

Retention and Disposal Schedule

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1. Introduction

1.1 FUNCTION OF THE STRATEGIC INVESTMENT BOARD

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](#)¹ established the Strategic Investment Board Limited (SIB).

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

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)²; 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.

1.2 PURPOSE OF THE RETENTION AND DISPOSAL SCHEDULE

A Retention and Disposal 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

¹ <http://www.legislation.gov.uk/nisi/2003/410/contents/made>

² [Infrastructure-2050-draft-Investment-Strategy-for-Northern-Ireland-FINAL.pdf \(isni.gov.uk\)](#)

available, the company can prove they were destroyed in line with current Schedule: i.e. this SIB Retention and Disposal Schedule.

If any records are created or changed during the life of the Schedule, and are not reflected in the current Schedule, advice must be taken from PRONI on whether there is a requirement for SIB to re-draft and resubmit the Schedule to the NI Assembly.

The Schedule is necessary to ensure that the company complies with the following legislative requirements:

- [Public Records Act \(Northern Ireland\) 1923](#)¹
- [Disposal of Documents Order \(S.R.& O.1925 No 167\)](#)²
- [Freedom of Information Act 2000](#)³
- [Data Protection Act 2018](#)⁴

1.3 SIB'S RECORDS AND INFORMATION POLICY

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.

The Strategic Investment Board declares that it will take measures to ensure that the records it creates will be appropriately stored and maintained while they are in its custody until the final disposal action. These measures will include:

- Storing records in an appropriate environment, physical or electronic, on or off-site
- Ensuring appropriate access control mechanisms are put in place to facilitate staff who require continued access to records and information but restrict others
- Providing searching facilities, electronic or physical index systems, to ensure staff understand what they are holding or not holding
- Putting in place auditing, finalising and backup policies and regularly testing business continuity procedures and plans for the use of vital records and information.

The Schedule is compliant with "[PRONI Guidance on Retention and Disposal](#)" (Sept 2020), published by the Public Record Office of Northern Ireland (PRONI) on its website.⁵

1.4 BACKGROUND TO RECORDS MANAGEMENT WITHIN SIB

In July 2006 SIB appointed an Information and Compliance Manager, bringing together the duties equivalent to a Data Protection Officer and a Records Manager. The Information and Compliance 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 and Compliance 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

¹ <http://www.legislation.gov.uk/apni/1923/20/contents>

² [Disposal of Documents Order, 1925 \(nidirect.gov.uk\)](#)

³ <http://www.legislation.gov.uk/ukpga/2000/36/contents>

⁴ <https://www.legislation.gov.uk/ukpga/2018/12/contents/enacted>

⁵ <https://www.nidirect.gov.uk/sites/default/files/2022-05/proni-guidelines-for-the-development-of-retention-and-disposal-schedules-for-ni-public-authorities.pdf>

public sector information, records management and for carrying forward any information management projects.

In June 2022, the Company appointed a Records Manager. The Records Manager, along with the Information and Compliance 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.

1.5 ROLES AND RESPONSIBILITIES

The Chief Executive Officer has overall responsibility for ensuring that SIB complies with the requirements of legislation affecting the management of records and with any supporting regulations and codes.

The Information and Compliance Manager has strategic responsibility for overseeing the organisation's records management program. This role ensures that compliance with legal, regulatory, and organisational requirements are met. They will ensure the schedule is submitted to PRONI for laying before the Northern Ireland Assembly. They will have final approval of disposition of records in line with the schedule and in liaison with PRONI.

The Records Manager has operational responsibility for records management in the organisation which is defined by ISO 15489 "The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records". This role includes setting policies and standards and establishing and implementing procedures and guidelines to ensure all records are managed appropriately by all staff. They will provide guidance on the principles of retention.

The Information Assets Owners are the Heads of their business area. Their role is to understand what information is held, what is added and what is removed, how information is moved, and who has access and why. As a result, they can understand and address risks to information and ensure that information is fully used within the law for the public good. They will approve the appraisal decisions, and associated mechanisms, to ensure compliance within their business area.

All members of staff are responsible for documenting significant actions and decisions by creating records and for maintaining the records in accordance with SIB's agreed policies and procedures.

2. What is Covered by this Retention and Disposal Schedule?

This schedule identifies the retention and disposal arrangements for all records created and owned by SIB. A record is recorded information, in any form, created or received by SIB or individual members of staff to support and show evidence of SIB's activities. For the purpose of SIB's Information and Records Management Policy, records are defined as:

"Recorded information, in any form, created or received and maintained by an organisation or person in the transaction of business or conduct of affairs and kept as evidence."

The disposal periods given in the schedule relate to master copies of records which form the official version retained for regulatory or business reasons.

2.1 ELECTRONIC DOCUMENTS/MATERIAL

This Schedule applies to all records regardless of format.

We currently have an electronic records management system (ERMS), Content Manager, which enables the control, retention and transfer of some records in an electronic format.

Emails potentially form part of the Office's corporate record and, therefore, are subject to its records management policies and procedures. All staff, therefore, should review incoming and outgoing emails to decide where the information they contain should be retained as part of the corporate record in the appropriate place.

Ephemeral electronic documents of no enduring value, such as those of purely personal relevance, should be deleted from the system at the earliest opportunity.

3. Categories of Retention and Disposal

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).

At the end of their retention period, each class of record will have one of the following actions required as the final action:

- **Destroy** – These are records of no lasting administrative / legal value to the public authority and of no long-term historical / research value to PRONI. It is the responsibility of the public authority to arrange for the destruction or permanent deletion of this material. Where the disposal action is "**Destroy**" the record should be kept for the period stated and then destroyed in accordance with the National Archives guidelines on [Disposal Scheduling](#)¹ and PRONI's "[PRONI Guidance on Retention and Disposal](#)" (Sept 2020).
- **SIB Permanent Retention – 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. If SIB cease to exist or wish to destroy these records at any stage in the future, they must first consult PRONI.
- **PRONI Appraisal** – Records which have been identified as requiring PRONI Appraisal are those which may be of future historical significance, which PRONI officials will determine when the records reach their appraisal date.
 - **PRONI Appraisal - First Review** - The purpose of the first review is to identify records which have the potential to have long term historical significance. This is completed approximately 5 years after the date of the last record, and when the business area has confirmed it has no ongoing administrative need for the record. The Records Manager should contact their PRONI client manager to arrange for PRONI to inspect records which are in the 'PRONI Appraisal' category and must provide a detailed list of all the records due for inspection. Any records selected by PRONI must be retained by the creating authority until they reach the Second Review stage.

¹ [Disposing of records - The National Archives](#)

- **PRONI Appraisal – Second Review** - Records which have been selected at First Review, in addition to any relevant records which may have been missed their first review stage, should be brought forward for Second Appraisal. Like the first review process, the Records Manager should contact their PRONI client manager to arrange for PRONI to inspect the records and must provide a detailed list of all the records due for inspection. At the appraisal, PRONI will identify files of historic value in line with PRONI's acquisition strategy and appraisal guidance. Records selected for permanent preservation following PRONI Appraisal will transfer after a warrant has been issued by PRONI. Departments or Public Authorities must ensure that records transfer with a sensitivity review completed, and PR-14H information attached for each file.
- **Permanent preservation by PRONI** – Records identified for permanent preservation by PRONI should be retained by SIB and transferred to PRONI when they are approaching 20 years old.

4. Operation of this Retention and Disposal Schedule

4.1 CLOSING A FILE

For this schedule to operate effectively, it is important to maintain a streamlined filing system through regular and systematic closure of files. Closing a file does not mean that it must be immediately removed from the filing system. What it does mean is that no additional records should be added to the file and that it should be used only for reference. An example of closure triggers for SIB records include financial year end or end of a project. There are internal procedures on when and how to close files.

4.2 RETENTION PERIOD

Retention periods are based upon the specific business needs of SIB and / or relevant legislation. The retention period required for each type of file is calculated from the financial year end where the file is closed, for example a file closed on 03 December 2021 with a 5-year retention date, would be reviewed for destruction in April 2027.

4.3 APPRAISAL AND REVIEW

SIB will follow the appraisal process noted in the section 3 for records that may be required for long-term historical or research purposes. If they are not required by PRONI, the records will be reviewed by SIB staff to determine if there is a business need to keep them. If neither PRONI or SIB identify a need to retain these records, they will be listed for destruction.

4.4 DESTRUCTION

Destruction of files will take place on a planned basis in line with the retention and disposal schedule recommendations. SIB generally conducts one main review and destruction exercise per year after the previous financial year ends. Identification of records due for review and destruction is coordinated by the Records Manager in liaison with the Information Asset Owner (IAO). All destruction decisions must be agreed to by the Records Manager and the IAO before destruction can take place. There is no automated destruction. All records will be listed and reviewed prior to final disposal by Records Manager and IAO/designated functional manager. A record of all file destruction will be kept for audit purposes and all files will be destroyed in line with the destruction procedures, taking into account the protective marking of the records and the medium (physical or electronic).

5. Freedom of Information Obligations

For this Schedule, 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.

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. This is also applicable for records relating to ongoing legal investigations. In cases where records are being retained beyond normal retention period, SIB will clearly document and define rationale for extended retention.

6. Signatories

Strategic Investment Board 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.

Steve Harper
Chief Executive Officer, SIB _____ Date: _____

Angelina McGilly
**Information and Compliance
Manager, SIB** _____ Date: _____

Colum Boyle
**Permanent Secretary,
Department for Communities** _____ Date: _____

David Huddleston
**Acting Director, Public Record Office
of Northern Ireland (PRONI)** _____ Date: _____

Wesley Geddis
**Acting Head of Records Management,
Cataloguing and Access** _____ Date: _____

7. SIB Retention and Disposal Schedule

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
1.0 STRATEGIC MANAGEMENT					
1.1	Accountability	SIB Board Articles and Memoranda of Understanding	Permanent	Business Need	Retained by SIB
1.2	Accountability	Board Meeting papers	6 years	Business Need	PRONI Appraisal
1.3	Accountability	Board Meeting Minutes	20 years	Business Need	Permanent Preservation by PRONI
1.4	Accountability	Audit Committee papers	6 years	Business Need	PRONI Appraisal
1.5	Accountability	Investment Committee papers	6 years	Business Need	Destroy
1.6	Accountability	Remuneration Committee papers	6 years	Business Need	Destroy
1.7	Business Cases	Business cases supporting programmes, projects or initiatives	5 years following end of programme/project	Business Need	Destroy
1.8	Business Performance	Monitoring and/or reviewing the performance of the Office	5 years	Business Need	PRONI Appraisal
1.9	Business Planning	Investment Strategy for NI	5 years	Business Need	PRONI Appraisal
1.10	Business Planning	Corporate Plans	20 years	Business Need	Permanent Preservation by PRONI
1.11	Business Planning	Annual Business Plans	5 years	Business Need	PRONI Appraisal
1.12	Annual Report and Accounts	Annual Report and Accounts	6 years	Business Need	PRONI Appraisal
1.13	Contingency Planning	Business Continuity Plans	5 years	Business Need	Destroy
1.14	Major Incidents	Documentation relating to any major incidents that may have historical interest (ie Covid-19)	5 years	Business Need	PRONI Appraisal
1.15	Policies and Procedures	Final policies and procedures relating to the operational functions of SIB	5 years	Business Need	Destroy

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
2.0 PROGRAMMES AND PROJECTS MANAGEMENT					
2.1	Project Documents	Project Initiation Documents (PIDs) and supporting documentation (including business cases, Statements of Requirements, Technical Plans, etc)	5 years	National Archives "Records Management retention scheduling 6. Project records"	PRONI Appraisal
2.2	Project Boards and Meetings	Documents including Minutes and Correspondence	5 years	National Archives "Records Management retention scheduling 6. Project records"	PRONI Appraisal
3.0 INFORMATION AND COMMUNICATION MANAGEMENT					
3.1	Correspondence External	General correspondence received from the public or external organisations	2 years from final communication on the topic. Retain in line with retention period for other paperwork, i.e. HR	Business Need	Destroy
3.2	Correspondence External	Incoming and Outgoing Post Logs	3 years	Business Need	Destroy
3.3	Postal Records	Royal Mail recorded delivery books; external courier records and receipt books	1 year	Business Need	Destroy
3.4	Operational / Team Meetings	Team meetings	5 years	Business Need	Destroy
3.5	Customer Complaints	Customer complaints lodged against SIB that are an expression of dissatisfaction about the behaviour of our staff, service provided or how we handled customers' initial complaint	3 years	Business Need	Destroy
Communications Management					
3.6	Internal Communications	Internal Communications	3 years	Business Need	Destroy
3.7	Media Monitoring	Press coverage/clippings	1 year	Business Need	Destroy

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
3.8	Press Releases	Information released to the press or as a result of media enquiries	3 years	Business Need	Destroy
3.9	Media Interviews	Interviews given to media by senior staff	5 years	Business Need	Destroy
3.10	Events	Event documentation	3 years	Business Need	Destroy
3.11	Surveys	Surveys and results, either internal or external	3 years	Business Need	Destroy
3.12	Marketing	Publicity documents, including promotional material and photography – published version	1 year once superseded	Business Need	Destroy
3.13	Consultations	Public consultation on major issues	5 years following consultation closure	Business Need	PRONI Appraisal
Disclosure and Information Requests					
3.14	Information Sharing Protocols	Information sharing protocols and Memoranda of Understanding	Retain until superseded or revoked	Business Need	Destroy
3.15	Disclosure – Access to Information	Requests that fall within the Data Protection Act (subject access requests or invoking rights under GDPR), Freedom of Information Act, Environmental Information Regulations and any associated fees and receipts	2 years from disclosure or from completion of any appeal, local or ICO	Business Need	Destroy
3.16	Disclosure – Access to Information Advice	First line advice and guidance regarding management of and response to queries/advice (internal/external) FOI/DP legislation, information sharing queries	2 years from disclosure or from completion of any appeal, local or ICO	Business Need	Destroy
3.17	Disclosure – Access to Information administration	Monitoring records. Statistical data about the number of requests and outcomes.	5 years	Business Need	Destroy
3.18	Appeals Information Tribunal (FOI)	Includes information generated as a result of an appeal to the First Tier (Information Rights) Tribunal and Higher Appeal courts	7 years	Limitation (NI) Order 1989	Destroy

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
3.19	Assembly Questions (AQ), Parliamentary Questions (PQ) MLA/MP Enquiries	Response to questions tabled	5 years after the enquiry closed	Business Need	PRONI Appraisal
3.20	Publication Scheme	SIB's Publication Scheme	Until superseded	ICO Model Publication Scheme	Destroy
Information Security					
3.21	Incident management	Security incident investigations, including data breaches	7 years from completion of investigation	Business Need	Destroy
Records Management					
3.22	Records Management – Retention and Disposal	Retention and Disposal Schedules Retention and Disposal Logs Information Asset Register	Permanent	Business Need	Retained by SIB
3.23	Records Management - Retention and Disposal	Correspondence relating to the compilation of retention schedules	10 years after retention schedule agreed by the Legislative Assembly	National Archives	Destroy
3.24	Records Management - Retention and Disposal	Lists of records transferred to PRONI or agreed place of deposit	Permanent	Business Need	Retained by SIB
3.25	Records Management – Inventory	Records inventory that tracks the movement of records from on-site to off-site or migration of records to new internal systems	Permanent	Business Need	Retained by SIB
3.26	Records Management – Audit	Information surveys, record audits and registry inspections	5 years	Business Need	Destroy
3.27	Records Management - Guidance	Guides, manuals and instructions on the management of records	2 years	Business Need	Destroy
4.0 PEOPLE MANAGEMENT – EMPLOYMENT AND CAREER					
4.1	Recruitment, Selection, Secondment	Successful Recruitment - Application and job description transferred to Employment Record	6 years from end of employment	Business Need	Destroy

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
4.2	Recruitment, Selection, Secondment	Successful Recruitment - All other documents from assessment/interviews, references	1 year	Business Need	Destroy
4.3	Recruitment, Selection, Secondment	Unsuccessful Recruitment Documents including application forms, assessment papers, internal expressions of interest, references	1 year	Business Need	Destroy
4.4	Equality Monitoring	Equal Opportunities monitoring returns – Unsuccessful Applicants	3 years from application	The Fair Employment and Treatment (NI) Order 1998 and The Fair Employment (Monitoring) Regulations (NI) 1999	Destroy
4.5	Equality Monitoring	Equal Opportunities monitoring returns – Successful Applicants/Current Employees	3 years from end of employment		Destroy
4.6	Equality Monitoring	Fair Employment Monitoring Returns to Equality Commission	6 years	Business Need	Destroy
4.7	Equality and Good Relations	Documents created or used specifically for the purposes of meeting statutory duties placed on public bodies regarding the promotion of equality and good relations, including Equality Schemes and background documents; documents relating to the equality screening of policies and Equality Impact Assessments; annual statements to the Equality Commission on the implementation of the duties; equality training plans and materials.	6 years	Section 75 of the Northern Ireland Act	Destroy
4.8	Job Evaluation	Job descriptions, approval, grading analyses	10 years	Business Need	Destroy
Employment Record (Career, Performance and Training)					
4.9	Employment Record	Written particulars of employment; career history; professional qualifications; contracts of employment including changes to terms and conditions and change of hours; vetting certificates/decisions; personal details (address, bank)	6 years	Business Need	Destroy
4.10	Employment Record - Training Records	Record of training received by an individual	6 years from completion of training	Limitation Act 1980 Business Need	Destroy

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
4.11	Employee Record - Personal Development Records	Individual objective setting to meet business plan requirements, mid-year and end of year formal review of performance against targets	6 years	Business Need	Destroy
4.12	Annual Leave	Annual Leave Records	2 years	Business Need	Destroy
Employee Health and Wellbeing					
4.13	Health - Referrals	Health referrals, including: Occupation Health documentation; Medical reports from doctors and consultants	6 years	Limitation Act 1980 Business Need	Destroy
4.14	Health – Medical Certification	Medical/Self Certificates – unrelated to industrial injury	6 years	Business Need Statutory Sick Pay (General) Regulations 1982	Destroy
4.15	Wellbeing Initiatives	Cycle to Work Scheme Wellbeing Events	6 years from end of scheme or event	Business Need	Destroy
4.16	Advice and Guidance sought	External advice sought on Staff Terms and Conditions	Retain until superseded then review in 10 years	Business Need	Destroy
Conduct and Discipline					
4.17	Bullying and Harassment Case Work	Investigative information, review, decision and appeal information	6 years from last action	Business Need	Destroy
4.18	Conduct and Discipline	Decisions and appeal information	6 years from last action	Limitation (NI) Order 1989, Data Protection Act 2018, GDPR	Destroy
Pay and Pensions					
4.19	Payroll Records	Payroll wage/salary records (including overtime, bonuses, expenses)	6 years from end of tax year	Taxes Management Act 1970	Destroy
4.20	Payroll Records	Overpayment documentation	6 years after repayment or write-off	Business Need	Destroy
4.21	Payroll Records - Statutory Leave	Maternity pay records, calculations, certificates (Mat BIs) or other medical evidence (also shared parental, paternity and adoption pay records)	6 years	The Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960) as amended, Maternity and Parental Leave Regulations 1999	Destroy

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
4.22	Pension Record	Staff Pension, Pay History, Added years/Added Voluntary Contributions (AVCs), Termination Reasons and any copies of death certificates, decree absolutes, marriage certificates and documentation relating to civil registration	Until age 100 years	Business Need	Destroy
4.23	Flexible Working Requests	Flexible working forms, correspondence and outcome	2 years following any appeal	Tribunal Limitation Period	Destroy
5.0 FINANCIAL AND PROCUREMENT MANAGEMENT					
Financial Management					
5.1	Banking Data	Bank statements, reconciliations, payments, cash orders	6 years	His Majesty Revenue and Customs	Destroy
5.2	External Audit Records	NIAO Audit Reports, Statements and recommendations	6 years	His Majesty Revenue and Customs	PRONI Appraisal
5.3	Internal Audit Records	Internal Audit Reports, Statements and recommendations	6 years	His Majesty Revenue and Customs	Destroy
5.4	Financial Planning and Controls Records	Budgetary control Budgetary estimates Financial Disclosures Working Papers	6 years	His Majesty Revenue and Customs	Destroy
5.5	Financial Statements (Monthly)	Monthly Periodic financial statements Ad hoc statements	6 years	Business need	Destroy
5.6	Management Accounts / Annual Accounts	Resource and Budgetary Management reports and statement for inclusion in month / quarterly / annual reports	6 years	His Majesty Revenue and Customs	Destroy
5.7	Departmental Returns	Returns requested by the Sponsor Branch (TEO) or other Departments	6 years	Business Need	Destroy
5.8	Nominal Ledger Records	Records to prepare certified financial statement/reports and all backing paperwork – excluding contract information	6 years	His Majesty Revenue and Customs	Destroy
5.9	Payment Data	Details of BACs transmissions	6 years	His Majesty Revenue and Customs	Destroy

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
5.10	Expense Claims	Records of financial claims submitted by staff members, including mileage, travel and subsistence	6 years	Business need	Destroy
5.11	Purchasing Data	Details of orders, goods received and invoices etc	6 years	His Majesty Revenue and Customs	Destroy
5.12	Registers	Gifts and Hospitality Register	6 years	Business Need	Destroy
Procurement					
5.13	Procurement Contracts (successful)	All records for Direct Award Contracts, Contract specifications, CPD advice, evaluation results, contract meetings (below the threshold for CPD engagement only), all monitoring documentation	6 years after contract closed	Limitation (NI) Order 1989; Public Procurement (Miscellaneous Amendments) Regulations 2011	Destroy
5.14	Procurement Contracts (unsuccessful)	All records for Contract specifications, CPD advice, evaluation results, contract meetings (below the threshold for CPD engagement only)	1 year	Limitation (NI) Order 1989; Public Procurement (Miscellaneous Amendments) Regulations 2011	Destroy
6.0 TECHNOLOGY MANAGEMENT					
6.1	Application and System Support	System Operation Procedures; Supplier Technical Documentation; Test Documentation; Software and Firmware, Configuration and Change logs	5 years or once superseded	Business Need	Destroy
6.2	Application Development	Technical Specifications (to include bespoke 3 rd party line of business)	5 years or once superseded	Business Need	Destroy
6.3	Inventory and Asset Registers	Registers for all SIB IT equipment, mobile phones and software licences	5 years	Business Need	Destroy
6.4	Operational Support	Support requests (helpdesk), user access forms, correspondence with IT Assist and line of business suppliers	3 years	Business Need	Destroy

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
7.0 FACILITIES, SECURITY AND HEALTH AND SAFETY					
Facilities and Security					
7.1	Building Records - Legal Information	Title Deeds, Leases Contracts, Way Leaves, Consents. Building specific health and safety and current record drawings	15 years from vacation of the property or negligent act during contract period.	Limitations Act 1980 Latent Damages Act 1986	Destroy
7.2	Conveyancing and Tenancy – Legal Information	Advice on tenancy of premises and associated property matters	13 years	Legislation – Limitation NI Order 1989 Law Society Guidance Business Need	Destroy
7.3	Premises	Records relating to management of premises	5 years	Business Need	Destroy
7.4	Fire Safety	Fire Warden's Register	7 years	The Fire Safety Regulations (NI) 2010	Destroy
Health and Safety					
7.5	Health and Safety Assessments	Display Screen Equipment Assessments	7 years	Health and Safety (Display Screen Equipment) Regulations (NI) 1992	Destroy
7.6	Health and Safety Information	Health and Safety information / documentation	Until cancelled or superseded	Health and Safety (Miscellaneous Amendments) Regulations (NI) 2003	Destroy
7.7	Health and Safety Complaints	Complaints from current or former employees relating to health and safety issues	10 years	Business Need	Destroy
7.8	Health and Safety Accident, Incident Investigation and Near Misses	Accidents, Incidents and Near Misses Register, Investigation reports and associated papers	10 years	Business Need	Destroy

URN	Activity	Type of Record	Retention (from closure or if superseded)	Rationale or Legislation	Final Action
7.9	Health and Safety Audits	Audits, safety inspections	7 years	The Management of Health and Safety at Work Regulations (NI) 2000	Destroy
7.10	Reporting of Injuries, Diseases and Dangerous Occurrences Regs	Statutory report of accidents, incidents or near misses	7 years	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	Destroy
7.11	Health and Safety Risk Assessments	Health and safety risk assessments, generic and/or specific activities	10 years	Business Need	Destroy