

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
1 Screening Programme Establishment and Programme-Specific Policy This class covers records documenting the establishment of any population based screening programme							
1.1	Programme Development - records documenting the establishment of a screening programme	Includes the records of the development of discussion documents, white papers, research papers, think pieces, correspondence, national policy statements etc. Includes working papers, drafts, legal advice and finals. For example records relating to the establishment of the National Cervical Screening	10 years	Date of last action	A - Retain As Public Archive	A3, A5	Restricted. 10 years.
1.2	Programme specific policy establishment - records covering the development of policy for a specific screening programme	Includes the records of the development of discussion documents, white papers, research papers, think pieces, correspondence, programme policy statements etc. Includes working papers, drafts, legal advice and finals. For example digital mammography.	10 years	Date of last action	A - Retain As Public Archive	A3, A5	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
2	Screening Programme Monitoring and Evaluation This class covers records documenting the monitoring, evaluation and auditing of population based screening programmes						
2.1	Programme Policy and Quality Standards - records of the development and review of programme policy and quality standards	Includes records documenting the development and review of policy and quality standards relating to screening programmes. Such as the Breast Screening Aotearoa Data Management Manual	10 years	Date of last action	A - Retain As Public Archive	A2, A3	
2.2	Regular Formal Monitoring Reports - formal monitoring reports prepared for programmes by NSU staff	Includes reports prepared as part of formal programme monitoring activities. Usually completed in-house as part of a regular monitoring programme. For example: Quarterly and annual reports prepared for the Newborn Metabolic Screening Programme. Note - the working papers (such as aggregated screening data, drafts of the report) related to the preparation of such reports is covered by GDA 3 and may be destroyed once the report is finalised	10 years	Date of last action	A - Retain As Public Archive	A3, A6	
2.3	Independent Monitoring Reports - formal monitoring reports prepared for programmes by external organisations	Includes reports prepared as part of formal programme monitoring activities completed by independent external parties as part of a regular monitoring programme. For example: independent Monitoring Report prepared for the National Cervical Screening Programme. Note - the working papers (such as aggregated screening data, drafts of the report) related to the preparation of such reports is covered by GDA 3 and may be destroyed once the report is finalised	10 years	Date of last action	A - Retain As Public Archive	A3, A6	
2.4	Formal Internal Programme Audit Reports - programme audit records prepared by NSU staff as part of formal auditing activities	Includes reports prepared as part of formal programme auditing activities completed internally. For example: Lab audits Note - the working papers (such as aggregated screening data, drafts of the report) related to the preparation of such reports is covered by GDA 3 and may be destroyed once the report is finalised	10 years	Date of last action	A - Retain As Public Archive	A2, A3	
2.5	Formal External Programme Audit Reports - programme audit records prepared by external organisations as part of formal auditing activities	Includes reports prepared as part of formal programme auditing activities completed by an external party. For example: Lab audits Note - the working papers (such as aggregated screening data, drafts of the report) related to the preparation of such reports is covered by GDA 3 and may be destroyed once the report is finalised	10 years	Date of last action	A - Retain As Public Archive	A2, A3	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
2.6	Adhoc Reporting - occasional reporting records prepared to support internal inquiries, policy development or monitoring	Includes reports prepared as part of adhoc programme monitoring and evaluation. Usually completed in-house. For example: a summary of the total number of women registered by the West Coast DHB in the breast screening programme in order to be able to prioritise promotion activities by age of women. Note - the working papers related to the preparation of such reports is covered by GDA 3	10 years	Date of last action	D - Destroy May be destroyed when minimum retention period has been met and all business, administrative, research and legal use ceases	D2	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
3	Screening Programme Management This class covers records documenting the management of population based screening programmes						
3.1	Provider contract management - records covering the set up and ongoing management of provider contracts	Includes drafts and signed version of contracts, correspondence about the contract, variations to contracts with providers (including labs)	10 years	From date when provider ceases to be actively engaged/contracted to NSU	D - Destroy	D2	
3.2	Provider relationship management - records documenting the ongoing working relationship between the provider and NSU	Includes records of meeting minutes, directives, high level relationship management records and correspondence outlining how NSU is working with the provider (including labs)	10 years	From date when provider ceases to be actively engaged/contracted to NSU	D - Destroy	D2	
3.3	Provider routine operational records - records of a routine nature managing day to day operations with providers	Includes routine, low-level records and correspondence between the provider (including labs) and NSU	10 years	From date when provider ceases to be actively engaged/contracted to NSU	D - Destroy	D2	
3.4	Client Correspondence - records of correspondence/queries with any screening programme participant	Includes routine operational correspondence between NSU and any participant of a screening programme. For example, letters to women who are overdue for a smear test, letter from screening programme participants about their results, change of details. Excludes requests for withdrawal from NCSP. For withdrawal records please see sub-class 6.4	10 years	Date of last action	D - Destroy May be destroyed when minimum retention period has been met and all business, administrative, research and legal use ceases	D2	
3.5	Routine Programme Management - records of a routine nature supporting day to day administration of screening programmes	Includes routine administrative records created to support the management of any programme such as routine internal memos, administrative correspondence, minor drafts of other documents relating to the management of programmes, requests for data	5 years	Date of last action	D - Destroy	D1	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
4.0	Patient Screening This class covers records created for the purpose of patient/client screening. Includes screening radiology magnetic resonance imaging (MRI) ultrasound mammography and related screening digital imaging created and held by providers and labs. Also includes pathology and lab requests and documentation accompanying samples.						
4.1	Imaging Requests - Request forms and referrals relating to imaging processes	Request forms and referrals	10 years	Date of request	D - Destroy	D2	
4.2	Imaging - Screening records and reports	Includes the screening reports from screening radiology, nuclear medicine, ultrasound, computed tomography MRI.	10 years	Date of last treatment	D - Destroy	D2	
4.3	Imaging - Recordings - Recordings produced for screening purposes	Includes x-rays videotapes films photographs ultrasound devices CDs DVDs	10 years	Date of last treatment	D - Destroy	D2	
4.4	Imaging - Identification and Tracing Systems - Recording systems maintained by the imaging service to identify and trace all images created	Imaging register	Until administratively no longer required	Date of last action	D - Destroy	D2	
4.5	Pathology and Laboratory Services - Requests	Request for a pathology procedure	15 years for adults 15 years from age of majority for minors	From date of sample	D - Destroy	D2	
4.6	Pathology and Laboratory Services - screening Reports and Results	Records documenting recordings and results. Includes laboratory records such as records of analysis, calculations and observations from which the result is derived for all types of samples such as blocks, LBC/HPV, worksheets, QA and test result validity	20 years for adults 20 years from age of majority for minors	From date of sample	D - Destroy	D2	
4.7	UNHSEIP Screening Assesment Data Form	Records documenting assessments and results.	10 years	From date of assessment	D - Destroy	D2	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
5	Screening Programme Advisory and Regulatory Groups This class covers records documenting the support and management of the Advisory Groups operating for each programme and Screening Programme Regulatory Groups.						
5.1	National Kaitiaki Group - records of the National Kaitiaki Group	All records created that document the activities of the National Kaitiaki Group and NSU interaction with that group. May include application for the gathering of data about identifiable Maori, acceptance of applications, correspondence	10 years	Date of last action	A - Retain As Public Archive	A1, A5	
5.2	Advisory Group Meeting Papers - formal records of the Advisory Group meetings	All records relating to the formal processes of the advisory Groups e.g. agendas, minutes, papers presented to the Advisory Group, correspondence with Chairperson etc	10 years	End of financial year in which the record was created	A - Retain As Public Archive	A5	
5.3	Advisory Group Administration - records associated with the administration and operation of each Advisory Group	Includes records created to support the administration and operation of each Advisory Group. Such as meeting arrangements, draft documents, travel arrangements etc	1 year	Date of last action	D - Destroy	Consistent with GDA 4/6.2 D1	
5.4	Appointment of Advisory Group Members - records associated with the appointment of Advisory Group members	Includes records associated with Appointments and Resignations, Co-opted Members etc	10 years	Date of last action	A - Retain As Public Archive	A5	
5.5	Advisory Group reports - reports prepared by the Advisory Groups for NSU, the Ministry of Health or Ministers	Includes reports prepared by the Advisory Groups for NSU, the Director General of Health or Ministers	10 years	Date of last action	A - Retain As Public Archive	A5	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
6	Screening Programme Data and Business Information Systems This class covers the raw or sanitised data collected by NSU to assist with the management of the population based screening programmes.						
6.1	Raw Programme Data Managed by NSU - data collected or received by NSU in relation to any screening programme	Includes database records, spreadsheets of raw (or depersonalised) data, spreadsheet of data created from raw data for analysis purposes for example, National Cervical Screening Register, Newborn Metabolic Screening data spreadsheets	5 years	Date of last action	D - Destroy May be destroyed when minimum retention period has been met and all business, administrative, research and legal use ceases	D3	
6.2	Collated Programme Data Management by NSU - data collated by NSU in relation to any screening programme	See Class 2 - Monitoring and Evaluation					
6.3	Screening History Data Relating to Withdrawn Participants of National Cervical Screening Programme	Includes data/screening history records (both hard copy and electronic) relating to any participant of the National Cervical Screening Programme that has asked to be withdrawn from the programme. Under the Health Act 2005 Amendment part 4A these records must be destroyed if a participant wishes to be <u>withdrawn from the programme</u>	2 months	From date when participant seeks withdrawal from the programme	D - Destroy	D2	
6.4	Request and Demographic Information Relating to Withdrawn Participants of National Cervical Screening Programme	Includes actual request records and demographic data (such as name, NHI number, ethnicity) for women who request to be withdrawn from the National Cervical Screening Programme. See link to class above.	5 years	From date when participant seeks withdrawal from the programme	D - Destroy May be destroyed when minimum retention period has been met and all business, administrative, research and legal use ceases	D2	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
6.5	Programme Data Managed by Providers - data from any screen programme collected or collated by providers	Includes database records, spreadsheets of raw (or depersonalised) data, spreadsheets of data created from raw data for reporting purposes by providers (including labs). For example infant hearing screening data. When the provider is a lab then this will also include referral forms and results of screening processes performed by the lab. Note: this sub-class covers provider and lab controlled data - which must be retained by the provider until the contract has expired after which it should be sent to NSU for retention until NSU no longer requires it. Note: Copies of raw data sent to NSU can be destroyed by NSU once entered into recording systems providing the provider is retaining the original as per the requirements of this sub-class.	1 year	From date when provider ceases to be actively engaged/contracted to NSU	D - Destroy May be destroyed when minimum retention period has been met and all business, administrative, research and legal use ceases	D3	
6.6	National Cervical Screening Programme data relating to the update of individuals details - data updated by the Regional Services team	Includes reports and colposcopy forms returned to the business which are transcribed and entered into the NCSP Register	6 months	From date when data is entered into NCSP Register	D - Destroy	D3	
6.7	Data Collected from Other Agencies - data and statistics collected from other agencies to support NSU activities	Includes statistics and raw data collected to support NSU monitoring and analysis activities such as population, and birth/death/marriage data from Statistics New Zealand,	10 years	Date of last action	D - Destroy	D3	
6.8	Operational NSU Business Information Systems - databases used within NSU to record and manage programme data	Includes the National Cervical Screening Register, Interim Newborn Hearing Database, and any other programme database developed by NSU. Includes system specifications, purchase and maintenance agreements, upgrade and modification documentation, database management records.	2 years	When system becomes inactive	D - Destroy	Consistent with GDA4/11.1 D1	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
7	Government Policy Development						
	This class covers the records relating to the development of government policy for population based screening (including policy advice provided to the Director General of Health)						
7.1	Policy Development and Advice NSU Lead - records relating to the development of government policy where NSU is the lead	Includes the records of the development of discussion documents, white papers, research papers, think pieces, correspondence, national policy statements etc. Includes working papers, drafts, legal advice and finals. For example records relating to the development of the business case for digital mammography, or development of policy on routine screening for alcohol	10 years	Date of last action	A - Retain As Public Archive	A3	
7.2	Reports to Ministers - including health reports and briefings to incoming government	Includes records of the development and finals of Cabinet Papers, Ministerial Briefing Papers, Health Reports	10 years	Date of last action	A - Retain As Public Archive	A2, A4	
7.3	Consultation - records documenting consultation with external parties/stakeholders as part of the policy development and review process	Includes public consultation documents, submissions received (whether from other government agencies, stakeholders or members of the public) and all other records relating to the consultation process	10 years	Date of last action	A - Retain As Public Archive	A2, A3	
7.4	Research and Analysis - records collected for research and analysis which support the development of policy	Includes background research material gathered specifically for the purpose of policy development activities	10 years	Date of last action	D - Destroy	D2	
7.5	Policy Development Other Agency Lead - policy development and/or review records where another agency is the lead agency but NSU provides input	Includes copies of policy documentation from other agencies, and NSU submissions/correspondence/comments on policy papers being lead by another agency.	5 years	Date of last action	D - Destroy	D2, D3	
7.6	MOH Administered Legislation Support - records of support activities around MOH administered legislation that have an impact on NSU activities	Includes records created to support the development or implementation of any legislation that pertains to the core activities of NSU. For example any changes made to the Health Act part 4A that relate to NSU activities or legal mandate.	10 years	Date of last action	A - Retain As Public Archive	A1	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
8 Queries, Complaints and Investigations This class covers records of queries, complaints and investigations in relation to screening programmes							
8.1	Queries/enquiries - records of queries and enquiries	Includes queries/enquiries from media, members of the public. In relation to NSU generally or a specific screening programme. For example request for access to screening results for a particular demographic or location. For records of requests of screening programme participants to see their own record please see sub-class 3.5	5 years	Date of last action	D - Destroy	D2	
8.2	Complaints Specific to Programme - records of complaints	Includes complaints correspondence, and response, reporting against complaints	10 years	Date of last action	D - Destroy	D2	
8.3	Complaints database - records contained within the Jira database	Includes the issues and complaints database and all data within it	10 years	Date of last action	D - Destroy May be destroyed when minimum retention period has been met and all business, administrative, research and legal use ceases	D2	
8.4	Risk and Issue Records - records of risks and issues identified by NSU and managed within the risk register	Includes all records related to the identification and mitigation of risks and issues within NSU that are captured and maintained on the NSU risk register - including the register itself.	10 years	Date of last action	D - Destroy	D2	
8.5	Sentinel Event Records - records of minor investigations into screening practices	Includes initial notification of event, communications with relevant NSU provider, engagement records if 3rd party reviewer is brought in to review screening results, communications with the Minister, media related communications, records of the results of the event	15 years	Date of last action	A - Retain As Public Archive	A1, A3, A4, A6	Restricted. 10 years.

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
8.6	Investigations and Inquiries - records of formal government investigations or inquiries into screening practices	Includes all records related to a formal government investigation or inquiry, such as the Cervical Screening Inquiry. Includes records documenting the initial investigation/inquiry brief, background and supporting documentation, consultation and information gathering, reporting records, plus the final results of the investigation or inquiry. May also include records documenting the implementation of any recommendations made from the inquiry/investigation such as milestone reporting to Ministers, legal assessment in regards to individuals taking legal action, ethics committee considerations and communications. Working papers relating to the investigation/inquiry should be disposed of according to the provisions of GDA 3.	15 years	Date of last action	A - Retain As Public Archive	A1, A3, A4, A6	Restricted. 10 years.

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
9 Public Education Campaigns, Training and Communications This class covers records documenting the development and management of public education campaigns relating to population based screening programmes							
9.1	Public Awareness Campaigns and Education Programmes - Records of the development and management of external education programmes and social marketing campaigns	This includes education programme planning, liaison with stakeholders, promotional materials and development of resources and implementation of campaigns. For example the education and public awareness campaigns related to the National Cervical Screening Programme	10 years	Date of last action	A - Retain As Public Archive	A3	
9.2	External Communications	For disposal actions relating to external communications activities please see GDA 4					
9.3	Internal Communications	For disposal actions relating to internal communications activities please see GDA 4					
9.4	Training and Education Records - records documenting the provision of training and education services to providers	Includes programme planning, course materials, publicity about training courses For disposal actions relating to routine administrative records supporting this activity please see GDA 4	10 years	Date of last action	A - Retain As Public Archive	A3	

ID	RECORD CLASS DESCRIPTION	EXAMPLES OF RECORDS	TOTAL RETENTION PERIOD	TRIGGER (point when total retention period begins)	DISPOSAL ACTION	CRITERIA and/or DA Reference	Notes
10 Relationship Management and Liaison This class covers records documenting high-level relationships and liaison with other agencies and/or organisations where it is not covered by other classes							
10.1	Relationships and Partnerships with Other Organisations - high-level strategic records documenting the relationship	Records about NSU's relationships and/or partnerships with other organisations (NZ based and off-shore). Applies to interactions with, membership of and representation on, local, national and international organisations, councils and professional bodies, other county's screening programmes. Includes high level strategic relationship management records only	10 years	Date of last action	A - Retain As Public Archive	A2, A5	
10.2	Relationships and Partnerships with NZ Crown Agencies - high-level strategic records documenting the relationship	Includes Memoranda of Understanding and other high level strategic relationship management information. Applies to interactions with, membership of and representation on, local, national and international organisations, councils and professional bodies. Includes high level strategic relationship management records only	10 years	Date of last action	A - Retain As Public Archive	A2, A5	
10.3	Routine Relationship Management - records of a routine administrative nature	Includes routine administrative records created to support relationships with Other Organisations, NZ Crown Agencies. Examples include: low-level correspondence, routine internal memos, contact details, drafts of documents	2 years	Date of last action	D - Destroy	D1	