

### Office of the Ombudsman Disposal Schedule

No.	Class	Description	Retention Period	Trigger point	Disposal Action
<b>1.0</b>	<b>Alphanumeric case numbering system files (1962-2009)</b>				
1.1	W / C / A case files	Cases file with W / C / A prefixes. Complaint and investigation case files include all incoming and outgoing correspondence, evidence and supporting documentation created during the course of the complaint or investigation.	10 years	Date case closed	Transfer to Archives New Zealand
1.2	Card indices	Paper card indices to case files prior to the Case Management System. Indices are available and cross-referenced by contact name, by topic, and by agency	Until no longer administratively required	Date of last action	Transfer to Archives New Zealand
<b>2.0</b>	<b>Complaints and Investigations under the Ombudsman Act, Official Information Act, Local Government and Official Information and Meetings Act</b>				
2.1	Complaints - Other contacts	Other contacts are not an expression of dissatisfaction that is reduced to writing. This can include phone enquiries, requests for guidance or OIA requests	Retain until no longer required as precedent	Date case closed	Destroy
2.2	Complaints Outside Jurisdiction	Complaints that are not covered by the acts, refer to an agency not listed in the Ombudsman Act scheduled agencies, or are a scheduled agency otherwise outside jurisdiction	Retain until no longer required as precedent	Date case closed	Destroy
2.3	Complaints Referred	Complaints that are referred to another agency, such as the Health and Disability Commissioner, the Independent Policy Conduct Authority or the Privacy Commissioner	Retain until no longer required as precedent	Date case closed	Destroy
2.4	Investigation not undertaken (withdrawn)	Complaints that are withdrawn; where there is recourse through a right to appear to Court or Tribunal; an adequate alternative remedy; out of time; or where there is insufficient personal interest	Retain until no longer required as precedent	Date case closed	Destroy
2.5	Investigation not undertaken (trivial / frivolous)	Complaints that are trivial, frivolous, vexatious, not in good faith; or where an investigation is not necessary	Retain until no longer required as precedent	Date case closed	Destroy
2.6	Complaint resolved without investigation	Complaints that are resolved without investigation, through remedial action to benefit complainant, and / or to improve state sector administration, or through the provision of advice that satisfies the complainant	10 years	Date case closed	Transfer to Archives New Zealand
2.7	Investigation discontinued	Complaints that are withdrawn by the complainant, where further investigation is unnecessary, or the agency has agreed to review	10 years	Date case closed	Transfer to Archives New Zealand
2.8	Complaints resolved during investigation	Complaints that are resolved but no final opinion is formed, as remedial action is identified to benefit complainant and / or to improve state sector administration; or advice is provided by the agency or Ombudsman that satisfied complainant	10 years	Date case closed	Transfer to Archives New Zealand
2.9	Complaints investigated and finalised	Complaints where a final opinion is formed which may identify administrative deficiency, and make recommendations, or no deficiencies are identified, or issues cannot be determined	10 years	Date case closed	Transfer to Archives New Zealand
2.10	Complaints from prisoners	Under s11 and s64 of the Prisoner and Victims Claims Act 2005, to get a complaint off the ground, a prisoner must first made reasonable use of internal and external complaints mechanisms. The files constitute a record of any prior approaches and advice given by the Office of the Ombudsman.	30 years	Date case closed	Destroy
<b>3.0</b>	<b>Complaints and Investigations under the Protected Disclosures Act (PDA)</b>				
3.1	Complaints - advice given	Other contacts are not an expression of dissatisfaction that is reduced to writing. This can include phone enquiries, requests for guidance or OIA requests	Retain until no longer required as precedent	Date case closed	Destroy

3.2	Complaints Referred	Referred to another appropriate authority, such as a professional body, or head of a public sector agency.	Retain until no longer required as precedent	Date case closed	Destroy
3.3	Complaints Investigated	Complaints investigated under PDA, which may result identification of serious wrong doing and / or recommendations	10 years	Date case closed	Transfer to Archives New Zealand
<b>4.0</b>	<b>Monitoring Deaths in Custody</b>				
4.1	Natural Deaths	Analysis, correspondence and reports into Department of Corrections investigations into Deaths in Custody that occurred due to natural causes. These records contain copies of reports received from the Department of Corrections but retained as part of the evidential decision-making process.	10 years	Date case closed	Destroy
4.2	Unnatural Deaths	Analysis, correspondence and reports into Department of Corrections and Coroners investigations into Deaths in Custody that were not due to natural causes. These records contain copies of reports received from the Department of Corrections but retained as part of the evidential decision-making process.	10 years	Date case closed	Transfer to Archives New Zealand
<b>5.0</b>	<b>Systemic Interventions</b>				
5.1	Governance	Setting up and running of a governance body that assess matters requiring systemic investigation, including terms of references, agenda and minutes from Board meetings, including issues referred to governance bodies for consideration	10 years	Date of last action	Transfer to Archives New Zealand
5.2	Planning and Methodology	Planning and scoping for the methodology of identifying systemic issues, including methodology and practice reviews	10 years	Date of last action	Transfer to Archives New Zealand
5.3	Issue and sector monitoring	Information collection and analysis of public sector activity. Can be passive monitoring (scanning) or active monitoring (watch-list)	20 years	Date of last action	Destroy
5.4	Administration	Low-level administrative documentation supporting the monitoring and investigation. Including travel arrangements and setting up of meetings.	5 years	Date of last action	Destroy
5.5	Scoping of cases to be investigated	Detailed analysis of issues identified from scanning for potential system intervention. Records include an assessment of the issue, summary of evidence and recommendations for action.	10 years	Date of last action	Transfer to Archives New Zealand
5.6	Systemic Issue Resolution	Actively working with an agency to achieve systemic resolution without an investigation through resolution strategy. Records include engagement records, evidence of actions and debriefing notes.	10 years	Date of last action	Transfer to Archives New Zealand
5.7	Systemic investigation case opinions	A detailed systemic investigation case resulting in a final opinion with recommendations. Records include notification correspondence, issue assessment and evidence summaries, and provisional and final opinions. This also includes correspondence generated as part of post investigation monitoring.	10 years	Date of last action	Transfer to Archives New Zealand
5.8	Systemic investigation cases evidence	Evidence from systemic investigation cases including meeting and interview notes, agency questionnaires or surveys, desk research.	7 years	Date of last action	Destroy
<b>6.0</b>	<b>Crimes of Torture Act Inspections (prisons, health and disability units)</b>				
6.1	Evidence	Evidence gathered as part of the inspection including copies of documentation from the unit; anonymous prisoner surveys; inspection photos. Inspections are a snapshot of the current state.	10 years	Date of last action	Destroy
6.2	Survey database	Collation of comments from the anonymous surveys	10 years	Date inspection finalised	Transfer to Archives New Zealand
6.3	Inspection reports	Inspection reports including provisional reports sent to the institution and comments from consultation. This also includes follow-up reports as part of the monitoring of recommendations.	10 years	Date inspection finalised	Transfer to Archives New Zealand

6.4	Inspections and visits administration	Administrative arrangements regarding the arrangement of inspection visits	2 years	Date inspection finalised	Destroy
6.5	Inspections criteria	The drafting and approval of criteria which determine priorities for selecting institutions to be inspected	10 years	Once superceded	Transfer to Archives New Zealand
6.6	Operational inspections manuals	Operational manuals for carrying out inspections	10 years	Once superceded	Destroy
6.7	Inspection policy development	Records documenting the development of policy for monitoring and inspections places of detention	10 years	Date of last action	Transfer to Archives New Zealand
<b>7.0</b>	<b>International engagement</b>				
7.1	Professional bodies	Relations and participation in the International Institute of Ombudsmen and other international professional bodies. Includes internal papers presented at conferences and agenda and minutes	10 years	Date of last action	Transfer to Archives New Zealand
7.2	Conference proceedings	Published conference proceedings	1 year	Date of last action	Destroy
7.3	Relations with International Ombudsmen	Relations with other Ombudsmen including visits and information sharing, including hosting delegations from overseas bodies	10 years	Date of last action	Transfer to Archives New Zealand
<b>8.0</b>	<b>Provision of advice and guidance, including Jurisdictional</b>				
8.1	External policy and practice advice	Guides that assist agencies in improving internal administrative practice, for example, internal OIA policy and procedures.	10 years	Date of last action	Transfer to Archives New Zealand
8.2	Agency request for advice	Commenting on agency policies and procedures relating to OIA, OA, LGOIMA, PDA	10 years	Date of last action	Transfer to Archives New Zealand
8.3	Media requests for advice	Commenting on requests from the media	5 years	Date of last action	Destroy
8.4	Legislative Review	Review of any governing legislation, including new legislation, amendment bills and issues with current legislation, for example the Law Commission review of the Official Information Act	10 years	Date of last action	Transfer to Archives New Zealand
8.5	Comment on other agency legislation	Commenting on other agency legislation, including looking at legislative trends across the sector	10 years	Date of last action	Transfer to Archives New Zealand
8.6	Community outreach	Community engagement, such as speeches and presentations to community organisations	10 years	Date of last action	Transfer to Archives New Zealand
8.7	Agency training	Training to agencies on the role of the Ombudsman, good administrative decision making and complaints handling processes.	5 years	Date of last action	Destroy
8.8	Use of Ombudsman Title	Under the Ombudsman Act, the use of the term 'Ombudsman' is protected. Records in this class include requests for use of the protected term, such as the Banking and Insurance Ombudsman.	10 years	Date of last action	Transfer to Archives New Zealand
8.9	Requests for the Ombudsman corporate information	Office of the Ombudsman is not subject to the Official Information Act. Despite this exemption, the Chief Ombudsman expects that the Office will, where practicable, respond to information requests in a manner consistent with that legislation, with the exception of information subject to the secrecy provisions in our governing legislation. Records covered under this class include requests for information about our supporting functions and expenses.	10 years	Date of last action	Destroy
8.10	Requests for the Ombudsman complaint information	Office of the Ombudsman is not subject to the Official Information Act. Despite this exemption, the Chief Ombudsman expects that the Office will, where practicable, respond to information requests in a manner consistent with that legislation, with the exception of information subject to the secrecy provisions in our governing legislation. Records covered under this class include requests for information about work in hand, for example, how many complaints have been received about healthcare in prisons.	10 years	Date of last action	Transfer to Archives New Zealand
<b>9.0</b>	<b>Monitoring the Disability Convention</b>				

9.1	Independent Monitoring Mechanism (IMM)	Collaboration with other IMM members and relevant disability stakeholders. Records include terms of reference, and agenda and minutes, and input into collaborative reports	10 years	Date of last action	Transfer to Archives New Zealand
9.2	Provision of advice and guidance	Provision of advice to public sector agencies on complying with the Disability Convention	10 years	Date of last action	Transfer to Archives New Zealand
9.3	Submissions	Making submissions on disability policy in compliance with the Disability Convention	10 years	Date of last action	Transfer to Archives New Zealand
<b>10.0</b>	<b>Practice Management</b>				
10.1	Continuous Practice improvement guidelines and manuals - working documents	Working documents and drafts of guidelines and manuals that document investigative practice management	10 years	Once superceded	Destroy
10.2	Continuous Practice improvement guidelines and manuals - final	Final copy of guidelines and manuals that document investigative practice management	10 years	Once superceded	Transfer to Archives New Zealand
10.3	Precedents	Cases that form a precedent or which contain a particularly interesting feature and are captured in published case notes, case updates, guidance notes	10 years	Date of last action	Transfer to Archives New Zealand
<b>11.0</b>	<b>Stakeholder and Sector Management</b>				
11.1	Relations with other agencies	Senior level engagement with agency stakeholders, including other NZ Ombudsmen, Government Departments and Ministries, local government, District Health Boards, Independent Crown Entities, Tertiary Education Institutions, Maori iwi and hapu and groups, Pacific Island groups, Dispute Resolution groups, sector non-government organisation (NGOs). Records include meeting agenda and minutes and terms of reference.	10 years	Date of last action	Transfer to Archives New Zealand
11.2	Working groups	Involvement in sector wide committees and working groups involving issues under jurisdiction. Records include meeting agenda and minutes and terms of reference.	10 years	Date of last action	Transfer to Archives New Zealand
11.3	Sector groups	Minutes and agenda from sector groups meetings, including case specific sector groups. Records include meeting agenda and minutes and terms of reference.	10 years	Date of last action	Transfer to Archives New Zealand
<b>12.0</b>	<b>Governance, Strategic Planning and Reporting</b>				
12.1	Governance meetings	Agenda and minutes of executive level meetings. Includes Executive committee, Senior Management Team, Project Governance and Boards.	10 years	Date of last action	Transfer to Archives New Zealand
12.2	Strategic development of core functions	Planning, scoping, methodology and policy for implementation of new core jurisdictional area, function, activity, process or area, including terms of reference, process mapping, business requirements.	10 years	Date of last action	Transfer to Archives New Zealand
<b>13.0</b>	<b>Statutory Consultation</b>				
13.1	Requests for information release	Requests for approval by a third party to access registers which contain Personal Identifiable Information (PII) such as the Motor Vehicles Register, and s317 of the Customs and Excise Act 2018	10 years	Date of last action	Destroy
13.2	Ministerial Conflict of Interest	Records relating to the annual release of information from the Ministerial conflict of interests register	10 years	Date of last action	Transfer to Archives New Zealand