

SIB Electronic Records Retention and Disposal Policy

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1 Introduction

Retention and disposal scheduling is an important aspect of establishing and maintaining control of corporate information and record resources. Not all information can or should be retained indefinitely. Retention and disposal schedules are used to determine the final disposal of different categories of information. They are also used at interim stages where the final disposal of records must, for good reasons, remain indeterminate for the time being.

This SIB Electronic Records Retention and Disposal Policy should be read in conjunction with the SIB Information Management Policy.¹ The term “Retention Schedule”, when used in this policy, has the same meaning as the term “Disposal Schedule”.

The SIB Electronic Records Retention and Disposal Policy is compliant with “[Disposal Scheduling Procedures for TRIM](#)” (Sep 2010), published by the Public Records Office Northern Ireland (PRONI) on its website.²

1.1 Purpose of the Retention and Disposal Policy

A Retention and Disposal Policy, incorporating a Retention Schedule, is a document that outlines all types of records held within an organisation and provides guidance on their:

- Destruction
- Review
- Permanent preservation

The document provides the company with the legal basis for destroying records. It is vital that, if a request for information under Freedom of Information is received and the records are no longer available, the company can prove they were destroyed in line with current policy: i.e. this SIB Electronic Records Retention and Disposal Policy.

The SIB Electronic Records Retention and Disposal Policy is necessary to ensure that the company complies with the following legislative requirements:

- [Public Records Act \(Northern Ireland\) 1923](#)³
- [Disposal of Documents Order \(S.R. & O. 1925 No 167\)](#)⁴
- [Freedom of Information Act 2000](#)⁵

1.2 The Strategic Investment Board (SIB)

During the last Devolved Government in Northern Ireland, Ministers wished to see a coordinated approach that would deliver their priorities by accelerating the efficient delivery of the much-needed new schools, hospitals, roads and other infrastructure required for the 21st century. In April 2003, following extensive consultation, [The Strategic Investment and Regeneration of Sites \(Northern Ireland\) Order 2003](#)⁶ established the Strategic Investment Board Limited (SIB).

¹ DF1/07/185351 “SIB Information Management Policy”

² http://www.proni.gov.uk/disposal_scheduling_procedures_for_trim_-_final_version.pdf

³ <http://www.legislation.gov.uk/apni/1923/20/contents>

⁴ http://www.proni.gov.uk/1925_disposal_of_documents_order.pdf

⁵ <http://www.legislation.gov.uk/ukpga/2000/36/contents>

⁶ <http://www.legislation.gov.uk/nisi/2003/410/contents/made>

SIB is a company limited by guarantee, owned by the Office of the First Minister and deputy First Minister (OFMDFM), financed from within the Departmental expenditure limit, with a Board reporting directly to the First Minister and the deputy First Minister.

1.3 SIB's Role and Responsibilities

SIB's role is to act as a bridge between the public and private sectors. It works with Northern Ireland Government Departments and Agencies to help them achieve faster delivery of major public infrastructure projects. In parallel, SIB works with the private sector to inform the market of projects planned, generate confidence and stimulate market interest; thus driving competitive tension and resulting in improved value for the taxpayer.

SIB's key responsibilities are threefold.

- First, it is responsible for producing the Investment Strategy for Northern Ireland (ISNI)¹; a ten-year plan for the delivery of public infrastructure that covers all areas of government including education, health, and transport. The ISNI process comprises the delivery of the infrastructure required to meet the Government's priorities, as determined by Ministers.
- Second, SIB helps the public sector deliver large infrastructure projects and programmes of investment. Working alongside the relevant Government Department(s), SIB seeks to accelerate delivery timetables whilst at the same time achieving better value for the taxpayer. In practice, this means the deployment of staff with extensive experience in the funding and implementation of major investment projects into key project management and advisory roles.
- Third, SIB seeks to foster and promote reform both in the delivery of major infrastructure and as a prerequisite for such investment, and helps build delivery capability by encouraging the development of specialist skills and the use of innovative approaches not usually found in the public sector.

1.4 Background to Records Management within SIB

In July 2006 the Company appointed an Information Manager, bringing together the duties equivalent to a Data Protection Officer and a Records Officer. The Information Manager and the Chief Executive Officer (CEO) are tasked with ensuring that the Company complies with the obligations outlined in the [Freedom of Information Act 2000](#). The Information Manager and CEO are responsible for providing advice and guidance to SIB staff on Freedom of Information (FOI), Data Protection, Environmental Information Regulations, re-use of public sector information, records management and for carrying forward any information management projects.

The Information Manager endeavours to promote good practice in records management throughout the company. This involves the creation and implementation of retention and disposal schedules.

The need to improve records management practices supports not only management practice, but also reflects the challenges associated with the implementation of the Freedom of Information (FOI) Act. Under FOI those holding records and/or information are required to comply with FOI requests directly and are therefore required to know what information they hold and where it can be found.

SIB's record-keeping was entirely paper-based until April 2007. Records created electronically were printed out and placed on a paper file to create the "official" record. In April 2007 SIB adopted an Electronic Document and Record Management System

¹http://www.sibni.org/draft_investment_strategy_for_northern_ireland_2011_-_2021.pdf

(EDRMS) called TRIM that was implemented, and is maintained, by the Northern Ireland Civil Service (NICS).

Some SIB Finance records (e.g. invoices, etc.) are kept by Finance in paper format. The “*SIB Document Retention and Disposal Policy for Paper Records*” (DF1/11/161984) covers these records. The Finance Team uses [Pegasus Opera II](#) software to manage the SIB Accounts. From April 2007, the Finance Team uses TRIM for all other corporate records (e.g. correspondence, policy documents, etc.) – see Section 4 below.

Certain Human Resources records are also kept as paper where this is appropriate (e.g. recruitment and application forms during the recruitment process) – see Section 5 below.

1.5 Relationship with the Disposal Policy for Paper Records

The **SIB Electronic Records Retention and Disposal Policy** relates to all records created and held electronically by SIB in TRIM. It replaces the “*SIB Document Retention and Disposal Policy for Paper Records*” (DF1/11/161984)¹ for all records created electronically after April 2007 with certain exceptions where noted.²

Whilst some paper records may necessarily be created after April 2007, these will generally be managed using the EDRMS.³ The SIB Electronic Records Retention and Disposal Policy for SIB electronic records held within the EDRMS (TRIM) has been created by SIB in conjunction with the Department of Finance and Personnel and the Northern Ireland Civil Service (NICS).⁴ The e-retention policy is based on the retention and disposal periods as laid out in the “*SIB Document Retention and Disposal Policy for Paper Records*” (DF1/11/161984) but tailored specifically to meet the technical requirements imposed by an EDRMS.

The following records types held on paper remain governed by the “*SIB Document Retention and Disposal Policy for Paper Records*” (DF1/11/161984):

- Certain SIB Finance records (e.g. invoices, etc.) that are kept by Finance in paper format – see Section 4 below.
- Certain Human Resources records kept as paper where this is appropriate (e.g. recruitment and application forms during the recruitment process) – see Section 5 below.

1.6 Roles and Responsibilities

The Chief Executive Officer has a duty to ensure that SIB complies with the requirements of legislation affecting the management of records and with supporting regulations and codes.

The Information Manager will ensure that there is consistency in the management of records and advice and that guidance on good records management practice is provided. The Information Manager will co-ordinate activities aimed at ensuring that information is recorded, stored, managed and disposed of both effectively and legally.

¹ The signed policy as laid before the Northern Ireland Assembly on 14 October 2011 is at DF1/11/453450.

² E.g. exceptions as described in Section 1.4 on page 2.

³ See DF1/07/185351 “*SIB Information Management Policy*”, p. 10, “*Electronic and Non-Electronic Documents and Records*”

⁴ SIBs electronic records are stored within the Department of Finance and Personnel’s dataset on TRIM. While SIB manages and administers its own records, system administrator support and technical advice is provided by the Information Management Unit in DFP.

Managerial and professional staff are responsible for ensuring that records and information systems in their areas conform to this policy and to the requirements of legislation.

All members of staff are responsible for documenting significant actions and decisions in the records and for maintaining the Company's records in accordance with good records management practice.

2 Operation of the Policy

The following information should be read in conjunction with the "SIB Electronic Retention and Disposal Schedule for TRIM" in Appendix 1 (on page 11).

Use of TRIM means that many of the processes previously carried out manually in a paper-based records management system can be automated

2.1 Disposal Scheduling

Disposal Schedules will be applied to SIB's Corporate File Plan in TRIM at the Class Level (i.e. Book Level or higher). This means that disposal actions are inherited from the Class Level and are cascaded to lower levels of the file plan – see Figure 1 below.

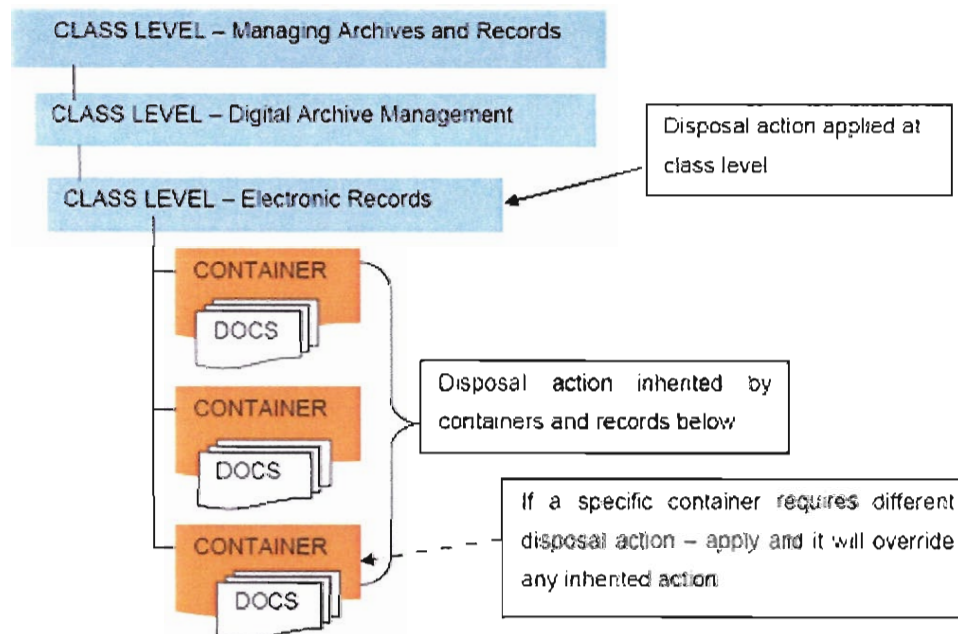


Figure 1: Inheritance of Disposal Actions and Relation to File Plan¹

Exceptions to the general rule can be applied to specific containers within a Book Level, subject to agreement between SIB and PRONI. Any such exceptions are identified in Appendix 1 "SIB Electronic Retention and Disposal Schedule for TRIM" on page 11.

Disposal actions should not be applied to individual records.²

¹ Copied from Diagram 1 on page 5 of "Disposal Scheduling Procedures for TRIM" (Sep 2010) – see footnote 2 on page 1

² Paragraph 3.4 on page 6 of "Disposal Scheduling Procedures for TRIM" (Sep 2010) – see footnote 2 on page 1

2.2 Finalising Records

TRIM preserves successive revisions of a document as well as creating an audit trail. The “Final” function in TRIM allows one to nominate an attached electronic document revision as the final revision. Once set as final, no more revisions may be made to the record; this includes not being able to check out a document for modification. Documents can be declared “Final” or “Final and remove any previous Revisions”, which makes only the final version of the document the record (i.e. it does not preserve earlier drafts).

SIB’s policy is that all records should be made final at the earliest opportunity and, where appropriate, this should be “Final and remove any previous Revisions”. Finalising records is the electronic equivalent of closing paper records.¹ Records should be closed as soon as they have ceased to be actively used other than for reference purposes.

A record can be defined as:

“A document which has content, context and structure and which provides evidence of a business transaction or contains information needed to carry on SIB’s business.”²

Although users should take the initiative in making records final in TRIM the SIB Information Manager may also initiate finalising records on a container-by-container basis in accordance with this policy document.

2.3 Disposal Reports

Disposal reports for the SIB Corporate File Plan in TRIM will be created by the TRIM system administrators in the Information Management Unit (IMU) in the Department of Finance and Personnel (DFP). SIB uses a part of the TRIM dataset provided by DFP.

The SIB Information Manager will review the disposal reports in accordance with the approved schedules agreed with DFP IMU – see Appendix 1 “SIB Electronic Retention and Disposal Schedule for TRIM” on page 11.

The TRIM system administrators will advise the SIB Information Manager of records identified to be disposed of, along with proposed timescales for destruction. The SIB Information Manager (or, in his absence, the CEO) will respond within one month **only** if he has any objections to the destruction (or other disposal) taking place.

2.4 Closing TRIM Containers

The SIB retention and disposal schedules described in this policy document and applied in TRIM will set at the “Book” level by the Department of Finance and Personnel system administrators on behalf of SIB – see Section 2.3 above.

The Retention Schedule applied to a Book Level will be applied to all levels below it: that is, to the containers within that Book and the records within the containers. This does not mean that all containers and records under a Book Level will be finalised at the same time; rather the same closure rule (“Retention Schedule”) will be applied to all containers and records under that level. For example, the rule might specify that containers under this Book Level should be closed two years after each is created.

SIB will follow the guideline TRIM Retention Schedules that are set by the Department of Finance and Personnel and the Northern Ireland Civil Service, subject to necessary adaptation by SIB.

¹ DF1/11/161984 “SIB Document Retention and Disposal Policy for Paper Records”

² DF1/07/185351 “SIB Information Management Policy”

Electronic records within TRIM are collated in TRIM containers. TRIM containers should have a maximum life span of two years (as recommended by PRONI and subject to any variations recorded in Appendix 1 below). Containers can be closed at any time up to two years old for the following reasons:

- A new part container has been created (creation of new part containers is automatically triggered when 300 or more records have been saved to a container).¹
- The container subject is finished.
- Nothing new has been added to a container for two years.²

Closure of containers will be governed by the procedures (automated or otherwise) agreed with DFP IMU. When informed that a container is due to be closed the Information Manager will consult the SIB Electronic Records Retention and Disposal Policy and close the container either by confirming a system generated reminder for closure or manually.

2.5 Finalising Records in a Closed Container

Note that closing a TRIM Container does not automatically finalise the records contained within it, it merely prevents any new records being added to it. The individual records still have to be finalised and generally this will be done by the records manager at the same time.

Closing a TRIM Container means that no further papers can be added but the Container can still be used for reference.

2.6 Record Classes

Records should be dealt with in categories or groups in order to facilitate their management. Record categories consist of similar records relating to a particular function of the business that can be managed as a whole. In TRIM this is the classification scheme in the Corporate File Plan.

2.7 File/Record Action

The file/record action indicates the trigger point when the retention period will begin. Typically this trigger will be the closure of the record, usually at the end of the either the financial or calendar year for ease of administration. In TRIM, this trigger point will be set at the Book level – see Section 2.1 above.

2.8 Retention Period

The retention period required for each type of record is calculated from the trigger point (Section 2.7 above). Retention actions are set at the Fileplan (“book”) level, subject to container exceptions. A typical retention period format would be “**SIB DES 5YR CLO**” where “SIB” means Strategic Investment Board, “DES 5YR CLO” means review for destruction or disposal five years after closure.

Rather than dispose of a record it may be designated as a permanent record: e.g. “**SIB PERM**” means keep for lifetime of company – see Section 2.9 below.

¹ Closed containers – if a container has a later part, and TRIM is configured to prevent enclosing records in closed containers, then a prompt message appears for any user who tries to contain a record in an earlier part, “*The Record you have selected has been closed, but a later part is available. Press OK to select the latest part, else Cancel.*”

² Containers that have had nothing new added within the preceding two years should be identified in reports provided by DFP IMU.

The retention periods are set out in the “Action” column in the “*SIB Electronic Retention and Disposal Schedule for TRIM*” (Appendix 1 on page 11).

2.9 Disposal Action

Disposal does not necessarily mean “destroy”; rather it refers to the disposition of records (“disposal” rather than “disposition” is the preferred term in the UK). Where the disposal action is “**Destroy**” the electronic should be kept for the period stated and then destroyed in accordance with the National Archives guidelines on [Disposal Scheduling](#)¹ and PRONI’s “*Disposal Scheduling Procedures for TRIM*” (Sep 2010)².

Records designated “permanent” fall into two categories (reflected in the “Action” column of Appendix 1 “*SIB Electronic Retention and Disposal Schedule for TRIM*”):

- “**SIB PERM – to be retained by SIB and not transferred to PRONI**” – These are records of permanent value to SIB but which will not be transferred to PRONI as they have no intrinsic historical value. They should be retained for the lifetime of the company.
- “**PERMANENT – transfer to PRONI**” – In contrast, these are records that are likely historically valuable and should be transferred to PRONI once the retention period has elapsed.

The Department of Finance Information Services Branch Information Management Unit (IMU) will create disposal reports in accordance with the “*SIB Electronic Retention and Disposal Schedule for TRIM*” (Appendix 1 on page 11). These reports will be sent to the SIB Information Manager (or in his absence the Chief Executive Officer (CEO)) – see 2.3 above.

The SIB Information Manager will review the disposal report by exception: that is, the SIB Information Manager (or, in his absence, the CEO) will respond to IMU within one month **only** if he has any objections to the destruction (or other disposal) taking place. Files marked for destruction will automatically be destroyed by the System Administrators one month after notification **unless** either the Information Manager or the CEO registers an objection.

Key summary records such as **reports**, published or otherwise, and **strategy documents** should be considered for Permanent Preservation and retained. If necessary, they should be relocated from the container about to be destroyed to another container that contains only records recommended for preservation.

The Information Manager should ensure that the disposal reports (listing containers destroyed by System Administrators or transferred to PRONI) are saved to TRIM as records.

3 Freedom of Information Obligations

For the purpose of this SIB Electronic Records Retention and Disposal Policy, the term “FOI request” is taken to include requests under the Environmental Information Regulations as well as those under the Freedom of Information Act.

SIB maintains a separate policy document for dealing with Freedom of Information requests.³

¹ http://www.nationalarchives.gov.uk/documents/sched_disposal.pdf

² See footnote 2 on page 1

³ DF1/09/253908 “*Managing Freedom of Information Requests: Procedures for SIB*”

Records directly relating to Freedom of Information requests fall into three main categories:

- Policy records relating to the company's implementation of the Freedom of Information Act and its management of obligations under it.
- Records of FOI requests and any resulting complaints or appeals.
- Records relating to decisions about releasing, withholding or redacting documents as a result of those requests.

When an FOI request has been received for a record on a retention schedule, known to be due for destruction, the destruction of the record should be suspended whilst the request is being processed. Once the request has been closed disposal can be carried out when appropriate according to the schedule.

4 Accounting and Finance Records

The Finance Team use TRIM to store correspondence, policy documents, reports, accounts and similar records. These records are governed by this SIB Electronic Records Retention and Disposal Policy.

SIB maintains its accounting records on [Pegasus Opera II](#) software. These records are retained and disposed of in accordance with the statutory legislation of the Companies Acts and the Taxes Acts. This SIB Electronic Records Retention and Disposal Policy does not apply to them. The Finance Team will be responsible for copying or otherwise transferring records to TRIM if appropriate: e.g. summary reports generated from the accounting system.

Some SIB Finance records are retained by Finance in paper format because it is neither appropriate nor cost effective to scan them into TRIM. For example, invoices received as paper are filed in lever arch files rather than being scanned. The "*SIB Document Retention and Disposal Policy for Paper Records*" (DF1/11/161984) continues to apply to these records.

5 Human Resources Records

Some Human Resources records are kept as paper where this is appropriate. For example, recruitment and application forms generated or received while filling a job vacancy. Some personnel records will eventually be transferred to TRIM: e.g. relating to the successful candidate. However, it is not cost effective to scan and save electronically records for unsuccessful candidates. This information will be retained as paper records for the relevant statutory periods (generally three years). The "*SIB Document Retention and Disposal Policy for Paper Records*" (DF1/11/161984) continues to apply to these records.

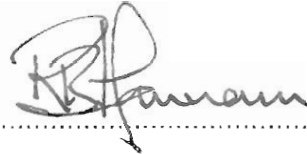
6 Signatories



Strategic Investment Board Electronic Document Retention and Disposal Schedule.

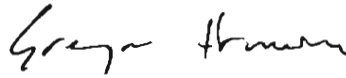
Prepared as required by the Public Records Act (Northern Ireland), 1923 and in accordance with the Rules made pursuant thereto, approved by Order in Council dated 20th January 1925.

Brett Hannam
Chief Executive Officer, SIB



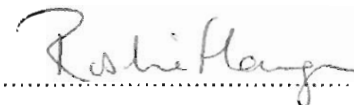
Date: 25/5/12

Gregor Hamilton
Legal Director, SIB



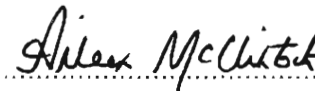
Date: 25/5/12

Rosalie Flanagan
**Permanent Secretary,
Department of Culture, Arts and
Leisure**



Date: 22/6/12

Aileen McClintock
**Director, Public Record Office of
Northern Ireland (PRONI)**



Date: 29/5/12

Heather Stanley
**Head of Preservation and
Collections Management, PRONI**



Date: 29/5/12

Appendix 1 SIB Electronic Retention and Disposal Schedule for TRIM

The retention period required for each type of record is calculated from the trigger point (see Section 2.7 above). Disposal/retention actions (see Section 2.9 "Disposal Action" on page 7) are set at the Fileplan ("book") level and recorded in the "Action" column, subject to exceptions recorded in the "Container Exceptions" column. A typical retention period format would be "SIB DES 5YR CLO" where "SIB" means Strategic Investment Board, "DES 5YR CLO" means review for destruction or disposal five years after closure. Some records are designated as a permanent record, for which there are two categories of action:

- "SIB PERM – to be retained by SIB and not transferred to PRONI" – These are records of permanent value to SIB but which will not be transfers to PRONI as they have no intrinsic historical value. They should be retained for the lifetime of the company.
- "PERMANENT – transfer to PRONI" – In contrast, these are records are historically valuable and should be transferred to PRONI once the retention period has elapsed (minimum five years).

The Schedule in Table 1 is the schedule at the date this policy document was finalised. An up-to-date schedule is maintained as a spreadsheet in TRIM at DF1/12/44971.

Table 1: SIB Electronic Retention and Disposal Schedule for TRIM

Fileplan Level 1	Fileplan Level 2	Fileplan Level 3	Fileplan Level 4	Container Exception	Action	Decision Made By
Strategic Investment	Accommodation and Services	Premises	All book levels		SIB DES 5YR CLO	SIB SRO
			Acquisition		SIB DES 7YR CLO	SIB SRO
			Clare House		SIB DES 5YR CLO	SIB SRO
		Supplies and Services	All book levels		SIB DES 5YR CLO	SIB SRO
			Stationery		SIB DES 5YR CLO	SIB SRO
			ICT Support		SIB DES 5YR CLO	SIB SRO
Audit and Accountability		All book levels			SIB DES 7YR CLO	SIB SRO
		Internal Audit			SIB DES 7YR CLO	SIB SRO
		External Audit			SIB DES 7YR CLO	SIB SRO
		Risk Management			SIB DES 5YR CLO	SIB SRO
		Procedures			SIB DES 5YR CLO	SIB SRO
		Policies			SIB PERM – to be retained by SIB and not transferred to PRONI	SIB SRO
		SIB Reviews			SIB DES 5YR CLO	SIB SRO

SIB Electronic Records Retention and Disposal Policy

Fileplan Level 1	Fileplan Level 2	Fileplan Level 3	Fileplan Level 4	Container Exception	Action	Decision Made By
		Management Statement and Financial Memorandum			SIB PERM – to be retained by SIB and not transferred to PRONI	SIB SRO
	Financial Management	All book levels Accounting Allowances Banking Expenditure Financial Planning and Control Invoices Policy			SIB DES 7YR CLO SIB DES 7YR CLO SIB DES 7YR CLO SIB DES 7YR CLO SIB DES 7YR CLO SIB DES 7YR CLO SIB DES 7YR CLO SIB DES 7YR CLO	SIB FINANCE MAN SIB FINANCE MAN SIB FINANCE MAN SIB FINANCE MAN SIB FINANCE MAN SIB FINANCE MAN
		Reporting Salaries Tax			SIB PERM – to be retained by SIB and not transferred to PRONI SIB DES 7YR CLO SIB DES 7YR CLO SIB DES 7YR CLO	SIB FINANCE MAN SIB FINANCE MAN SIB FINANCE MAN SIB FINANCE MAN
	Human Resource Management	Discipline Grievances	All book levels Management of Incidents All book levels Incident Management		SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO	SIB HR MAN SIB HR MAN SIB HR MAN SIB HR MAN
		Harassment	All book levels Incident Management		SIB DES 3YR CLO SIB DES 3YR CLO	SIB HR MAN SIB HR MAN
		Health and Safety	All book levels Accidents Claims Employee Support and Staff Welfare		SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO	SIB HR MAN SIB HR MAN SIB HR MAN SIB HR MAN
		Leave	All book levels Adoption Leave		SIB DES 3YR CLO SIB DES 2YR CLO SIB DES 2YR CLO	SIB HR MAN SIB HR MAN SIB HR MAN



SIB Electronic Retention and Disposal Schedule for TRIM

Fileplan Level 1	Fileplan Level 2	Fileplan Level 3	Fileplan Level 4	Container Exception	Action	Decision Made By
			Annual Leave		SIB DES 2YR CLO	SIB HR MAN
			Flexi Leave		SIB DES 2YR CLO	SIB HR MAN
			Parental Leave		SIB DES 2YR CLO	SIB HR MAN
			Special Leave		SIB DES 2YR CLO	SIB HR MAN
	Managing Attendance		All book levels		SIB DES 3YR CLO	SIB HR MAN
			Monitoring		SIB DES 3YR CLO	SIB HR MAN
			Warnings		SIB DES 3YR CLO	SIB HR MAN
	Pay		All book levels		SIB DES 7YR CLO	SIB HR MAN
			Pay Allowances		SIB DES 7YR CLO	SIB HR MAN
			Pension Administration		SIB DES 7YR CLO	SIB HR MAN
			Pay Review		SIB DES 7YR CLO	SIB HR MAN
	Policy				SIB PERM – to be retained by SIB and not transferred to PRONI	SIB HR MAN
			All book levels		SIB PERM – to be retained by SIB and not transferred to PRONI	SIB HR MAN
			Staff Handbook		SIB PERM – to be retained by SIB and not transferred to PRONI	SIB HR MAN
	Worklife Balance				SIB PERM – to be retained by SIB and not transferred to PRONI	SIB HR MAN
	Staffing		All book levels		SIB DES 3YR CLO	SIB HR MAN
			Cessations		SIB DES 3YR CLO	SIB HR MAN
			Recruitment		SIB DES 3YR CLO	SIB HR MAN
			Secondments		SIB DES 3YR CLO	SIB HR MAN
			Personnel Records		SIB DES 3YR CLO	SIB HR MAN
	Training and Development		All book levels		SIB DES 3YR CLO	SIB HR MAN
			Applications to attend courses		SIB DES 3YR CLO	SIB HR MAN
			Induction		SIB DES 3YR CLO	SIB HR MAN
			Training Plans		SIB DES 3YR CLO	SIB HR MAN
			Seminars		SIB DES 3YR CLO	SIB HR MAN

SIB Electronic Records Retention and Disposal Policy

Fileplan Level 1	Fileplan Level 2	Fileplan Level 3	Fileplan Level 4	Container Exception	Action	Decision Made By
		Equal Opportunity	All book levels Internal Incident Management External Incident Management Monitoring		SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO	SIB HR MAN SIB HR MAN SIB HR MAN SIB HR MAN
	Information and Communication	All book levels Contacts	All book levels External Contacts Internal Contact Details		SIB DES 3YR CLO SIB DES 1YR CLO SIB DES 1YR CLO	SIB IM MAN SIB MARKETING SIB MARKETING
		Information Access Requests	All book levels	Policies or procedures	SIB DES 1YR CLO SIB DES 3YR CLO SIB DES 5YR CLO SIB DES 3YR CLO	SIB MARKETING SIB SRO SIB SRO SIB SRO
		Legislation Liaison and Consultation Marketing and Media Materials	Data Protection Requests Environmental Information Requests Freedom of Information Requests		SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO	SIB SRO SIB SRO SIB SRO
		Policy	All book levels Promotional Materials Events Surveys Press Enquiries Speeches and Presentations Press Cuttings		SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 3YR CLO SIB DES 1YR CLO	SIB IM MAN SIB IM MAN SIB MARKETING SIB MARKETING SIB MARKETING SIB MARKETING SIB MARKETING SIB MARKETING
			All book levels		SIB PERM – to be retained by SIB and not transferred to PRONI	SIB SRO

Fileplan Level 1	Fileplan Level 2	Fileplan Level 3	Fileplan Level 4	Container Exception	Action	Decision Made By
			Data Protection		SIB PERM – to be retained by SIB and not transferred to PRONI	SIB SRO
			Environmental Information Regulations		SIB PERM – to be retained by SIB and not transferred to PRONI	SIB SRO
			Freedom of Information		SIB PERM – to be retained by SIB and not transferred to PRONI	SIB SRO
			Records and Information Management		SIB PERM – to be retained by SIB and not transferred to PRONI	SIB SRO
		Publications	All book levels		SIB DES 3YR CLO	SIB MARKETING
		Records Management	Corporate Identity		SIB DES 3YR CLO	SIB MARKETING
				Disposal/Retention Schedules	SIB DES 3YR CLO	SIB IM MAN
				Manu-als/guides/training/etc	SIB PERM – to be retained by SIB and not transferred to PRONI	SIB SRO
		Web Management			SIB PERM – to be retained by SIB and not transferred to PRONI	SIB IM MAN
		Government Liaison Assembly Questions			SIB DES 3YR CLO	SIB IM MAN
		Government Liaison Public Sector Reform Initiatives			PERMANENT – transfer to PRONI 5YR CLO	SIB SRO
					PERMANENT – transfer to PRONI 5YR CLO	SIB SRO
	Strategic Management	All book levels			SIB DES 5YR CLO	SIB SRO
		Administration			SIB DES 5YR CLO	SIB SRO

SIB Electronic Records Retention and Disposal Policy

Fileplan Level 1	Fileplan Level 2	Fileplan Level 3	Fileplan Level 4	Container Exception	Action	Decision Made By
	Business Planning			SIB Templates	SIB PERM – to be retained by SIB and not transferred to PRONI SIB PERM – to be retained by SIB and not transferred to PRONI SIB DES 5YR CLO	SIB SRO
	Emergency Plans				SIB DES 5YR CLO	SIB SRO
	Equality Promotion and Implementation		All book levels Consultations Equality Scheme Development		SIB DES 5YR CLO SIB DES 5YR CLO SIB DES 5YR CLO	SIB HR MAN SIB HR MAN
	Governance				SIB DES 5YR CLO SIB DES 5YR CLO SIB PERM – to be retained by SIB and not transferred to PRONI SIB PERM – to be retained by SIB and not transferred to PRONI SIB PERM – to be retained by SIB and not transferred to PRONI PERMANENT – transfer to PRONI 7YR CLO PERMANENT – transfer to PRONI 7YR CLO PERMANENT – transfer to PRONI 7YR CLO	SIB HR MAN SIB SRO SIB SRO SIB SRO SIB SRO SIB SRO
	Investment Strategy for Northern Ireland 2			SIB Governance Permanent File	SIB PERM – to be retained by SIB and not transferred to PRONI	SIB SRO
	Meetings			SIB Board - Articles and Memorandum of Understanding	SIB PERM – to be retained by SIB and not transferred to PRONI PERMANENT – transfer to PRONI 7YR CLO PERMANENT – transfer to PRONI 7YR CLO PERMANENT – transfer to PRONI 7YR CLO	SIB SRO SIB SRO SIB SRO
	Strategic Investment Projects				SIB DES 7YR CLO PERMANENT – transfer to PRONI 7YR CLO	SIB SRO SIB SRO
	Procurement				SIB DES 7YR CLO PERMANENT – transfer to PRONI 7YR CLO	SIB SRO SIB SRO
	Investment Strategy for Northern Ireland 3				SIB DES 7YR CLO PERMANENT – transfer to PRONI 7YR CLO	SIB SRO SIB SRO
	Closed Strategic Investment Projects				PERMANENT – transfer to PRONI 7YR CLO	SIB SRO
Technology and	Application and System Sup-		All book levels		SIB DES 3YR CLO	SIB SRO



SIB Electronic Retention and Disposal Schedule for TRIM

Fileplan Level 1	Fileplan Level 2	Fileplan Level 3	Fileplan Level 4	Container Exception	Action	Decision Made By
	Telecommunications	port	Work Requests Documentation and Guidance		SIB DES 3YR CLO	SIB SRO
	Resources		All book levels		SIB DES 5YR CLO	SIB SRO
			Acquisition		SIB DES 3YR CLO	SIB SRO
			Disposal		SIB DES 3YR CLO	SIB SRO
			Inventory		SIB DES 3YR CLO	SIB SRO
			Allocation		SIB DES 3YR CLO	SIB SRO
	Systems Management		All book levels		SIB DES 3YR CLO	SIB SRO
			Correspondence		SIB DES 3YR CLO	SIB SRO
			Database licenses		SIB DES 3YR CLO	SIB SRO
			Internet Sites		SIB DES 3YR CLO	SIB SRO
	Projects		All book levels		SIB DES 3YR CLO	SIB SRO
			EDRM Implementation		SIB DES 3YR CLO	SIB SRO

Appendix 2 Version History

- Version 0.9 created using the “*SIB Document Retention and Disposal Policy for Paper Records*” (DF1/11/161984).
- Version 1.0 Reviewed following agreement with PRONI of “*SIB Document Retention and Disposal Policy for Paper Records*” (DF1/11/161984).
 - DF1/12/44971 “*SIB Electronic Retention and Disposal Schedule for TRIM*” incorporated as Appendix 1, which follows the same format as the Department of Finance and Personnel schedule at DF1/11/532983 “*DFP Retention and Disposal - Records NI Operational Schedule*”.
- Version 1.1 incorporates changes proposed by PRONI following its review – see DF1/12/251242 “*PRONI changes - RE: Strategic Investment Board – Amended [DRAFT] SIB Electronic Document Retention and Disposal Policy – 2012*”. Principally these changes related to the identification of permanent records.

