

Appraisal Report
for
Health Quality and Safety Commission
Records Disposal Schedule

August 2018

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Purpose

The Health Quality and Safety Commission (the Commission) is a Crown agency established in 2010 with the vision that New Zealand will have a sustainable, world-class, patient-centred health care and disability support system, which will attract and retain its workforce through its commitment to continually improve health quality, and deliver equitable and sustainable care.

To date the Commission has operated under Archives New Zealand's General Disposal Authorities (GDAs), but is now looking to fulfil its obligations under the Public Records Act 2005 and develop guidance and an appraisal report with disposal schedule to manage records related to functional activities specific to the Commission and to address any perceived gaps in the GDAs.

This appraisal will achieve two main goals. The first is to meet compliance with the requirement of the Information and Records Management Standard, which states that records must be appraised. The second goal is to optimise records management practices and ensure that records are managed for only as long as they have to be, to ensure resources are used efficiently for the best return in value to the Commission and the New Zealand public.

The report supports effective and efficient records management as part of an information and risk management framework. It also provides context and justification for disposal decisions in the Commission's Disposal Schedule.

The accompanying disposal schedule identifies the different types of records that the Commission creates and receives and the time period for keeping the records prior to their destruction or transfer to Archives New Zealand.

Scope

This schedule applies to all public records in any format pertaining to the functions of the Commission. The public records may be current, non-current or yet to be created and include both hard-copy and electronic records.

Format

This appraisal report and the accompanying schedule covers records in all formats.

Agency Information

Name of public office	Health Quality and Safety Commission
Alternative name	HQSC
Year established	2010

In December 2009 the Cabinet agreed to establish the Health Quality and Safety Commission under Crown Entities Act 2004 and transfer some of the functions of the Quality Improvement Committee to the newly established Commission as per the New Zealand Public Health and Disability Act 2000 (the Act).

The Commission's objectives under the Act¹, are to lead and coordinate work in quality and safety across the health and disability sector, to measure, monitor and improve the quality and safety of health and disability support services and to help providers across the sector improve these services.

The Commission is charged with:

- providing advice to the Minister of Health to drive improvement in quality and safety in health and disability services
- leading and coordinating improvements in safety and quality in health care
- identifying data sets and key indicators to inform and monitor improvements in safety and quality
- reporting publicly on the state of safety and quality, including performance against national indicators
- disseminating knowledge on and advocating for safety and quality.

In addition to these functions, the Commission has subsumed the activities outlined in Section 17 of the New Zealand Public Health and Disability Act 2000 (NZPHD Act)², namely:

- advising the Minister of Health on any health epidemiology and quality assurance matters
- ensuring to the maximum extent practicable, that there is national coordination in reporting of relevant health epidemiology and quality assurance matters and that there is a capacity to improve health outcomes through quality assurance programmes directed to clinical providers.

¹ Public Health and Disability Act 2000 - Section 5

² Public Health and Disability Act 2000 - Section 59C

Organisational structure and management

The Commission reports to a Board of at least 7 members which is appointed under the Crown Entities Act 2004³. The Commission is managed by a Chief Executive who is supported by an Executive Leadership Team of 8 managers that are responsible for the strategic and operational management of the Commission.

Recordkeeping environment

Information management is part of the portfolio of the Manager Business Services and Chief Financial Officer. The Office Manager has responsibility for providing recordkeeping advice, training and support to staff as required. Commission staff are responsible for managing their own records under the guidance of policies and processes that are available on the Commission's intranet. The Commission does not have a dedicated Records Manager.

The Commission's records are held in a range of repositories and business systems. The Commission operates a digital by default policy (August 2016), which is outlined in the Information Management Policy available to all staff and contractors on the intranet and in induction training. The Commission uses one classification schema for both physical and electronic records.

The Commission's key document management system is SharePoint 2010, which is integrated with OnePlaceMail 2016 to support email management (the Commission will be upgrading its SharePoint system as part of the Information Systems strategic plan). The Commission has not implemented a recordkeeping application. Support and advice for SharePoint is provided by Spoke⁴. Files are stored in a secure off-site secure data centre hosted by Revera⁵ and standard backup and disaster recovery processes are in place.

The Commission also uses shared drives for storing working copies which are covered under GDA6. The shared drives are also hosted by Revera and information is stored in their secure off-site data centre.

Much of the information received in paper format is scanned and saved into one of the Commission's business systems. The Commission scans in accordance with the guidelines

³ Crown Entities Act 2004 - Section 28

⁴ <https://www.timewespoke.com/>

⁵ <https://www.revera.co.nz/>

in the “*Authority to Retain Public Records in Electronic Form only*”, “*Destruction of Source Information after Digitisation*”⁶

Paper records that are retained are primarily historical from prior to the digital by default policy being implemented and these are stored offsite through TIMG.

Websites including the Commission’s external website and microsites make available Commission information to external stakeholders. Original information on these websites is stored in either Sharepoint or on the shared drive and uploaded to these sites.

Appraisal methodology

The Office Manager undertook a functionality test of the business and as part of that it was decided to have the disposal schedule reflect the various working groups within the Commission. The schedule has 8 parts and has been structured to reflect the functions of the Commission’s various teams because Commission staff will be implementing the schedule.

As part of the drafting process, the Office Manager reviewed and considered examples of disposal authorities from other agencies such as the Commerce Commission, Veteran’s Affairs, New Zealand Qualifications Authority, and Ministry of Health.

Internal consultation

Consultation on the draft disposal schedule occurred across all areas of the Commission to validate the schedule and obtain approval. Appendix One lists the Commission staff consulted during the development of the disposal schedule. Following the consultation, the draft appraisal report and disposal schedule was developed with assistance from Archives New Zealand and Statistics New Zealand. Both the appraisal report and the disposal schedule were approved by the executive leadership team before consultation with the wider external stakeholder group.

External consultation

⁶ Archives New Zealand; 2017 *Authority to retain public records in electronic form only*, Archives New Zealand, Wellington

A number of organisations were identified as the key external stakeholders that may have an interest in the disposal of the Commission’s records. The consultation list can be found in Appendix Two.

We received letters back from Pharmac, Ministry of Social Development, Ministry of Health and Health and Disability Commissioner’s office who had no comments or concerns. The Ministry of Justice provided useful feedback on the consistency of retention periods for similar records and those suggestions have been incorporated into the disposal schedule.

Appraisal Criteria

The following appraisal criteria have been used in assessing the value of the records covered by this schedule. These criteria have been taken from the Archives New Zealand *Appraisal Statement* March 2014 which has been developed to provide the rationale for long-term retention of public records as archives.

VALUE	DESCRIPTION
Business Value	<i>Records that are fundamental to the ability of a public office or local authority to carry out its business and enable continuity of services to the New Zealand public.</i>
	Records identified will be considered essential for the particular business processes or services of an agency or public office, or for the fulfilment of other requirements whether legislative, regulatory or commercial. These records will need to be retained for a period of time as opposed to records of a transitory nature. Indicators of value may include: <ul style="list-style-type: none"> • Requirements for business continuity – vital records • Evidence of decision-making • Use for business intelligence for the development of new services • Risk management • Use in other business processes by other agencies
Accountability	<i>Records that are fundamental to providing citizens with trust in government; providing evidence of the well-being of the community and the impact of government activities on them, in compliance with relevant legislation and regulations.</i>

Records identified will be considered essential for the protection and well-being of current and future generations and enhance public confidence in the actions of public offices and local authorities. This includes records documenting the impact of government activities on the community or individuals and the intervention of the government in people's lives. Indicators may include evidence of:

- The impact of Public Office or Local Authority's actions, on people's lives
- Agreements between governments
- Audit or monitoring of government interventions in response to inequalities

Rights and Entitlements

Records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups

Records that are essential for the establishment and protection of fundamental rights and entitlements of individuals, legal or natural, and groups within the community and the nation, and the on-going administration of the government of New Zealand. This includes records documenting the existence of individuals or groups, their rights to participate in the affairs of the nation and make claim to entitlements and protection provided by the government. Indicators may include evidence of:

- Impact on individuals/groups, people who are disadvantaged, effect on wellbeing, and the right to participate
- The effect in individual identity
- Proof of rights/qualification for on-going rights

Legitimacy of Authority

Records that identify and document the source of authority and foundation of the machinery of government and its public sector bodies.

Records that document the establishment and allocation of functions to government agencies and local authorities that will define the nature and extent of their jurisdiction, obligations and powers. They will originate from legislation and central agencies of the public service. Indicators may include evidence of:

- Validation of authority e.g. high level public service appointments
- Formal instruments or authorities establishing or disestablishing functions, jurisdictions, mandates, powers and operations
- Judgements or rulings determining the extent of jurisdiction or powers

Te Tiriti o Waitangi/Treaty of Waitangi

Records that provide evidence of recognition and respect for, fulfilment of or aspirations to Te Tiriti o Waitangi/Treaty of Waitangi principles and the Crown's obligations, or in the absence of this, evidence of failure to fulfil obligations and principles.

Records provide evidence of government decisions that have been documented in relationship to consultation, negotiations, debates and discussions including those that document failure to fulfil obligation. They will also provide evidence of post Treaty settlement relationships and partnerships with Iwi Māori. These records will be taonga available for all New Zealanders, iwi and the Crown.

Indicators may include evidence of:

- Treaty negotiations and settlements
- The principles of Te Tiriti o Waitangi/Treaty of Waitangi being acknowledged and embedded
- Strategies to identify opportunities for partnership with tangata whenua
- The Crown sustaining and protecting mātauranga Māori

Knowledge

Records that will substantially contribute to knowledge and understanding of New Zealand, its history, geography, society, culture and achievements and New Zealanders' sense of their national identity.

All records carry knowledge through time. On-going retention is only justified for records or information identified as having the capacity and potential to substantially contribute to the body of knowledge or understanding that will materially improve the life of New Zealanders now and in the future.

Societal - Indicators may include evidence of:

- Cohesion and conflict between social groups and the government
- Development and management of infrastructure
- Social well being

A 'New Zealand' Identity - Indicators may include evidence of:

- New Zealand's place in the world, international relations, involvement in, or opposition to global developments
- Involvement with, relevance to global events, movements
- Uniquely New Zealand enterprises, systems, services
- Contributions of notable individuals to New Zealand's character
- Treaty settlements

Whakapapa/genealogical - Indicators may include evidence of:

- Family relationships – links between the past and the present

Cultural - Indicators may include evidence of:

- Iwi, hapū, ethnic community/group identity, issues and initiatives

- Government responses to, or services for specific ethnicities
- Management/registration/preservation of areas of cultural or heritage importance/meaning
- Initiatives to preserve and/or promote a resurgence of languages

Scientific/technical/engineering - Indicators may include evidence of:

- Innovation, development or improvement to services/processes/infrastructure
- Degree of transformation of a service, delivery or process
- Major discoveries of importance for communities/New Zealanders

Stewardship/Kaitiakitanga - Indicators may include evidence of:

- Environmental monitoring, data-collections and analysis of environmental data
- Changes to land use e.g. National Parks, marine reserves
- Contaminant usage, hazardous substances

Description and evaluation of classes

The disposal schedule has eight classes. The sections below outline each class and provide details of records covered by that class, evaluation and recommended disposal action.

Please note: all of the activities captured in the record classes listed below create records related to the general administration required for the activities. These administrative records are of a routine/operational nature and are of short term business value.

These administrative records fall outside of the coverage of this disposal authority, as they are covered under General Disposal Authorities 6 and 7. In practical terms, in the existing record frame work of the Commission, the administrative records are filed within the records classes of the activities that the records were created to administer. While the retention period for these administrative records in the General Disposal Authorities can be as relatively low, the Commission prefers to retain these records for at least 10 years before disposal.

Class 1 Governance, Accountability and Strategic Management

Description

This class covers records documenting activities of governance, accountability and strategic management not covered by the Archives New Zealand General Disposal Authority for common corporate records (GDA6). This includes sub-classes for:

- 1.1.1 Board Membership Management
- 1.1.2 Chair and Chief Executive correspondence
- 1.1.3 Ministerial Records

The sub-class of **board management** covers the records around Board membership, tenure, terms of reference, governance manual minutes and agenda papers

Chair and Chief Executive correspondence records are correspondence from members of the public or other organisations where a response is required that is not a request for information under the Official Information Act.

The sub-class **ministerial records** cover records of ministerial approvals for capital or operational expenditure and ministerial correspondence including letters of expectation.

Value statement

Several of the sub-classes in this class contain records of archival value.

Records of the Chair's and CEO's correspondence provide evidence of the interactions between the Chair and/or the CEO and whoever writes to them and are recommended for retention as public archives as they provide evidence of the transparency of process.

Ministerial records also provide evidence of transparency of communications between the Commission and Government.

These records enhance public confidence in the actions of public offices and document the source of authority; therefore they meet the Accountability and Legitimacy of Authority criteria of the Appraisal Statement and are recommended for transfer to Archives New Zealand.

Records recommended for retention as public archives:

Class number	Title	Minimum retention period	Trigger	Disposal action
1.1.1	Board management	15 years	Date of last action	Transfer to Archives New Zealand
1.1.2	Chair and Chief Executive correspondence	15 years	Date of last action	Transfer to Archives New Zealand
1.1.3	Ministerial Records including financial approvals and correspondence	15 years	Date of last action	Transfer to Archives New Zealand

Class 2 Improvement Programmes

Description

The Commission has a range of improvement programme areas which can vary depending on health priorities. At the time of writing this schedule, the improvement programmes include, but are not limited to: medication safety, infection prevention and control, aged residential care, patient deterioration, pressure injury prevention, mental health and addiction, and safe surgery. This record class is subdivided into the two following record sets.

2.1.0 Programme management

These records deal with the management of the quality improvement programmes, for example programme plans, signed Charters from participating parties and other key foundation documents. Also included are records on membership, terms of reference and meeting information for the expert advisory groups that work with the Commission on these programmes.

2.2.0 Reports

These records deal with any literature and research gathered to inform the reports, and workshops, learning sessions and evaluations on the programmes. Also included are any final but unpublished reports.

These record sets include sub-classes for:

- 2.1.1 Expert Advisory Groups and Related Groups
- 2.1.2 Programme Plans
- 2.1.3 Key Foundation Documents and Charters

- 2.2.1 Final Reports (Unpublished)
- 2.2.2 Literature and Research
- 2.2.3 Workshops and Learning Sessions
- 2.2.4 Programme Implementation and Evaluation

Records of the **expert advisory groups and related groups** covers membership, terms of reference and meeting papers for each programme.

Records of **programme plans** covers internal programme plans developed for each programme.

Records of **key foundation documents and charters** cover foundation documents and agreements with other organisations such as District Health Boards regarding commitment to the quality improvement programme.

Records relating to **final reports** demonstrate the outcome of the improvement programme carried out by the Commission to fulfil their legislative requirements under the New Zealand Public Health and Disability Act 2000. The final reports are not published and they are not covered by the legal deposit requirements under the National Library of New Zealand Act 2003.

Records of **literature and research** covers copies of literature received from other sources or organisations outside of the Commission.

Records of **workshops and learning sessions** include presentations, workshop papers and speeches related to a particular programme.

Sub-class **programme implementation and evaluation** covers evaluation reports by external organisations or consultants which capture information and learnings from each of the programmes.

Value statement

Records relating to the key foundation documents and charters (sub class 2.1.3) document the high-level relationships and partnerships with other organisations, such as DHBs, are of long term archival value as they provide evidence of how the Commission operates with the external key stakeholders. This also provides evidence of the leadership role of the Commission in improving the quality in the health and disability sector. These type of records document the source of authority in relating to the government commitment to the quality improvement programme.

The final reports are the outputs of the quality programme, encapsulating the work of the programme carried out to improve the health quality in the sector.

These records enhance public confidence in the actions of public offices and document the source of authority; therefore they meet the Accountability and Legitimacy of Authority criteria of the Appraisal Statement and are recommended for transfer to Archives New Zealand.

Records recommended for retention as public archives:

Class number	Title	Minimum retention period	Trigger	Disposal action
2.1.3	Key Foundation Documents and Charters	15 years	Date of last action	Transfer to Archives New Zealand
2.2.1	Final Reports (Unpublished)	15 years	Date of last action	Transfer to Archives New Zealand

The records recommended for destruction in this class have business value only and they are either low level operational records and/or a more complete and final form of information from these records have been captured and summarised in the final reports. Therefore, these records are recommended for destruction.

Records recommended for destruction:

Class number	Title	Minimum retention period	Trigger	Disposal action
2.1.1	Expert Advisory Groups and Related Groups	10 years	Date of last action	Destroy
2.1.2	Programme Plans	10 years	Date of last action	Destroy
2.2.2	Literature and Research	15 years	Date of last action	Destroy
2.2.3	Workshops and Learning Sessions	15 years	Date of last action	Destroy
2.2.4	Programme Implementation and Evaluation	15 years	Date of last action	Destroy

Class 3 Measurement and Evaluation

Description

Through its health quality evaluation work programme the Commission establishes baseline measures and indicators which can be used to assess the quality of the health and disability system. This class covers records relating to the management of the measurement and evaluation work programme including the management of expert advisory groups, outputs

from the work programme and evaluation reports on the outputs. This record class is divided into the following record sets:

3.1.0 Programme management

These records deal with the management of the measurement and evaluation part of the Commission's work. Record examples include programme plans and membership, terms of reference and meeting information for the expert advisory groups that work with the Commission's measurement and evaluation team.

3.2.0 Evaluations

These records relate to reports conducted by either the Commission or by outside parties to evaluate a work programme and any changes in the data around that programme.

3.3.0 Reports

These records include any final, but unpublished reports derived from the data.

Within these record groups are the following record subclasses:

3.1.1 Expert Advisory Groups and Related Groups

3.1.2 Programme Plans

3.2.1 Evaluation Reports

3.3.1 Final Reports (Unpublished)

Records of the **expert advisory groups and related groups** cover membership, terms of reference and meeting papers of the group.

Records of **programme plans** cover internal programme plans developed by the Measurement and Evaluation team as a means of planning and tracking their deliverables.

Records of **evaluation reports** capture evaluations of the outputs from the measurement and evaluation work programme and learnings.

Sub-class **final reports** cover final reports and outputs of the Measurement and Evaluation team that are not published and therefore not covered by the legal deposit requirements under the National Library of New Zealand Act 2003.

Value statement

The final reports in this class are accountability records. They demonstrate how the Commission carries out its business and fulfils the Commission's legislative requirements to determine quality and safety indicators (such as serious and sentinel events) for use in measuring the quality and safety of health and disability services.

These records also contribute to knowledge of how the Commission measures the quality of New Zealand's health and disability sector. This information is highly valued for research into the health and disability sector.

Therefore, these records meet the Accountability and Knowledge criteria of the Appraisal Statement and are recommended for transfer to Archives New Zealand.

Records recommended for retention as public archives:

Class number	Title	Minimum retention period	Trigger	Disposal action
3.3.1	Final Reports (Unpublished)	15 years	Date of last action	Transfer to Archives New Zealand

The records recommended for destruction in this class have business value only and they are low level operational or the more complete and final form of information from these records are captured and summarised in the final reports. Therefore, these records are recommended for destruction.

Records recommended for destruction:

Class number	Title	Minimum retention period	Trigger	Disposal action
3.1.1	Expert Advisory Groups and Related Groups	10 years	Date of last action	Destroy
3.1.2	Programme Plans	10 years	Date of last action	Destroy
3.2.1	Evaluation Reports	15 years	Date of last action	Destroy

Class 4 Datasets and Metadata

Description

This class covers records relating to managing data which also includes data itself. They are created and collected by/provided to the Commission from external sources. The data includes but is not limited to national health data sets provided by the Ministry of Health (such as the national minimum data set, pharmaceutical collection) and data collected by district health boards such as quality and safety markers. The data enables the Commission to understand the health and disability support services and its consumers.

Analysed information from the data can be used for internal unpublished reports and published public reports on the quality and safety of health and disability support services which are published.

Sub-classes are for:

- 4.1.1 Data collections – data collected from and about the health and disability sector
- 4.1.2 Data collection management and processing policies and procedures
- 4.1.3 Data analysis working records
- 4.1.4 Data analysis documentation

Records relating to **data collections** include hard copy datasets, registers, databases, surveys, national collections and metadata information.

Records relating to **data collection management and processing policies and procedures** cover policies, procedures, standards, specifications and technical documentation relating to the collection of data.

Records relating to **data analysis working records** cover extracted datasets, spreadsheets and data models.

Data analysis documentation covers records relating to how analysis is carried out.

Value statement

Records relating to data collection management and processing policies and procedures (sub-class 4.1.2) are of archival value as they provide context to analysis summarised in final reports and demonstrate how the data is managed and processed.

Records in this class which have been recommended for retention as public archives meet the Accountability and Knowledge criteria of the Appraisal Statement.

Records recommended for retention as public archives:

Class number	Title	Minimum retention period	Trigger	Disposal action
4.1.2	Data collection management and processing policies and procedures	15 years	Date of last action	Transfer to Archives New Zealand

Data collections (sub-class 4.1.1), data analysis working records (sub-class 4.1.3) and data analysis documentation (sub-class 4.1.4) all provide the background to final reports and are therefore not of archival value. These records are recommended for destruction.

Records recommended for destruction:

Class number	Title	Minimum retention period	Trigger	Disposal action
4.1.1	Data collections – data collected from and about the health and disability sector	When superseded	Until no longer required for research or analysis	Destroy
4.1.3	Data analysis working records	When superseded	Until no longer required for research or analysis	Destroy
4.1.4	Data analysis documentation	15 years	When the datasets no longer in use	Destroy

Class 5 Partners in Care (Consumer Engagement)

Description

The Partners in Care is a consumer engagement programme and its framework is the basis of the Commission's work to improve health literacy and consumer participation, and develop leadership capabilities for providers and consumers.

The Commission leads and coordinates the Partners in Care work programme to encourage the health and disability system to be patient-centred and focused on a co-design approach.

Consumers are actively involved in decision making about health and disability services at every level, including governance, planning and policy development. The consumers provide their unique viewpoints on how services can be improved, where priorities should be set and where quality issues have arisen in the delivery of health services.

The programme is also evaluated through reviewing literature, surveying and interviewing internal and external stakeholders including consumers' representatives and health service providers, such as DHBs. The outcome of the evaluation is documented in the evaluation report.

The followings subclasses are divided into two sets:

5.1.0 Programme management

These records deal with the management of the partners in care or consumer engagement work programme and include records on programme plans, membership, terms of reference and meeting information for the expert advisory groups that work with the Commission's partners in care team.

5.2.0 Report

These records deal with any literature and research gathered to inform the reports, and workshops, learning sessions and evaluations on the partners in care work. Also included are any final but unpublished reports.

Within the two sets above are the following record subclasses around activities associated with Partners in Care:

- 5.1.1 Expert Advisory Groups and Related Groups
- 5.1.2 Programme Plans
- 5.2.1 Final Reports
- 5.2.2 Literature and Research
- 5.2.3 Workshops and Learnings
- 5.2.4 Programme Implementation and Evaluation

Records of the **expert advisory groups and related groups** cover membership, terms of reference and meeting papers.

Records of **programme plans** cover internal programme plans.

Records relating to **final reports** demonstrate the outcome of the consumer engagement programme carried out by the Commission to fulfil their legislative requirements under the New Zealand Public Health and Disability Act 2000. The final reports are not published and not covered by the legal deposit requirements under the National Library of New Zealand Act 2003.

Records of **literature and research** are received or created by the Commission in the development of a report.

Records of **workshops and learning sessions** include presentations, workshop papers and speeches.

Sub-class **programme evaluation** covers evaluation reports by external organisations or consultants. The reports cover:

- how successful the programme has been in influencing change;
- to what extent the activities have been guided by an evidence base;
- identifying gaps in consumer engagement activities;
- identifying the key areas for future focus

Value statement

Partners in Care final reports and programme evaluation reports have rich information including summarised data researched during the programme which have long term knowledge value for health researchers. They provide evidence of core functions and activities performed by the Commission by demonstrating how the government responds to

improving the quality and safety in the New Zealand health system and providing evidence of how government engages the public in decision-making about health and disability services at every level, including governance, planning and policy development. They have been recommended for retention as public archives and meet the Appraisal Statement criteria for Accountability and Knowledge.

Records recommended for retention as public archives:

Sub-class number	Title	Minimum retention period	Trigger	Disposal action
5.2.1	Final Reports (Unpublished)	15 years	Date of last action	Transfer to Archives New Zealand
5.2.4	Programme Evaluation	15 years	Date of last action	Transfer to Archives New Zealand

Records recommended for destruction in this class are of operational business value or are captured in summaries elsewhere.

Records recommended for destruction:

Sub-class number	Title	Minimum retention period	Trigger	Disposal action
5.1.1	Expert Advisory Groups and Related Groups	10 years	Date of last action	Destroy
5.1.2	Programme Plans	10 years	Date of last action	Destroy
5.2.2	Literature and research	10 years	Date of last action	Destroy
5.2.3	Workshops and Learnings	10 years	Date of last action	Destroy

Class 6 Statutory Committees - Mortality Review Committees

Description

Mortality review committees are statutory bodies appointed by the Board. They don't report directly to the Minister of Health, but contribute to the wider goals of the Commission as statutory committees with particular defined quality functions. Committees are empowered by legislation (Section 59E of the New Zealand Public Health and Disability Act 2000) to review and analyse the circumstances of individual deaths, with the aim of identifying preventable deaths, to provide evidence-based advice on how these preventable deaths can be avoided, so they can recommend specific system changes for population groups. They report to the Health Quality and Safety Commission Board.

At the time of writing this document there are five mortality review committees:

- Child and youth mortality review committee reviews deaths of children and young people aged 28 days to 24 years, and seeks ways to prevent such deaths in the future.
- Perinatal and maternal mortality review committee reviews the deaths of babies and mothers in New Zealand.
- Family violence death review committee reviews all deaths related to family violence in New Zealand.
- Perioperative mortality review committee reviews all deaths related to surgery
- Suicide mortality review committee advises the Commission on how to reduce the number of suicide deaths in New Zealand.

To conduct effective reviews leading to system-wide improvements, mortality review committees gather information from a wide range of sources.

The mortality review committees are supported by the Secretariat which provides policy analysis, analytical support, guidance on governmental and ministerial processes, budget management, communication and other administrative support.

This class of records divide into two major areas of activities:

6.1.0 Programme management

These records deal with the management of the Committees appointed by the Commission's Board to review deaths in particular areas and include: their membership and governance manuals; committee meeting minutes and correspondence to and from the committee

chairs; quality improvement programmes, for example programme plans; signed Charters from participating parties, and; other key foundation documents. Also included are records on membership, terms of reference and meeting information for the expert advisory groups that work with the Commission on these programmes.

6.2.0 Reports

These records deal with any literature and research gathered to inform the published reports from each of the committees and the reports and files from various government agencies to inform the death reviews which form the basis for the reports. This also includes any final but unpublished reports.

Within these areas of activities are the following subclasses of records dealing with the activities associated with statutory committees – mortality review committees:

- 6.1.1 Membership Management and Governance Manual
- 6.1.2 Committee Meetings
- 6.1.3 Sub-Committee Membership
- 6.1.4 Chair Correspondence
- 6.2.1 Reports from Coroners and Other Agencies
- 6.2.2 Final Reports (Unpublished)
- 6.2.3 Literature and Research

Records of **membership management** cover Mortality Review Committees' membership, tenure, terms of reference and the governance manual.

Records of the **committee meetings** cover agenda papers and minutes of the meetings.

Records of the **sub-committee membership** cover sub-committees of the Statutory Committee's membership information.

Chair correspondence records cover correspondence to and from the mortality review committee chairs to the general public and other government agencies.

Reports from the coroner and other agencies covers Coroner's reports, Police reports, information from the Ministry of Social Development and from other agencies which are required in order to complete the reports published by the Mortality Review Committees.

Records of **final reports** are the outcome of the work carried out by the Mortality Review Committees to fulfil their legislative requirements under the New Zealand Public Health and Disability Act 2000. The final reports are not published and therefore not covered by the legal deposit requirements under the National Library of New Zealand Act 2003.

Literature and research covers the information gathered to form the background to writing the Mortality Review Committee reports.

Value statement

Mortality review committees are statutory committees that review particular deaths, or the deaths of particular people, in order to learn how to best prevent these deaths. Information on the way the committees work and their outputs provide evidence of the government's commitment to improve the lives of New Zealanders. These records are also fundamental to providing citizens with trust in government by providing evidence of the well-being of the community and the impact of government activities on them.

They have been recommended for retention as public archives and meet the Appraisal Statement criteria for Accountability and Knowledge.

Records recommended for retention as public archives:

Sub-class number	Title	Minimum retention period	Trigger	Disposal action
6.1.1	Membership Management and Governance Manual	15 years	Date of last action	Transfer to Archives New Zealand
6.1.2	Committee meetings	15 years	Date of last action	Transfer to Archives New Zealand
6.1.4	Chair Correspondence	15 years	Date of last action	Transfer to Archives New Zealand
6.2.2	Final Reports (Unpublished)	15 years	Date of last action	Transfer to Archives New Zealand

Records relating to the sub-committee membership are covered by the overall records of the Committee meetings and can therefore be destroyed.

Reports from the Coroner and other agencies and literature and research are collected by the committees to review particular deaths. These collected records are used for research purpose only and they have short term business value only.

Records relating to day-to-day administration have a low level of operational and facilitative value and are recommended for destruction.

Records recommended for destruction:

Class number	Title	Minimum retention period	Trigger	Disposal action
6.1.3	Sub-Committee Membership	10 years	Date of last action	Destroy
6.2.1	Reports from Coroners and Other Agencies	15 years	Date of last action	Destroy
6.2.3	Literature and Research	15 years	Date of last action	Destroy

Class 7 Adverse Events

Description

Adverse events are events with negative reactions or results that are unintended, unexpected or unplanned (often referred to as ‘incidents’ or ‘reportable events’). In practice adverse events are most often understood as events which result in harm to a consumer, for example serious harm from falls, delayed diagnosis or treatment, or pressure injuries from insufficient position change or nutrition.

Reporting adverse events or incidents helps health services manage the risks of providing care. Incident management identifies problems and failures in the system so people can learn from them and prevent similar events from happening.

This class includes three records set covering the following of activities:

7.1.0 Programme management

These records deal with the management of the adverse events work programme and includes records on programme plans and membership, terms of reference and meeting information for the expert advisory groups that work with the Commission's adverse events team.

7.2.0 Reports and resources

These records deal with any final but unpublished reports from adverse events team's work.

7.3.0 Policies

These records deal with the national policy that assists health and disability service providers to build and maintain a robust reporting, review and learning system within their organisation.

Within these record sets of activity there are the following subclasses of records on the management of the adverse event programme and includes sub-classes for:

7.1.1 Expert advisory groups and related groups

7.1.2 Programme plans

7.2.1 Final reports (Unpublished)

7.3.1 Policies

Records of the **expert advisory groups and related groups** cover membership, terms of reference and meeting papers.

Records of **programme plans** cover plans used by the adverse events team to structure their work over a period of time.

Records of **final reports** are the outcome of the Adverse Events work programme carried out by the Commission to fulfil their legislative requirements under the New Zealand Public Health and Disability Act 2000. The final reports are not published and therefore are not covered by the legal deposit requirements under the National Library of New Zealand Act 2003.

The **Policies** sub-class covers the policy agreed which external agencies are required to follow to report any adverse events and how those reports are managed.

Value statement

The final reports in this class are accountability records. They demonstrate how the Commission carries out its business and fulfils the Commission's legislative requirements to provide public reports on the quality and safety of health and disability support services. The policy associated with the adverse event reporting provides the context of the final reports and it is not captured in the final reports.

Therefore, these records meet the Accountability criteria of the Appraisal Statement and are recommended for transfer to Archives New Zealand.

Records recommended for retention as public archives:

Sub-class number	Title	Minimum retention period	Trigger	Disposal action
7.2.1	Final Reports (Unpublished)	15 years	Date of last action	Transfer to Archives New Zealand
7.3.1	Policies	10 years	Date of last action	Transfer to Archives New Zealand

Records of the expert advisory group and related groups are captured in the final reports and so are recommended for destruction. Records of internal programme plans and administration are recommended for destruction as the information is operational and facilitative and they have short-term value only.

Records recommended for destruction:

Sub-class number	Title	Minimum retention period	Trigger	Disposal action
7.1.1	Expert Advisory Groups and Related Groups	10 years	Date of last action	Destroy
7.1.2	Programme Plans	10 years	Date of last action	Destroy

Class 8 Improving Leadership and Capability

Description

The Commission's role is to lead and coordinate quality improvement in New Zealand to improve the quality and safety of health and disability services.

The Commission recognised that safer and better quality care occurs when those in governance and management, health practitioners and consumers work together at all levels of the health system with a common purpose:

- Improved quality, safety and experience of care
- Improved health & equity for all populations
- Best value for public health system resources

To achieve this, it needs a capable workforce that can adapt to meet the changing needs of the complex health care environment.

The Commission identifies building sector leadership and capability as one of the priorities to assist the health and disability sector to effect change.

The Commission has developed a high level framework to guide the development of quality and safety capability across all levels in the health and disability sector, including consumers/patients.

The Commission also continues to build clinical leadership, supports networks for cross-sector collaboration work to improve quality and safety through regular workshops, forums and symposiums.

This class includes records on Commission reports, frameworks and learning sessions which are related to improving the leadership and capability of the health and disability sector. Activities caught by this record group are categorised with in two different record set:

8.1.0 Programme management

These records deal with the programme plans for the leadership and capability work of the Commission and include membership, terms of reference and meeting papers of the expert advisory groups.

8.2.0 Reports, training and seminar resources

These records deal with the training conferences and seminars held within the sector by the leadership and capability team of the Commission. These records also include any final reports produced by the team that are not published.

Within these activities are the following record sub-classes:

8.1.1 Expert Advisory Groups and Related Groups

8.1.2 Programme Plans

8.2.1 Presentations and Seminar Resources

8.2.2 Final Reports (Unpublished)

Records of the **expert advisory groups and related groups** cover membership, terms of reference and meeting papers.

Records of **programme plans** cover plans used by the programme team to structure their work over a period of time.

Sub-class **presentations and seminar resources** covers resources and presentations created for presenting to and training external parties on quality improvement to improve leadership and capability in the health sector.

Sub-class **final reports** cover final reports not published and therefore not covered by the legal deposit requirements under the National Library of New Zealand Act 2003.

Value statement

Records of final reports demonstrate the outcome of the work carried out by the Commission to fulfil their legislative requirements by promoting and supporting better quality and safety in the health and disability sector.

The Commission is also responsible for disseminating information about the quality and safety in health and disability support services. The presentations and articles produced by the Commission are the result of the work carried out to fulfil these legislative requirements.

These types of records also contribute to transforming the health and disability support services and to the knowledge and building capabilities of the health and disability sector in order to improve the quality of the health and well-being of the public.

Therefore, these records meet the Accountability and Knowledge criteria of the Appraisal Statement and are recommended for transfer to Archives New Zealand.

Records recommended for retention as public archives:

Sub-class number	Title	Minimum retention period	Trigger	Disposal action
8.2.1	Presentations and Seminar Resources	10 years	Date of last action	Transfer to Archives New Zealand
8.2.2	Final Reports (Unpublished)	15 years	Date of last action	Transfer to Archives New Zealand

Information from the expert advisory group meetings make up part of the final reports produced and decisions are also captured in the Commission's Board papers and so these records are recommended for destruction. Programme plans and administration records have a low level of operational and facilitative value and are therefore recommended for destruction.

Records recommended for destruction:

Sub-class number	Title	Minimum retention period	Trigger	Disposal action
8.1.1	Expert Advisory Groups and Related Groups	10 years	Date of last action	Destroy
8.1.2	Programme Plans	10 years	Date of last action	Destroy

Access restrictions

[Removed]

Appendix One – Internal Consultation

Listed below is all staff that were consulted on the development of the retention and disposal schedule.

[Names and Details removed]

Appendix Two – External Consultation

Listed below are all organisations/individuals invited to provide input on the development of the retention and disposal schedule.

- Ministry of Health
- Ministry of Justice
- Ministry of Social Development
- ACC
- Health and Disability Commissioner
- Ko Awatea
- Royal New Zealand College of General Practitioners
- School of Medicine, The University of Auckland
- University of Otago Medical School
- New Zealand Medical Association
- The Council of Medical Colleges in New Zealand
- PHARMAC
- Auckland District Health Board
- Bay of Plenty District Health Board
- Capital and Coast District Health Board
- Counties Manukau District Health Board
- Hawkes Bay District Health Board
- Hutt Valley District Health Board
- Lakes District Health Board
- Mid Central District Health Board
- Northland District Health Board
- Tairāwhiti District Health Board
- Taranaki District Health Board
- Waikato District Health Board
- Wairarapa District Health Board
- Waitemata District Health Board
- Whanganui District Health Board
- Canterbury District Health Board
- Nelson-Marlborough District Health Board
- South Canterbury District Health Board
- Southern District Health Board
- West Coast District Health Board

Caveat

Refer to any sentencing guidelines accompanying this report for specific recommendations:

- **records must be kept for the minimum period specified**
- **records may be destroyed at any point once the minimum retention periods have passed. Records do not have to be destroyed; the agency may keep them for longer if required.**

This authority is valid for a period of 10 years from date of signing, unless previously agreed with the Chief Archivist.