references updated to reflect merger by

Archives NZ of GDAs 1,2 & 4 into the new GDA6.

Important Note 1: *If the records you want to destroy are not covered below please refer to the Disposing of Records at Unitec Procedure and/or consult the Manager, Information & Policy.*

Important Note 2: *Any record that must be kept for a specifically stated time period must be recorded on a Disposal Register and this Register checked by the Manager, Information & Policy before disposing the records. Refer Disposing of Records at Unitec Procedure for further info.*

1. STUDENT APPLICATION/ ENROLMENT FORMS (including any supporting docs submitted) *Includes short courses*

a) If application/enrolment was successful and place accepted by student:

GDA & Records Class = ITP GDA / 2.2.1

Disposal Action = Destroy (after 10 yrs)

Dept Approver Authorise Disposal = Director, Maori Student & Community

b) If application/enrolment was unsuccessful:

GDA & Records Class = ITP GDA / 2.2.2

Disposal Action = Destroy (after 2 yrs)

Dept Approver Authorise Disposal = Director, Maori Student & Community

2. STUDENT RESULTS

Student Results need to be kept permanently (ITP GDA / 1.1.1). At Unitec student results are maintained centrally in PeopleSoft (our Student Management System) so there is normally no need for individual academic departments to retain records of student results in addition to those captured in PeopleSoft.

However, if you believe the results you have may not have been captured in PeopleSoft, please retain what you have and ensure that with these results a note is included documenting why you are retaining these results i.e. because you believe they have not been captured in PeopleSoft.

3. HARDSHIP / FOOD GRANT RECORDS

Includes application forms and records documenting decisions made on application

GDA & Records Class = ITP GDA / 3.2.3

Disposal Action = Destroy (after 7 yrs)

Dept Approver Authorise Disposal = Director, Maori Student & Community

4. SCHOLARSHIPS

- a) **Records relating to the Management of Scholarships, Awards e.g. correspondence, funds management (Successful Applications only)**
GDA & Records Class = ITP GDA / 2.4.1
Disposal Action = Destroy (after 7 yrs)
Dept Approver Authorise Disposal = Director, Maori Student & Community
- b) **Master list of recipients of Scholarships/Awards**
GDA & Records Class = ITP GDA / 2.4.2
Retain permanently for ultimate transfer to Archives NZ
Dept Approver Authorise Disposal = Director, Maori Student & Community
- c) **Applications/Nominations for Scholarships/Awards (Successful Applications only)**
GDA & Records Class = ITP GDA / 2.4.3
Disposal Action = Destroy (after 2 yrs)
Dept Approver Authorise Disposal = Director, Maori Student & Community
- d) **Records relating to the Unsuccessful Applications for Scholarships, Awards**
GDA & Records Class = ITP GDA / 2.4.4
Disposal Action = Destroy (after 3 months of receipt)
Dept Approver Authorise Disposal = Director, Maori Student & Community

5. STUDENT COMPLAINT & INVESTIGATION RECORDS

Includes the records provided with the complaint and all records created during the investigation process. Also includes records related to unsubstantiated allegations.

GDA & Records Class = ITP GDA / 2.1.2
Disposal Action = Destroy (after 7 yrs)
Dept Approver Authorise Disposal = Director, Maori Student & Community

Note: It is the responsibility of the investigating department to manage and maintain **the originals** of these records for the required timeframe, not Unitec's Student Complaints Administrator. This Administrator only receives copies of complaints as part of monitoring on behalf of Unitec that complaints are being managed.

6. RECORDS RELATED TO THE MANAGEMENT & RESOLUTION OF ISSUES

Includes the records raising the issue and all records created to better identify the issue and resolve it.

- a) **Minor Issues i.e. those that didn't lead to no change / a small change to policy, procedure, how things are done**
GDA & Records Class = ITP GDA / 5.1.5
Disposal Action = Destroy (after 7 yrs)
Dept Approver Authorise Disposal = Director, Maori Student & Community

- b) **Major Issues** i.e. those that lead to significant changes to policy, procedure, how things are done
GDA & Records Class = ITP GDA / 5.1.6
Retain permanently for ultimate transfer to Archives NZ
Dept Approver Authorise Disposal = Director, Maori Student & Community

7. PROGRAMME / COURSE DEVELOPMENT & APPROVAL RECORDS

Applies to all programmes/courses no matter what their duration e.g. 2 weeks – 4 years. Includes all documents associated with the initial development of the programme (proposals; meeting minutes etc); the approval / non-approval of the programme/course (correspondence from time of submission and up to decision around approval) and all documents giving evidence to all subsequent approved changes following initial approval of programme/course.

- a) **Records relating to Programmes/Courses approved for delivery**
GDA & Records Class = ITP GDA / 4.2.1 & 4.2.2
Retain permanently for ultimate transfer to Archives NZ
Dept Approver Authorise Disposal = Director, Maori Student & Community

- b) **Records relating to Programmes/Courses not approved for delivery**
GDA & Records Class = ITP GDA / 4.2.3
Disposal Action = Destroy (after 3 yrs)
Dept Approver to Authorise Disposal = Director, Maori Student & Community

8. DEPARTMENT / TEAM MEETING MINUTES & AGENDA PAPERS

GDA & Records Class = ITP GDA / 6.2.8
Disposal Action = Destroy (after 12 months)
Dept Approver Authorise Disposal = Manager of relevant area

9. INVOICES & RECEIPTS

Where originals have not submitted to Finance Dept

- a) **Student related**
GDA & Records Class = ITP GDA / 2.2.4
Disposal Action = Destroy (after 7 yrs)
Dept Approver to Authorise Disposal = Director, Maori Student & Community

Note: If originals are sent to the Finance Dept to action payment / bank money received; destroy the 'copies' you are holding as soon as you feel you don't need them anymore

- b) **Not student related**
GDA & Records Class = GDA6 / 4.3.2
Disposal Action = Destroy (after 7 yrs)
Dept Approver to Authorise Disposal = Director, Maori Student & Community

Note: If originals are sent to the Finance Dept to action payment / bank money received; destroy the 'copies' you are holding as soon as you feel you don't need them anymore.

10. PHOTOS / VIDEOS / DVDS

a) **Documenting significant Unitec events/milestones or providing historical information about Unitec's development**

GDA & Records Class = ITP GDA / 7.1.3

Disposal Action = Retain permanently for ultimate transfer to Archives NZ

Dept Approver to Authorise Disposal = Director, Maori Student & Community

Note: If you know that there will be other records held elsewhere in Unitec documenting the event/milestone then the photos / videos / DVDs you are holding should be stored together with these other records to create a central and complete record of the event/milestone.

b) **Documenting non significant or routine staff / student/ Unitec events e.g. routine graduation ceremonies or staff/student awards or functions**

GDA & Records Class = ITP GDA / 7.1.4

Disposal Action = Destroy as soon as no longer need

Dept Approver to Authorise Disposal = Director, Maori Student & Community

11. RECORDS RELATING TO THE ORGANISATION AND RUNNING OF EVENTS

a) **Documenting the development and management of significant ceremonies, celebrations, exhibitions e.g. planning briefs; design concepts; project files; meeting minutes; copy of programme.**

Note: **Does not include administrative records – see (b) below**

GDA & Records Class = GDA6 / 6.1.12

Disposal Action = Retain permanently for ultimate transfer to Archives NZ

Dept Approver Authorise Disposal = Director, Maori Student & Community

Note: If you know that there will be other records held elsewhere in Unitec documenting the event then the records you are holding should be stored together with these other records to create a central and complete record of the event.

b) **Administrative records related to the organisation of the significant events described above e.g. invitations; routine correspondence; booking of catering/venue/accommodation/transport/travel etc**

GDA & Records Class = GDA6 / 6.1.13

Disposal Action = Destroy (after 7 yrs)

Dept Approver Authorise Disposal = Director, Maori Student & Community

12. MONTHLY ACTIVITY REPORTS submitted to Director / Executive Director

GDA & Records Class = GDA6 / 1.2.3

Disposal Action = Destroy (after 7 yrs)

Dept Approver Authorise Disposal = Director, Maori Student & Community

13. RECORDS COVERING ROUTINE ADMIN TRANSACTIONS

e.g. answering queries; general correspondence dealing with minor matters

GDA & Records Class = GDA3 / 1.3

Disposal Action = Destroy as soon as no longer need

Dept Approver Authorise Disposal = Manager of relevant area

14. STAFF PERSONNEL RECORDS

All staff personnel files created by managers for their own staff must be sent to HR as soon as the staff member leaves Unitec / or transfers to a new Unitec department. HR will then check content against the master Personnel File they will be holding on this staff member, add content to this master file as required and then dispose confidentially of all duplicate records.