



Department of
Finance

An Roinn

Airgeadais

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**DEPARTMENT OF FINANCE
Retention and Disposal Schedule**

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Section 1 Introduction

About the Department

The Department of Finance is one of 9 Northern Ireland Departments as part of the Northern Ireland Executive by the Northern Ireland Act 1998.

The overall aim of the Department is to help the Executive secure the most appropriate and effective use of resources and services for the benefit of Northern Ireland. In pursuing this aim the key objective of the Department is to deliver quality, cost effective and efficient public services and administration in the department's area of executive responsibility.

There are eight core business areas and one agency within the Department of Finance, and their aims are:

- **Corporate Services Group**
 - To deliver services, resources and governance within the Department of Finance.
- **Public Spending Directorate**
 - To support the Minister and the Executive in securing the allocation and effective use of available resources through monitoring public expenditure, in line with the priorities set by the Executive;
 - To support decisions on the management of public expenditure, maximise the achievement of Value For Money and promote accountability; and
 - To promote proper governance and financial management and to ensure resources are properly accounted for.
- **Strategic Policy and Reform Directorate**
 - To promote strategic reform of the public sector;
 - To respond to strategic financial policy for the NI Executive;
 - To review and improve public sector performance and delivery across the Northern Ireland Civil Service (NICS);
 - To deliver policy on the domestic and non-domestic rating systems;
 - To ensure all departments comply with the Executive's pay policy; and
 - To ensure an appropriate share for NI of European Structural Funds 2014-2020 allocation and to co-ordinate development of the NI input to the Partnership Agreement and subsequent Operational Programmes.
- **Central Procurement Directorate**
 - To develop and establish policy framework and best practice public procurement for the wider public sector in Northern Ireland; and
 - To provide best value for money procurement services.
- **Corporate Human Resources**
 - To promote a strategic approach to human resource management consistent with the values of the NICS which will develop staff and improve business performance.

- **Enterprise Shared Services**
 - To improve co-operation and co-ordination between common corporate services such as human resources, finance, information and IT, training and property/estate management.
- **Departmental Solicitors Office**
 - To advance and protect the interests of the Northern Ireland Government Departments with the provision of high quality, cost effective legal services.
- **Land and Property Services**
 - To collect, process and manage land and property information, which underpins our collection of rates, in support of the Executive's commitment to economic and social development in Northern Ireland.
- **Northern Ireland Statistics and Research Agency**
 - To provide the principal source of official statistics and social research on Northern Ireland's population and socio-economic conditions.

Purpose of Retention and Disposal Schedule

The Department of Finance Retention and Disposal Schedule (hereafter known as the Schedule) identifies the disposal arrangements for all records created by the Department. 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). Commitment to operation and compliance of the disposal schedule is stated in the Department of Finance Records Management Policy.

The guidelines stated in the Schedule are applied irrespective of format or media.

Format of the Schedule

The Schedule follows the Department of Finance File Plan. It is a functional approach to file management. It reflects the functions, activities and transactions of the department rather than an organisational structure. Organisational structures are subject to change, whereas underlying business functions remain relatively constant, therefore providing greater business continuity.

In the Department of Finance File Plan, there are currently 7 corporate functions and 13 operational functions:

- **Corporate Functions**

Corporate functions are those common to every NICS department and include all the general management activities and internal administration processes that keep departments running and support the business programmes and services.
- **Operational Functions**

The first level of the file plan also contains the Department's main 'operational' functions. In this context 'operational' is used to describe those business functions that are not generally found in other departments but fall uniquely within the Department of Finance's remit.

Section 2

Operation of the Schedule

Closing of Records

Records should be closed as soon as they have ceased to be of active use. As a rule, file/containers should be closed 5 years (at the maximum) after creation.

However, there may be circumstances that files/containers need to remain open for an extended period, but this can only be with the express authorisation of Information Asset Owners (IAOs) and Information Management Unit (IMU). Some examples are below:

- The project/case/contract is ongoing
- The employment is ongoing
- The legislation or policy is still in use
- The asset is still operational

IMU will annually monitor any files/containers with an authorisation to remain open to ensure that closure occurs at the appropriate time.

When a record is due to be closed, IMU should, in consultation with the business area, complete the applicable administrative procedures for closure. Closing a record means that no documents can be edited and no further documents can be added. The record has now entered into its retention period, but can continue to be used for reference purposes, known as 'read-only'.

Retention Period

The retention period for each record is calculated from the point the record is closed. For example, if the retention period, as recorded on the Schedule is 5 years and the action is destroy, then a record closed on 10 October 2013 should be retained until 10 October 2018.

Categories of Disposal

The four categories of disposal which relate to records are:

- **Destroy**
The records are disposed of securely and in line with departmental policies and procedures. The only exception to destruction is if the information is subject to an ongoing legal, audit or FOI case. Destruction must be approved by IAOs.
- **PRONI Appraisal**
The long term historical and evidential value of the records cannot be confirmed and therefore requires appraisal by the Public Record Office of Northern Ireland (PRONI). This usually takes place 5 years after closure. If it is deemed that there is no long term value, the records can be destroyed; otherwise they are transferred to PRONI, in line with policies and procedures.

- **Permanent Retention in Department**

The records are permanently retained in the Department for administrative or legislative purposes and will be physically or digitally managed in an accessible format within accredited record keeping systems.

- **Permanent Preservation in PRONI**

The records are transferred to the PRONI under warrant or certified imperial letter, where they will be maintained and securely held.

Records identified for Permanent Preservation in PRONI will normally transfer under warrant or certified imperial letter once they have reached 20 years old (as calculated from the date of the last paper). They are therefore considered to have become Historical Records (as defined within the Freedom of Information Act 2000, Part 6), and must be accompanied by clear FOIA access recommendations. Implementation of the *20 Year Rule* commenced in 2013 with the *Protection of Freedoms Act 2012* bringing Northern Ireland into line with the legislative changes introduced in the *Constitutional Reform and Governance Act 2010*. The full extent of the reduction from 30 Years to 20 will not be implemented immediately but will be phased in over 10 years (from 2013 to 2023).

However, in line with the *Public Records Act (NI) 1923 (s.3(c))*, certain record classes may be designated by the Public Authority for 'early transfer', usually because the record class is open and the information is already available in the public domain. In rare circumstances (for example, if the creating organisation is facing imminent dissolution, or a Public Inquiry wishes to transfer the complete record urgently), PRONI can accept early transfer.

New/changed Functions

If any functions or classes of 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 the Department to re-draft, and resubmit the Schedule to the NI Assembly.

Recording Disposal Actions

All records due for disposal must be recorded onto a Disposal List by each Business Area and/or Agency. These may take the form of a spreadsheet or database and contain the file/container name, relevant closure & disposal dates and IAO approval details. This list *must* be retained permanently to provide transparency and accountability for the Department's disposal actions.

Roles and Responsibilities

The roles and responsibilities in the department are outlined below:

- **All Staff**

All members of staff are responsible for documenting their actions and decisions by creating records and for maintaining the records in accordance with records management best practice.

- **Departmental Information Manager/Records Manager**
In consultation with the Public Record Office of Northern Ireland (PRONI), the Departmental Information Manager as the officer specially conversant under *Public Records Act (NI) 1923 (s.5-6)* will provide guidance on the principles of retention and on the preparation of disposal schedules and will ensure the Schedule is submitted to PRONI for laying before the Northern Ireland Assembly.
- **Information Asset Owners**
Information Asset Owners (IAOs) will have an understanding of the records held by their business area and will approve the disposal decisions, and associated mechanisms, to ensure compliance within their business area.
- **Business Area Information Managers**
The Business Area Information Manager (BAIM), or delegated members of staff, will ensure compliance with Records Management standards and will co-ordinate activities relating to retention and disposal of records within their business area.

Legislative and Regulatory Environment

The key legislation and regulations that impact on the Schedule are:

- Public Records Act (NI) 1923
- Disposal of Documents Order (S.R. & O. 1925 No.167)
- Public Records (Imperial Records) Order 1925 SR 170
- Data Protection Act 1998
- Environmental Information Regulations 2004
- Freedom of Information Act 2000
- Limitation Act 1980
- Financial Services Act 2012
- Government Accounting Northern Ireland (GANI) Regulations
- Census Act (Northern Ireland) 1969
- Health and Safety at Work (Northern Ireland) Order 1978
- Control of Asbestos at Work Regulations (NI) 2003

Commitment to Preserving Records

The Department is committed to ensuring that the records it receives/creates will be physically or digitally well maintained whilst in the custody of the department.

The Department is committed to reviewing the Schedule for submission to the NI Assembly every three years.

**Section 3
The Schedule**

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Function: Accommodation & Services

Reference no	Class	Series	Retention Period	Final Action
1.1	Health & Safety	Accidents	5 years	Destroy
		Claims	5 years	Destroy
		Initiatives	5 years	Destroy
		Inspections	5 years	Destroy
		Asbestos	40 years	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	Premises	Acquisition	7 years	Destroy
		Allocation	3 years	Destroy
		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
		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		6 years	Destroy
1.10	Supplies & Equipment	Acquisition	7 years	Destroy
		Allocation	3 years	Destroy
		Contracting	7 years	Destroy
		Disposal	3 years	Destroy
		Inventory	7 years	Destroy

Function: Accommodation & Services

Reference no	Class	Series	Retention Period	Final Action
		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
		Licensing	7 years	Destroy
		Maintenance	3 years	Destroy

Function: Audit & Accountability

Reference no	Class	Series	Retention Period	Final Action
2.1	Internal Audit		6 years + Current Financial Year (CFY)	Destroy
2.2	External Audit		6 years + CFY	Destroy
2.3	Fraud Management	Annual Fraud Returns, Fraud Controls, Training, Data Matching	6 years + CFY	Destroy
		Investigations	6 years + CFY or 1 year after conviction is spent if longer	Destroy
2.4	Internal Control Statement		6 years + CFY	Destroy
2.5	Legislation		5 years	PRONI Appraisal
2.6	Meetings	Strategic/Senior Management		Permanent Preservation in PRONI
		Operational	5 years	Destroy
2.7	Policy	All <i>except</i>	5 years	PRONI Appraisal
		<ul style="list-style-type: none"> Internal Audit 	5 years	PRONI Appraisal
		<ul style="list-style-type: none"> Internal Audit & Fraud Investigation Group Service 	6 years + CFY	PRONI Appraisal
2.8	Procedures		5 years	Destroy
2.9	Risk Management		7 years	Destroy
2.10	Audit Authority		10 years	Destroy

Function: Financial Management

Reference no	Class	Series	Retention Period	Final Action
3.1	Accounting	Non EU funding	6 years + CFY	Destroy
		EU Funding	10 years	Destroy
3.2	Legislation		5 years	PRONI Appraisal
3.3	Policy		5 years	PRONI Appraisal
3.4	Procurement		6 years + CFY	Destroy
3.5	Allowances		6 years + CFY	Destroy
3.6	Budget		6 years + CFY	Destroy
3.10	Business Cases		6 years + CFY	Destroy
3.11	Asset Management		6 years + CFY	Destroy
3.12	Funding		6 years + CFY	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	Retained Finance		6 years + CFY	Destroy
3.18	AccountNI	Service Management	15 years	Destroy
		Bill To Cash	6 years + CFY	Destroy
		Programme Reporting	15 years	Destroy
		Departmental Account Records	15 years	Destroy
		Contractor	15 years	Destroy
		Record to Report	2 years + current financial year	Destroy
		Record to Report <i>Reporting</i>	Life of contract + 3 years	Destroy
		Record to Report <i>Fixed Assets</i>	6 years + CFY	Destroy
Record to Report <i>General Ledger</i>	6 years + CFY	Destroy		

Function: Financial Management

Reference no	Class	Series	Retention Period	Final Action
		i-Procurement	6 years + CFY	Destroy
		Grants	6 years + CFY	Destroy
		Supplier Maintenance	6 years + CFY	Destroy
		i-Expenses	6 years + CFY	Destroy
		Daily Statistics	15 years	Destroy
		Procure to Pay	15 years	Destroy
		Funding	15 years	Destroy
		Corporate Services	6 years + CFY	Destroy
		Inventory	6 years + CFY	Destroy
		Governance and Accountability	15 years	Destroy
3.19	Procurement		6 years + CFY	Destroy

Function: Human Resource Management

Reference No.	Class	Series	Retention period	Final Action
4.1	Employment and career (Personnel Record)	Written Particulars of Employment <i>Changes to terms and conditions, including change of hours letters, Official Secrets Act forms, Oath of Allegiance forms, etc.</i>	Until age 100	Destroy
		Career History <i>Consolidated record of whole career and location details inc. Promotion, temporary promotion and/or substitution documentation, transfer documents, training history, recruitment, appointment and/or promotion board selection papers</i>	Until age 100	Destroy
		Current Address Details	6 years after employment has ended	Destroy
		Record of Location of Overseas Service	Until age 100	Destroy
		Variation of Hours – calculation formula for individual	6 years after end of current financial year	Destroy
		Record of Previous Service	Until age 100	Destroy
		Qualifications/References	6 Years after employment has ended	Destroy
		Professional Qualifications (i.e. medical, scientific, technical)	Until age 100	Destroy
		Appraisal reports/documentation	5 years after end of current performance year	Destroy
		Annual Leave records	2 years after end of current leave year	Destroy
		Successful recruitment documents including applications, assessment papers	3 years following termination of employment	Destroy
Unsuccessful recruitment documents including applications, assessment papers	3 years from closure of competition	Destroy		

Function: Human Resource Management

Reference No.	Class	Series	Retention period	Final Action
		Building Society references	6 months from closure	Destroy
		AccessNI Original information and all copies	Until final decision about the applicants suitability is determined. This should not exceed 6 months. Access NI will approve the retention of the disclosures for a longer period in exceptional circumstances and where there is a requirement to retain so that the RQIA can have access to fulfil its statutory duties.	Destroy
		AccessNI <i>Record should be kept of:</i> <ul style="list-style-type: none"> • <i>The date of the disclosure</i> • <i>The name of the subject of the disclosure</i> • <i>The type of disclosure</i> • <i>The position which the disclosure was applied for</i> • <i>The unique number that was issued by AccessNI for that disclosure; and</i> • <i>The recruitment decision taken</i> 	Until age 100	Destroy

Function: Human Resource Management

Reference No.	Class	Series	Retention period	Final Action
4.2	Health (Personnel Record)	Health Declaration	Until age 100	Destroy
		Health Referrals <i>including Medical reports, correspondence with Occupational Health Service</i>	Until age 100	Destroy
		Papers relating to any injury on duty	Until age 100	Destroy
		Medical reports of those exposed to a substance hazardous to health including: <i>Lead (Control of Lead at Work Regulations 1980)</i> <i>Asbestos (Control of Asbestos at Work Regulations 1996)</i> <i>Compressed Air (Work in Compressed Air Regulations 1996)</i> <i>Radiation (Ionising Radiation Regulations 1985)</i>	40 years from date at which last entry was made 40 years after last record 40 years from date of last entry 50 years from date of last entry	Destroy
		Medical/Self Certificates <i>Unrelated to industrial injury</i>	4 years from end of period of sickness to which it relates.	Destroy
		Medical / Self Certificates <i>Related to industrial injury</i>	Until age 100	Destroy
		Welfare reports	6 years from closure of case	Destroy
4.3	Security (Personnel Record)		5 years after leaving (if at normal retirement age) or 10 years after leaving (if before normal retirement age)	Destroy
4.4	Pay and Pension (Personnel Record)	Bank details – current	6 years + CFY	Destroy

Function: Human Resource Management

Reference No.	Class	Series	Retention period	Final Action
		Death certificates	Retain copy until age 100	Destroy
		Decree Absolutes	Retain copy until age 100	Destroy
		Housing advance	6 years plus current financial year	Destroy
		Marriage certificate and documentation relating to civil registration	Retain copy until age 100	Destroy
		Unpaid leave periods	Until age 100	Destroy
		Statutory sickness/maternity pay calculation and supporting documentation	6 years + CFY	Destroy
		Overpayment documentation	6 years + CFY	Destroy
		Personal Payroll history including: <ul style="list-style-type: none"> • <i>Record of pay</i> • <i>Performance pay</i> • <i>Overtime pay</i> • <i>Allowances</i> • <i>Pay enhancements</i> • <i>Other taxable allowances</i> • <i>Payment for untaken leave</i> • <i>Reduced pay</i> • <i>No pay</i> • <i>Statutory sickness/maternity leave and pay</i> 	Until age 100	Destroy
		Resignation, termination and/or retirement letters	Until age 100	Destroy
		Civil Service Pensions - Added years	Until age 100	Destroy
		Civil Service Pensions - Additional Voluntary Contributions (AVC)	Until age 100	Destroy

Function: Human Resource Management

Reference No.	Class	Series	Retention period	Final Action
		Payroll input forms	6 years + CFY	Destroy
		Bonus nominations	6 years + CFY	Destroy
		Complete Sick Absence record	Until age 100	Destroy
		Papers relating to disciplinary action which has resulted in any changes to terms and conditions of service, salary, performance pay or allowances	Until age 100	Destroy
		Authorisation for deputising, substitution allowance and/or overtime/travel time claim	6 years + CFY	Destroy
		Third party client/advances in lieu of pay	6 years + CFY	Destroy
4.5	Departmental HR	Discipline including tribunal files	6 years	Destroy
		Health and Safety	6 years	Destroy
		Industrial Relations	5 years	Destroy
		Leave	2 years	Destroy
		Legislation	5 years	PRONI Appraisal
		Strategic/Senior Management Meetings		Permanent Preservation in PRONI
		Operational Meetings	5 years	Destroy
		Pay	7 years	Destroy
		Policy	5 years	PRONI Appraisal
		Procedures	5 years	Destroy
		Projects	5 years	Destroy
		Reporting	5 years	Destroy

Function: Human Resource Management

Reference No.	Class	Series	Retention period	Final Action
		Security	6 years	Destroy
		Staffing	6 years	Destroy
		Training and Development	6 years	Destroy
		Equal Opportunity	6 years	Destroy
		Workforce Planning	5 years	Destroy
		Managing Attendance	3 years	Destroy
		Data Management	3 years	Destroy
		Vacancy Management	3 years	Destroy

Function: Information and Communication

Reference no	Class	Series	Retention Period	Final Action
5.1	Committees	Strategic/Senior Management		Permanent Preservation in PRONI
		Operational	5 years	Destroy
5.2	Contacts			Permanent Retention in Department
5.3	Customer Relations		3 years	Destroy
5.4	Information Access Requests		3 years	Destroy
5.5	Government Liaison	<i>All except</i>	5 years	PRONI Appraisal
		<ul style="list-style-type: none"> Ministers' diaries 	Length of mandate	Permanent Preservation in PRONI
5.6	Legislation		5 years	PRONI Appraisal
5.7	Library Services		5 years	Destroy
5.8	Marketing & Media		5 years	Destroy
5.9	Meetings	Strategic/Senior Management		Permanent Preservation in PRONI
		Operational	5 years	Destroy
5.10	Policy		5 years	PRONI Appraisal
5.11	Procedures		5 years	Destroy
5.12	Projects	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> Civil Service Reform Public Sector Reform 		Permanent Preservation in PRONI
5.13	Publications		5 years	Destroy
5.14	Record and Information Management	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> Retention Scheduling Disposal Lists and Inventories 		Permanent Retention in Department
5.15	Reporting		5 years	Destroy

Function: Information and Communication

Reference no	Class	Series	Retention Period	Final Action
5.16	Security		5 years	Destroy
5.17	Standards		5 years	Destroy

Function: Strategic Management

Reference no	Class	Series	Retention Period	Final Action
6.1	Business Performance		5 years	Destroy
6.2	Business Planning		5 years	PRONI Appraisal
6.3	Committees	Strategic/Senior Management		Permanent Preservation in PRONI
		Operational	5 years	Destroy
6.4	Emergency Planning		5 years	PRONI Appraisal
6.5	Equality Promotion & Implementation		5 years	PRONI Appraisal
6.6	Legislation		5 years	PRONI Appraisal
6.7	Meetings	Strategic/Senior Management		Permanent Preservation in PRONI
		Operational	5 years	Destroy
6.8	Policy		5 years	PRONI Appraisal
6.9	Procedures	<i>All except</i>	5 years	PRONI Appraisal
		Departmental Seal	Until change in Department	Destroy
		Departmental Seal Register		Permanent Retention in Department
6.10	Programmes		5 years	PRONI Appraisal
6.11	Projects		5 years	PRONI Appraisal
6.12	Reporting		5 years	Destroy
6.13	Standards		5 years	Destroy

Function: Technology & Telecommunications

Reference no	Class	Series	Retention Period	Final Action
7.1	Application & System Support		5 years	Destroy
7.2	Application Development		5 years	Destroy
7.3	Legislation		5 years	PRONI Appraisal
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		5 years	Destroy
7.8	Resources	Acquisition	7 years	Destroy
		Allocation	3 years	Destroy
		Contracting	7 years	Destroy
		Disposal	3 years	Destroy
		Installation	5 years	Destroy
		Inventory and Asset Registers	5 years	Destroy
	Maintenance	3 years	Destroy	
7.9	Operations		7 years	Destroy
7.10	Security		5 years	Destroy
7.11	Standards		5 years	Destroy
7.12	Systems Management	<i>All except</i>	7 years	Destroy
		• Backups	6 Months	Destroy
		• Email Backups	1 Year	Destroy
7.13	Telecommunications Management		7 years	Destroy
7.14	Web Development		5 years	Destroy
7.15	Web Management		5 years	Destroy
7.16	NI Direct Operations	<i>All except</i>	5 years	Destroy
		• Customer Account Management	2 years	Destroy
7.17	NI Direct Web Editorial		5 years	Destroy
7.18	Digital Shared Services	<i>All except</i>	5 years	Destroy

Function: Technology & Telecommunications

Reference no	Class	Series	Retention Period	Final Action
		<ul style="list-style-type: none"> • BT Contract Management • Contract Finance 	6 years + CFY	Destroy
		<ul style="list-style-type: none"> • Media Monitoring 	3 months	Destroy
		<ul style="list-style-type: none"> • Government Advertising Services 	10 years	Destroy
7.20	NICS Information Management		5 years	Destroy

Function: Civil Registration Services

Reference no	Class	Series	Retention Period	Final Action
8.1	Certificate Production Services	All <i>except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Certificate and Registration Stamps • Income Monitoring 	6 years + CFY	Destroy
8.2	District Registration Services		5 years	Destroy
8.3	Legislation		5 years	PRONI appraisal
8.4	Liaison		5 years	Destroy
8.5	Policy		5 Years	PRONI appraisal
8.6	Procedures		5 years	Destroy
8.7	Projects	All <i>except</i>	5 years	PRONI appraisal
		<ul style="list-style-type: none"> • Genealogical Projects • Modernisation/Digitisation • NIROS • Registration and Certificate Modernisation 	10 years	PRONI appraisal
8.8	Registration	All <i>except</i>	5 years	PRONI appraisal
		<ul style="list-style-type: none"> • Registers 		Permanent Retention in Department
8.9	Statistical Services		5 years	Destroy

Function: Government Reform and Business Review Services

Reference no	Class	Series	Retention Period	Final Action
9.1	Business Consultancy		6 Years	Destroy
9.2	Innovation Labs	Projects	6 Years	Destroy
		Research and Development All <i>except</i>	6 Years	Destroy
		• Undeveloped research	3 Months	Destroy
9.3	Governance and Communication	Liaison	6 Years	PRONI Appraisal
		Engagement	6 Years	Destroy
9.4	Economic Advisory		6 years	PRONI Appraisal

Function: Government Estates & Buildings Standards Services

Reference no	Class	Retention Period	Final Action
10.1	Accounting	6 Years + CFY	Destroy
10.2	Art Collection Management	5 Years	Destroy
10.3	Cost Management Control	5 Years	Destroy
10.4	Energy and Sustainability	5 Years	Destroy
10.5	Legislation	5 Years	PRONI appraisal
10.6	Liaison	5 Years	Destroy
10.7	NICS Property Management	5 Years	Destroy
10.8	Policy	5 Years	PRONI appraisal
10.9	Procedures	5 Years	Destroy
10.10	Project Development	5 Years	Destroy
10.11	Property Development	5 Years	Destroy
10.12	Stormont Estate Management	5 Years	Destroy
10.13	Supplies Management	5 Years	Destroy

Function: Government Finance Services

Reference no	Class	Series	Retention Period	Final Action
11.1	Advice & Support	Central Euro Preparations		Permanent Retention in Department
		Community Support Framework	5 years	Destroy
		Economic Appraisal	5 years	Destroy
		Economics	6 years + CFY	PRONI appraisal
		European Union Structural Funds	6 years + CFY	Destroy
		European Union Verification	6 years + CFY	Destroy
		Financial Governance <i>All except</i>	6 years + CFY	Destroy
		<ul style="list-style-type: none"> • Business/Corporate Plans • Fees & Charges • Management Statement & Financial Memorandum • Memorandum of Understanding • Northern Ireland Commissioner for Complaints 	5 years	Destroy
		<ul style="list-style-type: none"> • Alignment of Budgets Estimates and Accounts 	8 years	Destroy
		<ul style="list-style-type: none"> • Reclassification 	10 years	Destroy
		<ul style="list-style-type: none"> • Appointment Letters for Accounting Officers • Whole of Government Accounts (Policy) 		Permanent Retention in Department
		Public Expenditure	10 years	Destroy
Taxation	6 years + CFY	Destroy		
11.2	Funding	Consolidated Fund <i>All except</i>	6 years + CFY	Destroy
		<ul style="list-style-type: none"> • Loans Management, Ulster Tower at Thievpal 		Permanent Retention in Department
		<ul style="list-style-type: none"> • European Union Structural Funds 	6 years + CFY	Destroy

Function: Government Finance Services

Reference no	Class	Series	Retention Period	Final Action
11.3	Fraud Management		6 years + CFY	Destroy
11.4	Legislation	Approval of Legislation	5 years	PRONI appraisal
		Departmental	5 years	PRONI appraisal
		European Union Structural Funds	6 years + CFY	PRONI appraisal
		Financial Governance	6 years + CFY	PRONI appraisal
		Public Expenditure <i>All except</i>	6 years + CFY	PRONI appraisal
		<ul style="list-style-type: none"> • Estimates & Budget Bills 	10 years	PRONI appraisal
11.5	Liaison	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • European Community Commission 	6 years + CFY	Destroy
11.6	Policy	<i>All except</i>	5 years	PRONI appraisal
		<ul style="list-style-type: none"> • European Union Structural Funds 	6 years + CFY	PRONI appraisal
		<ul style="list-style-type: none"> • Guidance Notes • Public Expenditure 	10 years	PRONI appraisal
11.7	Procedures	<i>All except</i>		Permanent Retention in Department
		<ul style="list-style-type: none"> • European Union Structural Funds 	6 years + CFY	Destroy

Function: Government Personnel Services

Reference no	Class	Series	Retention Period	Final Action
12.1	Advice & Support	All <i>except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Pensions 	6 years + CFY	Destroy
		<ul style="list-style-type: none"> • Welfare Support Casefiles 	6 years	Destroy
12.2	Legislation	All <i>except</i>	5 years	PRONI appraisal
		<ul style="list-style-type: none"> • Pensions 	20 years	PRONI appraisal
12.3	Liaison		5 years	Destroy
12.4	NICS Industrial Relations		5 years	Destroy
12.5	Policy		5 years	PRONI appraisal
12.6	Procedures	All <i>except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Circulars • Pension Guidance Notes 	20 years	Destroy
12.7	Service Management	All <i>except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Pensions 	6 years + CFY	Destroy
12.8	Workforce Planning	Monitoring	5 years	Destroy
12.9	Staffing	Cessations <i>except</i>	6 years	Destroy
		<ul style="list-style-type: none"> • NICS Voluntary Exit Scheme 	5 years	PRONI Appraisal

Function: Government Procurement Services

Reference no	Class	Series	Retention Period	Final Action
13.1	Advice & Support		21 years	Destroy
13.2	Category Management		21 years	Destroy
13.3	Centre of Excellence Programmes and Projects		21 years	Destroy
13.4	Construction Branch Management		21 years	Destroy
13.5	Construction Procurement Grants		21 years	Destroy
13.6	Construction Procurement Projects	<i>All except</i>	21 years	Destroy
		Building & Infrastructure Drawings/Plans	Until building/infrastructure is demolished	Destroy
13.7	Construction Technical Data		21 years	Destroy
13.8	Contract Management		21 years	Destroy
13.9	Contracts and Standards		10 years	Destroy
13.10	Health Estates	<i>All except</i>	21 years	Destroy
		<ul style="list-style-type: none"> • Capital Projects • Clerk of Works Group 	25 years	Destroy
		<ul style="list-style-type: none"> • Accommodation Reviews • Budgetary Control • IHEEM • Training Courses • Travel Expenses 	10 years	Destroy
13.11	Meetings		10 years	Destroy
13.12	Policy		10 years	PRONI appraisal
13.13	Procedures		10 years	Destroy
13.14	Standards		10 years	Destroy
13.15	Supply Chain Management	<i>All except</i>	6 years	Destroy
		<ul style="list-style-type: none"> • Framework Arrangements • Non- Framework Arrangements 	10 years	Destroy
13.16	Tendering		10 years	Destroy

Function: Land Registration Services

Reference no	Class	Series	Retention Period	Final Action
14.1	Landweb		10 years	Destroy
14.2	Legal	All <i>except</i>	6 years	PRONI appraisal
		<ul style="list-style-type: none"> • Legal Opinion and Advice 	10 years	PRONI appraisal
14.3	Policy		5 years	PRONI appraisal
14.4	Procedures		10 years	Destroy
14.5	Projects		10 years	PRONI appraisal
14.6	Registration Services Management	All <i>except</i>	10 years	PRONI appraisal
		<ul style="list-style-type: none"> • Land Information Services Helpdesk • Registration Services Liaison • Fees Orders 	5 years	PRONI appraisal

Function: Government Training Services

Reference no	Class	Series	Retention Period	Final Action
15.1	Business Support		5 years	Destroy
15.2	Liaison		5 years	Destroy
15.3	Meetings		5 years	Destroy
15.4	Policy		5 years	PRONI appraisal
15.5	Programme Delivery		5 years	Destroy
15.6	Programme Support	All <i>except</i>	5 years	Destroy
		• Attendance Lists	6 years	Destroy
		• Health & Safety Attendance Lists		Permanent Retention in Department
		• External Provider Contract	6 years + CFY	Destroy
15.7	SCS Development		5 years	Destroy

Function: Rating & Valuation Services

Reference no	Class	Series	Retention Period	Final Action
16.1	Benefit Schemes		6 years + CFY	Destroy
16.2	Central Investigation Team		7 years	Destroy
16.3	Collection & Recovery		6 years + CFY	Destroy
16.4	Financial Planning & Control		6 years + CFY	Destroy
16.5	Local Government Boundary Commission		6 years + CFY	PRONI appraisal
16.6	LPS Asset Valuations		6 years after disposal of asset	Destroy
16.7	LPS Client Services		5 years	Destroy
16.8	LPS Rating and Valuation Service Reform Programme	All <i>except</i>	7 years	PRONI appraisal
		<ul style="list-style-type: none"> • Land and Property Services Public Interface Project • LPS Valuation Service Programme • Rate Rebate Replacement Programme 	10 years	PRONI appraisal
		<ul style="list-style-type: none"> • LPS Rating Service IT Replacement Project 	12 years	PRONI appraisal
16.9	LPS Statistics			Permanent Retention in Department
16.10	Policy	All <i>except</i>	5 years	PRONI appraisal
		<ul style="list-style-type: none"> • Central Advisory Unit (CAU) • Housing Benefit 	10 years	PRONI appraisal
		<ul style="list-style-type: none"> • Customer Services 	7 years	PRONI appraisal
16.11	Procedures	All <i>except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Guidance 	5 years	PRONI appraisal

Function: Rating & Valuation Services

Reference no	Class	Series	Retention Period	Final Action
16.12	Rating Assessments	All <i>except</i>	5 years	PRONI appraisal
		<ul style="list-style-type: none"> • Completion Notice Appeal Cases • Land Tribunal Appeal Cases • Domestic Appeal Cases • Non Domestic Appeal Cases 	6 years	Destroy
		<ul style="list-style-type: none"> • Certified Extracts • Northern Ireland Valuation Tribunal 	2 years	Destroy
		<ul style="list-style-type: none"> • Advice Cases 		Permanent Retention in Department
16.13	Revenue and Benefits		6 years + CFY	Destroy
16.14	Valuation Services	All <i>except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Compensation • Housing Benefit 	6 years + CFY	Destroy
		<ul style="list-style-type: none"> • Certified Extracts • Circulars • Non-domestic Revaluation • Practice Notes 		Permanent Retention in Department
16.15	Non-domestic Rating Services		6 years after disposal of building	Destroy
16.16	Domestic Rating Services		6 years after disposal of building	Destroy
16.17	Client Services		5 years	PRONI appraisal
16.18	VLA & RCA Unification Programme		5 years	PRONI appraisal

Function: Statistics & Research Management

Reference no	Class	Series	Retention Period	Final Action
17.1	Census	Census Forms		Permanent Preservation in PRONI
		Project Files	5 Years	PRONI Appraisal
		Branch Finance	6 years + CFY	Destroy
17.2	Demographic Statistics		5 years	Destroy
17.3	Economic and Labour Market Statistics	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Economic Accounts • Information Sharing Order • Integrated Business Survey System • NI Composite Household Expenditure Index • Purchases Inquiry • Labour Market Report • Prosecutions • Redundancies • Transfer of Functions 	10 years	PRONI appraisal
		<ul style="list-style-type: none"> • Claimant Count • Composite Index - Methodology • Department Manuals • Methodological Virtual Library 		Permanent Retention in Department
17.4	Human Resource Research & Statistics	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Absenteeism • HRConnect 	3 years	Destroy
		<ul style="list-style-type: none"> • Absenteeism - Draft hard copy monthly reports 	3 months	Destroy

Function: Statistics & Research Management

Reference no	Class	Series	Retention Period	Final Action
		<ul style="list-style-type: none"> Health Survey Research Review of Public Administration Surveys Workplace 2010 Workspace Review Parliament Buildings 	10 years	Destroy
		<ul style="list-style-type: none"> Datasets - Successful applicants in Graduate Recruitment competitions 	25 years	Destroy
		<ul style="list-style-type: none"> Datasets - Equal Pay exercise 	6 years + CFY	Destroy
		<ul style="list-style-type: none"> Datasets - Other HR 	11 years	Destroy
17.5	Legislation			Permanent Retention in Department
17.6	Liaison		7 years	Destroy
17.7	Procedures		15 years	Destroy
		<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> Datasets Europe - All Programmes Local Government Districts Measuring Wellbeing MEWG 2014-2020 NUTS Review Rural Development Programme 2014-2020 	15 years	Destroy
		<ul style="list-style-type: none"> Statistical Harmonisation Statistical Publications 	2 years	Destroy
		<ul style="list-style-type: none"> Office of National Statistics Co-ordination 	3 years	Destroy
17.8	Regional Reports & European Union Programme	<ul style="list-style-type: none"> Procedures & Contract Documents 		Permanent Retention in Department

Function: Statistics & Research Management

Reference no	Class	Series	Retention Period	Final Action
17.9	Research		5 years	Destroy
17.10	Survey Research	<i>All except</i>	30 years	Destroy
		<ul style="list-style-type: none"> • Field force • Interviewer IT 	7 years	Destroy
17.11	Communications & Marketing		5 years	Destroy
17.12	Tourism Statistics	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Methodology and QIF 		Permanent Retention in Department

Function: Ordnance Survey

Reference no	Class	Series	Retention Period	Final Action
18.1	Channel Development		2 years	Destroy
18.2	Collaboration and Engagement		5 years	Destroy
18.3	Customer and Business Improvement (CBI) Governance		5 years	Destroy
18.4	DIS Database and Spine Management	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Oracle Management • System Documentation 	2 years	Destroy
18.5	EuroGeoGraphics		5 years	Destroy
18.6	Field Collection Geodetic Survey	<i>All except</i>	2 years	Destroy
		<ul style="list-style-type: none"> • Admin • Communications • General • GPS Active Network • GPS RTK Network • Instruments & Equipment • Meetings • Presentations 	5 years	Destroy
		<ul style="list-style-type: none"> • Assets & Purchases 	6 years + CFY	Destroy
18.7	Field Collection Management	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Planning Management • Production Management • Quality Assurance • Special Mapping • Staff contacts • Version 1 	2 years	Destroy
		<ul style="list-style-type: none"> • Field Equipment • Vehicles Procurement 	6 years + CFY	Destroy
		<ul style="list-style-type: none"> • Field Survey 	10 years	Destroy
		<ul style="list-style-type: none"> • Policy and Specifications 	5 years	PRONI appraisal

Function: Ordnance Survey

Reference no	Class	Series	Retention Period	Final Action
18.8	GEOHUB NI		5 years	Destroy
18.9	GI Consultancy	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Projects 	6 years	Destroy
18.10	Intellectual Property Rights (IPR)	<i>All except</i>	1 year	Destroy
		<ul style="list-style-type: none"> • Historical Mapping • IPR OSNI Policies 	2 years	Destroy
		<ul style="list-style-type: none"> • Centrally Funded Mapping Agreements • Inspire • Legal Solicitors • National Archive or OPSI (Office of Public Sector Information) 	3 years	Destroy
		<ul style="list-style-type: none"> • Forensics • Orthophoto 	5 years	Destroy
		<ul style="list-style-type: none"> • Customers • Forms and Agreements • Licensing Permissions 	6 years + CFY	Destroy
		<ul style="list-style-type: none"> • Archive Library • Copyright & Assignment • Trademarks 	5 years	PRONI appraisal
18.11	IT Systems Management	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • CAMEO • IT Backups • Pointer 	2 years	Destroy
18.12	Knowledge Sharing		5 years	Destroy
18.13	Management Information Systems (MIS)		5 years	Destroy
18.14	Operations Boundaries		5 years	PRONI appraisal
18.15	Operations Database Development	<i>All except</i>	5 years	Destroy

Function: Ordnance Survey

Reference no	Class	Series	Retention Period	Final Action
		<ul style="list-style-type: none"> • MapBase • Security • Software 	2 years	Destroy
18.16	Operations Spatial Data Management	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Data Conversion • Error Reporting • MapBase • Security 	2 years	Destroy
18.17	OSNI 2015 Data Model		5 years	Destroy
18.18	OSNI eCommerce & Archive Group	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • AccountNI • Audit • Income • Procurement 	6 years + CFY	Destroy
18.19	Planning and Production DGC mapping	<i>All except</i>	2 years	Destroy
		<ul style="list-style-type: none"> • Action Logs 	5 years	Destroy
		<ul style="list-style-type: none"> • Planning and production costs 	6 years + CFY	Destroy
		<ul style="list-style-type: none"> • Meeting Agendas and Minutes 	5 years	PRONI appraisal
18.20	Planning and Production Management		5 years	Destroy
18.21	Planning and Production Photogram	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Flying Contacts 	6 years + CFY	Destroy
18.22	Planning and Production Pointer Operations	<i>All except</i>	5 years	Destroy
		<ul style="list-style-type: none"> • Pointer operations • Road network 	2 years	Destroy
18.23	Planning and Production Small Scales Cartography		5 years	Destroy
18.24	Planning and Production Spatial Data Enhancement		5 years	Destroy

Function: Ordnance Survey

Reference no	Class	Series	Retention Period	Final Action
18.25	Planning and Production Spatial Data Services		5 years	Destroy
18.26	Planning and Production Workflow Management		5 years	Destroy
18.27	Products		2 years	Destroy
18.28	Projects		5 years	Destroy
18.29	Research and Development-New Products		5 years	Destroy
18.30	Revenue & Data Supply		5 years	Destroy
18.31	Service Delivery		2 years	Destroy
18.32	Shop Management		2 years	Destroy
18.33	Spatial Production Management		5 years	Destroy
18.34	Strategic Accounts		2 years	Destroy
18.35	Web Services		5 years	Destroy

Function: Legal Services

Reference no	Class	Series	Retention Period	Final Action
19.1	Commercial and Property		6 years + CFY	Destroy
19.2	European and Information Law		6 years	Destroy
19.3	Legal Advice	<i>All except</i>	6 years	Destroy
		<ul style="list-style-type: none"> • Constitutional • Counsel • Economic Regulation • Employment Rights • Employment Support • Industrial Development • Legislation and Policy • NICS • NI Departments • Policy • Public Law • Social Policy • Subordinate Legislation • Victims and Survivors • Precedents 	6 years	PRONI Appraisal
19.4	Litigation	<i>All except</i>	6 years	Destroy
		<ul style="list-style-type: none"> • Court of Appeal • House of Lords • Judicial Reviews • Lands Tribunal • High Court • Precedents 	6 years	PRONI Appraisal
19.5	Civil Law Reform		6 years	PRONI Appraisal

Function: Occupational Health

Reference no	Class	Series	Retention Period	Final Action
20.1	eMED Referrals	All except	10 years	Destroy
		<ul style="list-style-type: none"> Occupational health records Health surveillance/pre-employment assessment reports 	Until age 100	Destroy
		<ul style="list-style-type: none"> COSHH records 	40 years after the last entry	Destroy
20.2	International Classification of Disease		10 years	Destroy
20.3	Knowledge Base		10 years	Destroy
20.4	Medical Opinion		6 years	Destroy
20.5	Meetings		5 years	Destroy
20.6	Policy		5 years	PRONI Appraisal
20.7	Promotion		10 years	Destroy
20.8	Protection		10 years	Destroy
20.9	Rehabilitation		10 years	Destroy
20.10	Service Management and Delivery		10 years	Destroy
20.11	Welfare Liaison		5 years	Destroy



Department of Finance 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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