

RECORDS RETENTION AND DISPOSAL SCHEDULE

February 2016

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1. INTRODUCTION

1.1 PURPOSE AND SCOPE OF THE DISPOSAL SCHEDULE

This Schedule sets out the disposal arrangements for records created and retained by Invest NI and the Bedford Street Developments Limited group of companies which are owned and staffed by Invest NI.

A “record” is defined as follows:

A record is information held in any format or medium that describes or records an action, event, policy or decision or any occurrences leading to or following an action, event, policy or decision and which indicate who was involved, the context and the date.

It is only the material meeting this definition and retained by Invest NI to which this Schedule applies.

An essential step **prior** to the disposal of records is the requirement for their review by relevant Business Areas. Appropriate and proportionate reviews will be undertaken by Business Area team members at Staff Officer or above. This step ensures that records that continue to be required for business purposes will be retained for further periods. Further retention periods will not exceed 3 years at a time to ensure records are not retained unnecessarily. The files or folders of a number of designated categories of record, identified in this Schedule will also require appraisal by PRONI after Business Areas have reviewed them and tagged

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them for disposal. This step ensures that records of historical or evidential value can be identified and transferred to PRONI for permanent preservation.

This Schedule describes:

- the types and **categories of records** held by Invest NI;
- the **closure** of paper files and electronic folders
- the period for which files/folders should be retained following closure (the **“Retention Period”**);
- the **review** process after the retention period has passed and
- the final **disposal** action

The schedule complies with the requirements of the Public Records Act (NI) 1923 and the Disposal of Documents Order (S.R. & O. 1925 No 167) and has been approved by the Public Records Office of Northern Ireland (PRONI), and through DCAL, the Northern Ireland Assembly.

The purpose of the schedule is to ensure that records are retained only for as long as required by statute or for as long as they are needed for business purposes and, when no longer required, disposed of in a documented, timely and appropriate manner.

1.2 INVEST NI'S FUNCTIONS AND RESPONSIBILITIES

Invest NI is one of a number of NDPB's sponsored by The Department of Enterprise Trade and Investment having been established by the Industrial Development (Northern Ireland) Act in 2002. When it was formed Invest NI subsumed functions previously undertaken by the Industrial Development Board, Local Enterprise Development Unit and the Industrial Research and Technology Unit with some functions of the Training and Employment Agency and elements of the Northern Ireland Tourist Board also being subsumed. At that time Invest NI

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took ownership of a large number of the records of these predecessor organisations and hence became responsible for their retention and disposal.

The role of Invest NI is to “support wealth creation in Northern Ireland as an enabler and catalyst to grow innovation, exports, productivity and employment throughout the business base resulting in increased living standards for all.”

1.3 LEGISLATION RELEVANT TO INVEST NI'S RECORDS MANAGEMENT FUNCTIONS

- Public Records Act (NI) 1923;
- Disposal of Documents Order (NI) 1925
- Freedom of Information Act 2000
- Data Protection Act 1998
- Environmental Information Regulations 2004
- The Industrial Development Act (Northern Ireland) 2002
- Human Rights Act 1998
- The Companies Act 2006
- Employment legislation
- Audit and Accountability legislation
- Limitation Act 1980

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2. OPERATION OF THIS DISPOSAL SCHEDULE

2.1 RECORDS SYSTEMS IN INVEST NI

Since its formation in 2002, Invest NI has used an Electronic Document and Records Management System (EDRMS) as the primary depository for electronic records of the organisation's activities and operations. In addition a focused range of hardcopy files also continue to be created for a number of specific record types including for example, land and property transactions.

Invest NI's EDRMS has a Fileplan structure consisting of two primary record hierarchies – one for records of corporate activity and the other for customer activity. The EDRMS allows Invest NI to create and store records of actions and decisions, providing the necessary accountability and protection of the integrity of these records for as long as they are required to support the conduct of its business. Alongside the EDRMS paper files are managed through Invest NI's electronic Facilities Management system.

2.2 CLOSURE OF RECORDS

Individual Business Areas will be required to periodically inform Internal Operations Division of electronic folders that can be closed and made "Read Only". This notification will then trigger the start of the retention period which will be monitored by Internal Operations Division so that future reviews can be initiated and managed.

Hardcopy files will be designated "Closed" after a standard 2 years unless specifically requested by the owning Business Area.

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Closing a file or folder means that no further documentation can be added although they may still continue to be used for reference purposes. The closure date is a critical trigger in the disposal process, marking the starting point for the 'retention period' at the end of which disposal action will take place. Both electronic and paper records should be closed as soon as they have ceased to be of active use, other than for reference purposes. Except in a limited number of record categories like individual personnel records and records of file/folder disposals, the maximum life-span for 'open' records has been set at 5 years from creation. Records will be closed at the earliest opportunity, and in particular when:

- the subject matter is finished, with no further documents expected, or
 - nothing new has been added for 2 years; or
 - in the case of paper records, the file has reached 2.5cm thick,
- whichever of these comes first.

2.3 RETENTION PERIODS

This Schedule sets out pre-designated minimum retention periods and disposal actions for all record categories and types from the year of closure of a file or folder. These minimum retention periods reflect long-standing good practice based on the experience of Departments and PRONI to meet business needs and accountability requirements. In some cases, statutory retention requirements apply and where this is known, the relevant legislation is noted in the Schedule. The retention period commences once a file or folder has been "closed".

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2.4 REVIEW AND DISPOSAL PROCESS

All files and folders will be reviewed by the Business Areas against ongoing business requirements once they reach the end of their retention period and either tagged for disposal or retained for further periods at a maximum of 3 years at a time.

Following review by the relevant Business Area those electronic folders for which the disposal action is “PRONI Appraisal” and which have been tagged by Business Areas for disposal, will be exported by Internal Operations Division and removed from the EDRMS to a separate storage area to which PRONI will have access. PRONI will then determine if the files should be transferred for Permanent Preservation.

The electronic folders that have been tagged by Business Areas for disposal and for which the disposal action is “Destroy” will be deleted from the EDRMS by Internal Operations Division.

Electronic folders due for review in any particular year will be identified by Business Areas and Internal Operations Division and recorded in an annual Review and Disposal List containing the folder/class name, relevant closure & review dates and details of the reviewer. This list will be retained permanently to provide transparency and accountability for the disposal actions.

A similar process will be followed for paper files.

The review and disposal process is summarised below:

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a. Business Area Review

Business Areas will review all files and folders at the end of their designated retention periods and determine if the records held in these files or folders need to be retained for longer.

b. PRONI Appraisal

The long term historical and evidential value of records cannot be determined simply from the file or folder title or from the record categories described within this Schedule. Records designated "PRONI Appraisal" will therefore require first hand appraisal by PRONI once Business Areas have tagged them for disposal. If PRONI considers that there is no long term value, the records will be destroyed; otherwise they will be transferred to PRONI under warrant, in line with agreed policies and procedures.

c. Destroy

If files and folders are designated "Destroy" in the Schedule they will be destroyed once they have been tagged for disposal by Business Areas following review with the only exceptions to disposal being when the records in question are subject to ongoing legal, audit, PAC, DPA or FOI enquiries or investigations as described in 2.6. Destruction must be approved at Staff officer or above and will be documented and managed by Internal Operations Division.

d. Permanent Retention in Invest NI

A number of records as designated in this Schedule including the record of files and folders disposed of will be permanently retained in Invest NI for administrative or legal purposes.

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e. Permanent Preservation in PRONI

The records in this category will be transferred to the Public Record Office of Northern Ireland (PRONI) under warrant where they will be maintained and securely held.

Before opening such records to the public Invest NI will be asked by PRONI to undertake a further review to determine if any material within the records should be withheld from public access based on any EIR, FOI or DPA exemptions. Once reviewed by Invest NI the records are considered to have become Historical Records (as defined within the Freedom of Information Act 2000, Part 6).

2.5 ORIGINAL HARDCOPY RECORDS

A number of records that existed originally in hardcopy or were created in hardcopy form, must continue to be retained in original hardcopy form until the time when, at the end of the designated retention period, their disposal has been approved by the relevant Business Area in line with section 2.4 above. Such records may include:

- Company books including the Registers of:
Shareholders
Directors and Secretaries
Directors' interests
Charges
- Material protected by copyright

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- Any documentation in respect of which litigation or criminal proceedings are likely, suspected or contemplated or where proceedings have been issued
- Share certificates.
- All documentation relating to property title
- All contractual documentation relating to a property transaction (including leases)
- All finance documents such as loan agreements, charges, facility agreements, mortgages and other forms of security
- Hard copy letters of offer (where not signed electronically)
- Guarantees
- External legal opinions
- All contracts and deeds not signed electronically (note: deeds cannot be signed electronically)
- Original hardcopy documentation not belonging to Invest Northern Ireland
- Any documentation creating a trust or amending its terms and documentation created during the creation of a trust (e.g. declarations, due diligence records, questionnaires)
- Any documentation containing an original seal
- Any documentation stamped by a Government body
- Contracts of employment

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2.6 POSTPONEMENT OF DISPOSAL ACTIONS

When litigation, criminal proceedings, audits or investigations are likely, suspected or contemplated - it will be necessary to override the schedule requirements and either extend retention periods or put the disposal action on hold. Any Business Area that anticipates or is aware of any of these events (including NIAO/PAC enquiries) must identify relevant records and notify Internal Operations Division of these at the earliest opportunity, so that, where appropriate, any impending disposal action can be postponed.

Similarly any impending disposal action relating to information requested under FOI or DPA legislation will be put on hold for the duration a request is live. (Note: disposal of information that is the subject of a current FOI or DPA request is illegal.)

2.7 ROLES AND RESPONSIBILITIES

The role of the **Head of Information Management & Governance** is to ensure that records management policies, procedures and systems are in place; to provide advice and guidance on good records management practice; and to organise and oversee records disposal arrangements.

The Head of Information Management and Governance will identify hardcopy files for review and disposal and manage the review and disposal process.

Information Asset Owners (Directors and Heads of Division) will ensure compliance with Records Management policies and procedures within their Business Area, by co-ordinating activities aimed at ensuring that information is recorded, stored, managed and disposed of efficiently, legally and in a timely

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manner. Information Asset Owners will be assisted in this role by local **Information Coordinators**.

All members of staff are individually responsible for the information they create or receive and must ensure that records of departmental transactions and decisions in which they are involved are created, appropriately stored and maintained in accordance with the Department's records management policies.

2.8 COMMITMENT TO PRESERVING RECORDS

This Disposal Schedule is the authority not just for destroying records but also for preserving them. Invest NI will ensure that the records it creates will be physically well maintained and cared for while they are in its custody.

2.9 REVIEWING THE SCHEDULE

Invest NI is committed to reviewing this schedule at least every three years to ensure that:

- the types of records held and listed in it remain current
- the disposal decisions and triggers remain appropriate

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3. DISPOSAL SCHEDULE

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Function: Staff Accommodation, Property & Related Services

Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
1.1	Health & Safety	Accidents	5 years		Destroy
		Claims	5 years		Destroy
		Initiatives	5 years		Destroy
		Inspections	5 years		Destroy
		Asbestos	40 years	Control of Asbestos at Work Regulations (NI) 2003	Destroy
		Fire Safety/Prevention	12 years		Destroy
1.2	Legislation		5 years		PRONI Appraisal
1.3	Meetings	Strategic/Senior Management			Permanent Preservation in PRONI
		Operational	5 years		Destroy
1.4	Policy		5 years		PRONI Appraisal
1.5	Land and Buildings	Acquisition	7 years		Destroy
		Allocation	3 years		Destroy

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Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
		Conservation	5 years		Destroy
		Construction	7 years		Destroy
		Contracting	7 years		Destroy
		Disposal	3 years		Destroy
		Insurance	7 years		Destroy
		Maintenance	3 years		Destroy
		Moving	3 years		Destroy
		Refurbishment	3 years		Destroy
		Planning	10 years		Destroy
		Utilities	7 years		Destroy
1.6	Procedures		5 years		Destroy
1.7	Projects		5 years		Destroy
1.8	Reporting		5 years		Destroy
1.9	Security		5 years		Destroy

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Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
1.10	Supplies & Equipment	Acquisition	7 years		Destroy
		Allocation	3 years		Destroy
		Contracting	7 years		Destroy
		Disposal	3 years		Destroy
		Inventory	7 years		Destroy
		Maintenance	3 years		Destroy
1.11	Support Services		5 years		Destroy
1.12	Tendering		7 years		Destroy
1.13	Vehicles	Acquisition	7 years		Destroy
		Allocation	3 years		Destroy
		Authorisation	7 years		Destroy
		Disposal	3 years		Destroy
		Insurance	7 years		Destroy

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Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
		Licensing	7 years		Destroy
		Maintenance	3 years		Destroy

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Function: Audit and Accountability

Reference	Class	Series	Retention Period	Relevant Legislation	Action after Business Area Review
2.1	Internal Audit		7 years		Destroy
2.2	External Audit		7 years		Destroy
2.3	Fraud Management		7 years		Destroy
2.4	Internal Control Statement		7 years		Destroy
2.5	Legislation		5 years		PRONI Appraisal
2.6	Meetings	Strategic/Senior Management			Permanent Preservation in PRONI
		Operational	5 years		Destroy

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2.7	Policy		5 years		PRONI Appraisal
2.8	Procedures		5 years		Destroy
2.9	Risk Management		7 years		Destroy

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Function: Financial Management

Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
3.1	Financial Accounting		7 years	Government Accounting Northern Ireland (GANI) Regulations	Destroy
	Management Accounting (including all sub-ledgers)		10 years	Government Accounting Northern Ireland (GANI) Regulations and EU requirements	Destroy
3.2	Legislation		5 years		PRONI Appraisal
3.3	Policy		5 years		PRONI Appraisal
3.4	Procurement		10 years		Destroy
3.5	Allowances		10 years		Destroy
3.6	Budget		7 years		Destroy
3.10	Business Cases		10 years		Destroy

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Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
3.11	Asset Management		7 years		Destroy
3.12	Funding		7 years		Destroy
3.13	Meetings	Strategic/Senior Management			Permanent Preservation in PRONI
		Operational	5 years		Destroy
3.14	Procedures		5 years		Destroy
3.15	Projects		5 years		Destroy
3.16	Reporting		5 years		Destroy
3.17	Taxation		7 years	HMRC regulations	Destroy
3.18	Share Certificates		Period of Validity		Destroy
3.19	BSDL	Company Books - Registers of: Shareholders, directors and	10 years	Companies Act 2006	Permanent Preservation in PRONI

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Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
		secretaries, directors' interests, charges			

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Function: Human Resources

Reference Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
Employment and Career (Employee Record)	Written Particulars of Employment Letter of Appointment & Job Specification Career History Current Address Details Records of Overseas Service Record of Previous Service Leavers Qualifications/References Qualifications/References Professional qualifications (i.e. medical, scientific, technical) Application Forms - successful Staff Photographs Access NI details of disclosure Disclosure of convictions form Special Leave Progress Reports Probationary Reports Performance Management Performance Appraisal Training	Age 100	Employment legislation	Destroy

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Reference Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
4.2 Health (Employee Record)	Exit Interviews	6 Years		Destroy
	Annual leave records / entitlements			
	Successful recruitment documents	3 Years		Destroy
	Unsuccessful recruitment documents/applications			
	Access NI original disclosure documents	6 Months		Destroy
	Disclosure of convictions form - unsuccessful			
	Documents relating to injury or accident at work	Age 100	Employment legislation	Destroy
	Individual Risk / Work Station Assessments			
	Health Declarations			
	Health referrals			
	Medical/Self Certificates			
	Employee Support / Staff Welfare / Welfare Reports			
	Complete Sick Absence record			
	Sick Leave Management - financial/pay related	40 Years		Destroy
	Medical Reports - exposure to Lead, Asbestos, Compressed Air			
	Medical Reports - exposure to Ionising Radiation	50 Years		Destroy
	Claims	5 years from closure		Destroy

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Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
		Risk / Work Station Assessments Administration Sick Leave Management - Administration	5 Years		Destroy
4.3	Discipline /Grievances	Papers related to investigations, grievances, disciplinary proceedings, appeals and tribunals	40 Years from closure	Employment legislation	Destroy
4.4	Pay and Pension (Employee Record)	Current bank details Death Certificate Death Benefit Nominations Decree Absolute Marriage certificate and documentation relating to civil registration Unpaid leave Complete Personal Payroll history Resignation, termination and/or retirement letters Civil Service Pensions - Added Years Civil Service Pensions - Additional Voluntary Contributions (AVC) Civil Service Pensions - Correspondence/Enquiries Civil Service Pensions - Pension Scheme Membership	Age 100	Employment legislation	Destroy

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Reference Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
	Disciplinary action resulting in any changes to terms and conditions of service, salary, performance pay or allowances			
	Variations of Working Hours - calculations Leavers current Bank Details Statutory sickness/maternity pay calculations and supporting documentation Pay Awards Payroll input forms (monthly payroll files) Bonus Nominations / Discretionary Awards / Rewards & Recognition Authorisation for deputising, substitution allowance and/or overtime/travel time Third party client/advances in lieu of payment	6 Years + Current FY		Destroy
	Housing Advance Overpayment documentation	6 Years after year of final repayment		Destroy
	Bank/Building Society Requests	6 Months		Destroy
4.5	Staff Circulars Civil Service Pensions - Pension Returns	40 Years	Employment legislation	Destroy

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Reference Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
Organisational HR	Health and Safety	6 years		Destroy
	Industrial Relations agreements, disputes, industrial action, negotiations, TUS engagements	40 years		Destroy
	Strategic/Senior Management Meetings			Permanent Preservation in PRONI
	Operational Meetings	5 years		Destroy
	Pay	7 years		Destroy
	Policy	40 years		PRONI Appraisal
	Procedures	40 years		Destroy
	Projects (non ICT including Business In The Community, Investors In People, Rewards, Recognition Scheme)	3 years		Destroy
	Secondments into Invest NI	5 Years from end of secondment		Destroy
	Security	5 years		Destroy

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Reference Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
	Workforce planning, staffing vacancies, engagements, appointments, transfers, promotions, review, contracts, cessations, movements, Interest Circulars, Career Development, bereavement, reserve lists	5 years		Destroy
	Training and Development	5 years		Destroy
	Equality	6 years		Destroy
	Equality Monitoring & Reporting	40 Years		Destroy
	Equal Opportunity Cases/Litigation	40 Years		Destroy
	Organisational Charts	40 Years		Destroy
	Conflicts of Interest / Representation on Outside Bodies	40 Years		Destroy
	Managing Attendance	5 years		Destroy
	Recruitment Agency	5 Years		Destroy
	Reporting	40 Years		Destroy
	Data and Information Management	5 years		Destroy

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Function: Information and Communication

Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
5.1	Meetings	Strategic/Senior Management			Permanent Preservation in PRONI
		Operational	5 years		Destroy
5.2	Information Governance	FOI, EIR, DPA, ICO	5 years	FOI, EIR and DPA	Destroy
5.3	Information Management	Retention Scheduling, Disposal Lists and Inventories,		Public Records Act and associated statutory provisions	Permanent retention in Invest NI
		All other records	5 years		Destroy
5.4	Internal and External Communications, Media and Marketing	Events, sponsorship, PR, conferences, staff surveys	5 years		Destroy
		Press cuttings	1 year		
5.5	Government Liaison	AQs, PQs, briefings, Assembly and Executive committees, Minister's and Permanent Secretary cases, cross-Parliamentary	5 years		PRONI Appraisal

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Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
		business, Private Office operations			
5.6	Publications	Annual reports, brochures, forms, newsletters, corporate identity, presentations	5 years		Destroy
5.7	Web Management	Web and intranet content	5 years		Destroy
5.8	Non-Government Stakeholder Relations	Complaints, compliments, queries, surveys, agendas, minutes, correspondence	3 years		Destroy
5.9	Security	ISO 27001	5 years		Destroy
5.10	Policy		5 years		PRONI Appraisal
5.11	Procedures		5 years		Destroy
5.12	Projects		5 years		Destroy
5.13	Reporting		5 years		Destroy
5.14	Standards		5 years		Destroy

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Function: Strategic Management

Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
6.1	Business Performance		7 years		PRONI Appraisal
6.2	Business Planning		7 years		PRONI Appraisal
6.3	Meetings	Strategic/Senior Management			Permanent Preservation in PRONI
		Operational	7 years		PRONI Appraisal
6.4	Emergency Planning		5 years		PRONI Appraisal
6.5	Equality Promotion & Implementation		5 years		PRONI Appraisal
6.6	Legislation		5 years		PRONI Appraisal
6.8	Policy		5 years	Industrial Development Act	PRONI Appraisal
6.9	Procedures		5 years		PRONI Appraisal
6.10	Programmes		5 years		PRONI Appraisal
6.11	Projects		5 years		PRONI Appraisal
6.12	Reporting		7 years		PRONI Appraisal
6.13	Standards		5 years		Destroy

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Function: Technology & Telecommunications

Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
7.1	Application & System Support		7 years		Destroy
7.2	Application Development		7 years		Destroy
7.4	Meetings	Strategic/Senior Management			Permanent Preservation in PRONI
		Operational	5 years		Destroy
7.5	Policy		5 years		PRONI Appraisal
7.6	Procedures		5 years		Destroy
7.7	Projects		7 years		Destroy
		Acquisition	7 years		Destroy
		Allocation	3 years		Destroy
		Disposal	3 years		Destroy
		Installation	7 years		Destroy
7.8	Hardware	Inventory and Asset Registers	7 years		Destroy
		Maintenance	3 years		Destroy
7.9	Operations		7 years		Destroy
7.10	Security		7 years		Destroy
7.11	Standards		7 years		Destroy

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Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
7.12	Systems Management		7 years		Destroy

Function: Customer Support

Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
8.1	Financial and non-financial interventions	Projects, scoping, background, business cases, projections, appraisals, case papers, negotiations, offers, monitoring, claims, payments, amendments, clawback, advice, information, consultancy, professional support	Whichever is the longest of: 10 years from date of the original Letter of Offer or start date of a non-financial intervention <u>or</u> 7 years from last payment	Industrial Development Act	PRONI Appraisal
8.2	Programmes and schemes	Scoping, background, business cases, projections, planning, appraisals, evaluations, case papers, negotiations, offers, management, monitoring,	10 years from the end of the programme or scheme	Industrial Development Act	PRONI Appraisal

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Reference	Class	Series	Retention Period	Relevant Legislation	Action after Review by Business Areas
		claims, payments, amendments, advice, information, consultants, professional support, External Delivery Organisations, contractors			
8.3	Customer Relations	Correspondence, file notes, accounts, briefings, contact details, routine monitoring	5 Years		PRONI Appraisal
8.4	Meetings	Strategic/Senior Management			Permanent Preservation in PRONI
8.5	Policy	Operational	5 years		Destroy
8.6	Procedures		5 years		Destroy
8.7	Reporting		5 years		Destroy
8.8	Standards	Customer Service Excellence	5 years		Destroy

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Department of
**Culture, Arts
and Leisure**

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Invest Northern Ireland Disposal and Retention 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.

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