

# Disposal of Records Schedule

## Department for Infrastructure

Implementation Date: 11 October 2016



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## **Section 1**

### **Introduction**

#### **1. About the Department**

The Department for Infrastructure (DfI) is one of 9 Northern Ireland Departments. The core groups in the Department are:

Planning, Water and DVA;

Transport and Resources; and

Roads and Rivers.

#### **2. Background**

To meet the legislative requirements the Department has put in place effective records management controls to manage the lifecycle of records from their creation, through use, to disposal, or storage in an archive once that use has come to an end.

In 2007 the department introduced an electronic document and record management system – currently HPRM. The schedule, which complies with the requirements on the Public Records Act (NI) 1923 and by the Disposal of Documents Order (S.R. & O. 1925 No 167), identifies the disposal arrangements for all electronic records created or received by the Department in the execution of its responsibilities that are stored on HPRM.

The retention periods and disposal actions set out in this Schedule applies to all records, paper and electronic, created by the Department.

## **Section 2**

### **Operation of the Retention and Disposal 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 for 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 Branches (IMBs). 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

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

When a record is due to be closed, IMBs 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 PRONI. 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 Public Record Office of Northern Ireland (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.
- **Local Information Managers**

The Local Information Manager (LIMs), 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.

- **Information Asset Owner**

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.

### **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

### **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: Definition of Records Held by the Department**

### **Accommodation and Services**

This category includes information relating to the management of accommodation and the provision of related services. Includes activities associated with the acquisition, operation, allocation and disposal of premises, equipment, supplies and vehicles.

### **Audit and Accountability**

This category includes information relating to the examination and reviewing of operational and financial records to ensure they correctly record events, decisions, processes, transactions and activities undertaken during the course of business as well as ensuring that records meet organisational and legislative requirements.

### **Financial Management**

This category includes information relating to the management of financial resources. Includes activities associated with financial planning, accounting, budget allocations and submissions, allowances, asset management.

### **Flood Defence & Drainage**

This category includes information relating to watercourse and coastal flood management.

### **Human Resource Management**

This category includes information relating to controlling, monitoring and managing employees and includes activities associated with working conditions, salaries, resourcing requirements and employee development and performance.

### **Information and Communication**

This category includes information relating to managing information and communication resources and includes liaisons and interactions with other areas of government and the community, the maintenance of departmental records and publications, the handling of enquiries received from the public

### **Inland Waterways**

This category includes information relating to the development of the recreational and navigational potential of designated inland waterways.



## **Network Development**

This category includes information relating to the development of the network infrastructure for which the Department is responsible (e.g. roads, rail, air- and sea-ports).

## **Network Maintenance**

This category includes information relating to the maintenance of the infrastructure for which the Department is responsible including roads, bridges, footways, car parks, street lighting, harbours etc.

## **Network Management**

This category includes information relating to the management of the infrastructure for which the Department is responsible. Includes activities associated with traffic management, traffic calming, blue badge scheme, planning applications etc.

## **Statistics & Research Management**

This category includes information associated with the collection, organization, and interpretation of data in support of decisions made by the Department.

## **Strategic Management**

This category includes information relating to the planning, managing and monitoring the long-term corporate objectives, performance and structure of the department. It includes activities associated with business planning, quality assurance, business continuity and improvement processes.

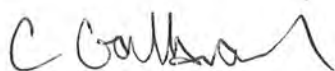
## **Technology and Telecommunications**

This category includes information relating to acquiring, developing and managing electronic information systems and communication technology. It includes activities associated with maintaining hardware and software, the implementation of new systems, and managing the technical aspects of communication systems such as telephones and Websites.

The above descriptions are not exhaustive.

## Section 4: Signatories

Department for Infrastructure 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 20 January 1925.



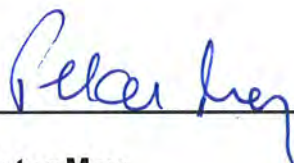
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**Public Record Office of Northern Ireland**

*Michael Willis*

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**Dr Michael Willis**  
**Deputy Keeper of the Records**  
**Public Records Office of Northern Ireland**

*Leo O'Reilly*

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**Leo O'Reilly**  
**Permanent Secretary**  
**Department for Communities**

**Section 5**

**Function: Accommodation & Services**

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
1.1	Advice & guidance		6 years		Destroy
1.2	Health & Safety	Accidents	5 years		Destroy
		Claims	7 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
1.3	Land & property	Acquisition - Agreement	5 years		PRONI appraisal
		Acquisition - Blight	5 years		Destroy
		Acquisition - Favourable Opportunity	5 years		Destroy
		Acquisition - Shortened Form of Agreement	5 years		Destroy
		Acquisition - Vesting	5 years		PRONI appraisal
		Appraisals	5 years		Destroy

**Function: Accommodation & Services**

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
1.3 contd.	Land & property contd.	Building Condition Surveys	25 years		Destroy
		Consents & Licences - Abandonment	5 years		Destroy
		Consents & Licences - Access arrangements for car parks	5 years		Destroy
		Consents & Licences - Adoptions	5 years		Destroy
		Consents & Licences - Deeds of Dedication	5 years		Destroy
		Consents & Licences - Deeds of Exchange	5 years		Destroy
		Consents & Licences - Direction Orders	5 years		Destroy
		Consents & Licences - Easements	5 years		Destroy
		Consents & Licences - Leases/Title Deeds	For the duration of ownership		Permanent retention by DRD until asset is disposed off
		Consents & Licences - Licenses	5 years		Destroy

**Function: Accommodation & Services**

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
1.3 contd.	Land & property contd.	Consents & Licences - Lifting of Burdens	5 years		Destroy
		Consents & Licences - Stopping-up	5 years		Destroy
		Consents & Licences - Subletting Agreements	5 years		Destroy
		Consents & Licences - Wayleave Agreements	5 years		Destroy
		Disposal	5 years		Destroy
		Environmental Impact Assessment	5 years		Destroy
		Environmental Statement	5 years		Destroy
		Inventory	Until superseded		Destroy
		Legal Opinions	5 years		Destroy
		Maintenance	5 years		Destroy
		Management	5 years		Destroy
Public Inquiries	5 years		PRONI appraisal		

**Function: Accommodation & Services**

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
1.4	Legislation		5 years		PRONI appraisal
1.5	Meetings	Strategic/Senior Management	5 years		Permanent Preservation in PRONI
		Operational	5 years		Destroy
1.6	Policy		5 years		PRONI Appraisal
1.7	Premises	Acquisition	7 years		Destroy
		Allocation	3 years		Destroy
		Conservation	5 years		Destroy
		Construction	7 years		Destroy
		Contracting	For the duration of the contract		Destroy
		Disposal	3 years		Destroy
		Insurance	7 years		Destroy
		Maintenance	3 years		Destroy
		Premises - Maps & Locations	5 years		Destroy
		Moving	3 years		Destroy

**Function: Accommodation & Services**

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
1.7 contd.	Premises contd.	Refurbishment	3 years		Destroy
		Utilities	7 years		Destroy
	Pricing		5 years		Destroy
1.8	Procedures		5 years		Destroy
1.9	Projects		5 years		Destroy
	Reform Initiatives		5 years		Destroy
1.10	Reporting		5 years		Destroy
1.11	Security		5 years		Destroy
1.12	Storage		5 years		Destroy
1.13	Supplies & Equipment	Acquisition	7 years		Destroy
		Allocation	3 years		Destroy
		Contracting	For the duration of contract		Destroy
		Disposal	3 years		Destroy
		Inventory	Until superseded		Destroy
		Maintenance	3 years		Destroy



**Function: Accommodation & Services**

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
1.14	Support Services		5 years		Destroy
1.15	Tendering		7 years		Destroy
1.16	Vehicles & Plant	Acquisition	For the duration of ownership		Permanent retention by Dfl until asset is disposed off
		Allocation	3 years		Destroy
		Authorisation	7 years		Destroy
		Inspections	7 years		Destroy
		Disposal	3 years		Destroy
		Insurance	7 years		Destroy
		Licensing	7 years		Destroy
		Maintenance	3 years		Destroy
		Monitoring	5 years		Destroy
		Reports	5 years		Destroy
		Specifications	5 years		Destroy
Tachographs	1 years		Destroy		

**Function: Audit & Accountability**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
2.1	Advice & Guidance		6 years		Destroy
2.2	Committees		5 years		PRONI Appraisal
2.3	Contracts		5 years		Destroy
2.4	External Audit		7 years		Destroy
2.5	Fraud Management		10 years		Destroy
2.5	Gifts & Hospitality		5 years		Destroy
2.6	Initiatives		5 years		Destroy
2.7	Internal Audit		7 years		Destroy
2.8	Internal Control Statement		7 years		Destroy
2.9	Legislation		5 years		PRONI Appraisal
2.10	Meetings	Strategic/Senior Management	5 years		Permanent Preservation in PRONI
		Operational	5 years		Destroy
2.11	Policy		5 years		PRONI Appraisal
2.12	Private / Personal Interests		5 years		Destroy

**Function: Audit & Accountability**

<b>Reference no</b>	<b>Class</b>	<b>Series</b>	<b>Retention Period</b>	<b>Relevant Legislation</b>	<b>Final Action</b>
2.13	Procedures		5 years		Destroy
2.14	Risk Management		7 years		Destroy
2.15	Standards		7 years		Destroy
2.16	Tendering		1 year		Destroy

**Function: Financial Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
3.1	Accounting	Accounts Payable	7 years		Destroy
		Accounts Preparation - DOE Annual CGA & WGA Accounts	10 years		Destroy
		Accounts Preparation - DOE Annual Resource Accounts	10 years		Destroy
		Accounts Preparation - DOE EU Expenditure and Income	10 years		Destroy
		Accounts Preparation - DOE Monthly Management Accounts	10 years		Destroy
		Accounts Preparation - DOE Quarterly Management Accounts	10 years		Destroy
		Accounts Preparation - Dfl Annual CGA & WGA Accounts	10 years		PRONI Appraisal
		Accounts Preparation - Dfl Annual Resource Accounts	10 years		PRONI Appraisal

**Function: Financial Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
3.1 contd.	Accounting contd.	Accounts Preparation - Dfl EU Expenditure and Income	10 years		PRONI Appraisal
		Accounts Preparation - Dfl Monthly Management Accounts	10 years		Destroy
		Accounts Preparation - Dfl Quarterly Management Accounts	10 years		Destroy
		Accounts Preparation - TNI Annual Agency Accounts	10 years		PRONI Appraisal
		Accounts Preparation - TNI Monthly Management Accounts	10 years		Destroy
		Accounts Preparation - TNI Quarterly Management Accounts	10 years		Destroy
		Accounts Receivable	7 years		Destroy
		Actual & Contingent Liabilities	7 years		Destroy
		Arrears	7 years		Destroy

**Function: Financial Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
3.1 contd.	Accounting contd.	Expenditure	7 years		Destroy
		Fees & Charges	7 years		Destroy
		Losses & Special Payments	10 years		Destroy
		Memorandum Trading Accounts	7 years		Destroy
		Revenue	7 years		Destroy
		Suspense Account Management	7 years		Destroy
		Tax	7 years		Destroy
3.2	Advice and Guidance		10 years		Destroy
3.3	Allowances		7 years		Destroy
3.4	Asset Management		7 years		Destroy
3.5	Bank Lodgement / Cheque Books		7 years		Destroy
3.6	Budgeting		7 years	National Audit Requirement	Destroy
3.7	Business Cases		7 years		Destroy

**Function: Financial Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
3.8	Financial Systems		7 years		Destroy
3.9	Funding	Non EU funding	7 years	Government Accounting Northern Ireland (GANI) Regulations	Destroy
		EU Funding	14 years following payment of the final balance by the Commission		Destroy
3.10	Hospitality		5 years		Destroy
3.11	Legislation		5 years		PRONI Appraisal
3.12	Meetings	Strategic/Senior Management	5 years		Permanent Preservation in PRONI
		Operational	5 years		Destroy
3.13	Payment / Receipt Batch Files		7 years		Destroy
3.14	Payment Registers		7 years		Destroy
3.15	Petty Cash receipts & payments		7 years		Destroy
3.16	Policy		5 years		PRONI Appraisal

**Function: Financial Management**

<b>Reference no</b>	<b>Class</b>	<b>Series</b>	<b>Retention Period</b>	<b>Relevant Legislation</b>	<b>Final Action</b>
3.17	Procedures		5 years		Destroy
3.18	Procurement		7 years		Destroy
3.19	Projects		5 years		Destroy
3.20	Purchase Order Books		7 years		Destroy
3.21	Receipt Books		7 years		Destroy
3.22	Reform Initiatives		5 years		Destroy
3.23	Reporting		5 years		Destroy
3.24	Retained Finance		7 years		Destroy
3.25	Tendering		1 year		Destroy
3.26	Standards		5 years		Destroy



**Function: Flood Defence & Drainage**

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
4.1	Advice & Guidance		6 years		Destroy
4.2	Asset Management		Until superseded		Destroy
4.3	Capital works programmes		15 years		PRONI appraisal
4.4	Committees		10 years		PRONI appraisal
4.5	Discharge of water applications		15 years		Destroy
4.6	Economic Appraisals		10 years		PRONI appraisal
4.7	Emergency Response		15 years		PRONI appraisal
4.8	Enforcement		15 years		Destroy
4.9	Environmental Information		15 years		Destroy
4.10	Inspections		6 years		Destroy
4.11	Legislation		5 years		PRONI Appraisal

**Function: Flood Defence & Drainage**

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
4.12	Maintenance works		10 years		Destroy
4.13	Major Incidents		20 years		PRONI appraisal
4.14	Management of Loughs & Watercourses (inc recreation)		15 years		PRONI appraisal
4.15	Meetings		5 years		PRONI appraisal
4.16	Policy		5 years		PRONI Appraisal
4.17	Procedures		5 years		Destroy
4.18	Procurement		7 Years		Destroy
4.19	Projects		5 years		Destroy
4.20	Publications		Until superseded		Destroy
4.21	Remedial Works		10 years		PRONI Appraisal
4.22	Riverine species		Permanent		Permanent retention by DfI
4.23	Schemes		15 years		Destroy
4.24	Services & Utilities		10 years		Destroy

**Function: Flood Defence & Drainage**

<b>Reference No.</b>	<b>Class</b>	<b>Series</b>	<b>Retention Period</b>	<b>Relevant Legislation</b>	<b>Final Action</b>
4.25	Structures		Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
4.26	Testing		15 years		Destroy

**Function: Human Resources**

Reference No.	Class	Series	Retention period	Legislative Requirement	Final Action
5.1	Advices & Guidance		6 years		Destroy
5.2	Departmental HR	Absence Reports	4 years		Destroy
		Committees	5 years		Destroy
		Data Management	5 years		Destroy
		Employer's Liability Claims	7 years		Destroy
		Equal Opportunity	5 years		Destroy
		Grievance & 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
		Managing Attendance	5 years		Destroy
		Meetings – Strategic / Senior Management	5 years		Permanent Preservation in PRONI
		Meetings - Operational	5 years		Destroy

**Function: Human Resources**

Reference No.	Class	Series	Retention period	Legislative Requirement	Final Action
5.2 contd.	Departmental HR contd.	Pay	7 years		Destroy
		Policy	5 years		PRONI Appraisal
		Procedures	5 years		Destroy
		Projects	5 years		Destroy
		Reform Initiatives - eHR	5 years		Destroy
		Reporting	5 years		Destroy
		Security	5 years		Destroy
		Staff Welfare	5 years		Destroy
		Staffing	5 years		Destroy
		Standards	Until superseded		Destroy
		Timesheets	3 years		Destroy
		Training and Development	5 years		Destroy
		Workforce Planning	5 years		Destroy

Function: Human Resources

Reference No.	Class	Series	Retention period	Legislative Requirement	Final Action
5.3	Employment and career (Employee Record)	AccessNI <i>Record should be kept of:</i> <ul style="list-style-type: none"> <li>• <i>The date of the disclosure</i></li> <li>• <i>The name of the subject of the disclosure</i></li> <li>• <i>The type of disclosure</i></li> <li>• <i>The position which the disclosure was applied for</i></li> <li>• <i>The unique number that was issued by AccessNI for that disclosure; and</i></li> <li>• <i>The recruitment decision taken</i></li> </ul>	Until age 100  The records should be signed and dated by a person of significant authority and seniority who could represent the organisation in court.		Destroy
		AccessNI staffing  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

**Function: Human Resources**

Reference No.	Class	Series	Retention period	Legislative Requirement	Final Action
5.3 contd.	Employment and career (Employee Record) contd.	Annual Leave records	2 Years after end of current leave year		Destroy
		Appraisal reports/documentation	5 years after end of current performance year		Destroy
		Building Society references	6 months from closure		Destroy
		<u>Career History</u> <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
		Professional Qualifications (i.e. medical, scientific, technical)	Until age 100		Destroy
		Qualifications/References	6 Years after employment has ended		Destroy

Function: Human Resources

Reference No.	Class	Series	Retention period	Legislative Requirement	Final Action
5.3 contd.	Employment and career (Employee Record) contd.	Record of Location of Overseas Service	Until Age 100		Destroy
		Record of Previous Service	Until Age 100		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
		Variation of Hours – calculation formula for individual. <i>Actual hours worked is covered under Written Particulars of Employment.</i>	6 years after end of current financial year		Destroy
		<u>Written Particulars of Employment</u> <i>Contracts of Employment</i> <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



**Function: Human Resources**

Reference No.	Class	Series	Retention period	Legislative Requirement	Final Action
5.4	Health (Employee Record)	Health Declaration	Until age 100		Destroy
		Health Referrals <i>including Medical reports, correspondence with Occupational Health Service</i>	Until age 100		Destroy
		Medical / Self Certificates <i>Related to industrial injury</i>	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
		Papers relating to any injury on duty	Until age 100		Destroy
		Welfare reports	6 years from closure of case		Destroy

**Function: Human Resources**

Reference No.	Class	Series	Retention period	Legislative Requirement	Final Action
5.5	Pay and Pension (Employee Record)	Authorisation for deputising, substitution allowance and/or overtime/travel time claim	6 years plus current financial year		Destroy
		Bank details – current	6 years plus current financial year		Destroy
		Bonus nominations	6 years plus current financial year		Destroy
		Civil Service Pensions - Added years	Until age 100		Destroy
		Civil Service Pensions - Additional Voluntary Contributions (AVC)	Until age 100		Destroy
		Complete Sick Absence record	Until age 100		Destroy
		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
		Overpayment documentation	6 years plus current financial year		Destroy

**Function: Human Resources**

Reference No.	Class	Series	Retention period	Legislative Requirement	Final Action
5.5 contd.	Pay and Pension (Employee Record) contd.	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
		Payroll input forms	6 years plus current financial year		Destroy
		Personal Payroll history including: <ul style="list-style-type: none"> <li>• <i>Record of pay</i></li> <li>• <i>Performance pay</i></li> <li>• <i>Overtime pay</i></li> <li>• <i>Allowances</i></li> <li>• <i>Pay enhancements</i></li> <li>• <i>Other taxable allowances</i></li> <li>• <i>Payment for untaken leave</i></li> <li>• <i>Reduced pay</i></li> <li>• <i>No pay</i></li> <li>• <i>Statutory sickness/maternity leave and pay</i></li> </ul>	Until age 100		Destroy
		Resignation, termination and/or retirement letters	Until age 100		Destroy

**Function: Human Resources**

<b>Reference No.</b>	<b>Class</b>	<b>Series</b>	<b>Retention period</b>	<b>Legislative Requirement</b>	<b>Final Action</b>
5.5 contd.	Pay and Pension (Employee Record) contd.	Statutory sickness/maternity pay calculation and supporting documentation	6 years plus current financial year		Destroy
		Third party client/advances in lieu of pay	6 years plus current financial year		Destroy
		Unpaid leave periods	Until age 100		Destroy
5.6	Security (Employee Record)		5 years after leaving (if at normal retirement age) or 10 years after leaving (if before normal retirement age)		Destroy

**Function: Information and Communication**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
6.1	Advice & Guidance		6 years		Destroy
6.2	Committees	Strategic/Senior Management	5 years		Permanent Preservation in PRONI
		Operational	5 years		Destroy
6.3	Customer Relations	<i>Includes complaints, compliments and customer queries</i>	3 years		Destroy
6.4	Government Liaison	<i>Includes AQs, PQs, briefings, Assembly and Executive committees, Minister's and Perm Sec cases, cross-Parliamentary business, Private Office operations, etc.</i>	5 years		PRONI Appraisal
		<i>Ministers' diaries</i>	Length of mandate		Permanent Preservation in PRONI
6.5	Honours		60 years		PRONI appraisal
6.6	Information Access Requests		3 years	<ul style="list-style-type: none"> <li>• Data Protection Act 1998</li> <li>• Environmental Information Regulations 2004</li> <li>• Freedom of Information Act 2000</li> </ul>	Destroy

**Function: Information and Communication**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
6.7	Legislation		5 years		PRONI Appraisal
6.8	Library Services		3 years		Destroy
6.9	Marketing & Media	<i>Includes: events, advertising, corporate Identity, exhibitions &amp; fairs, educational material, media releases, news cuttings, photographs etc.</i>	5 years		Destroy
6.10	Meetings	Strategic/Senior Management	5 years		Permanent Preservation in PRONI
		Operational	5 years		Destroy
6.11	Policy		5 years		PRONI Appraisal
6.12	Procedures		5 years		Destroy
6.13	Projects		5 years		Destroy
6.14	Publications	Includes annual report publications, brochures, forms, newsletters, corporate identity, presentations etc	5 years		Destroy

**Function: Information and Communication**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
6.15	Record Management	Includes RecordsNI Administration, information Audits, records storage etc	5 years		Destroy
		Retention Scheduling, Disposal Lists and Inventories	5 years		Retain in Department
6.16	Reporting		5 years		Destroy
6.17	Security		5 years		Destroy
6.18	Standards		5 years		Destroy
6.19	Tendering		For life of contract		Destroy
6.20	Web Management		5 years		Destroy

**Function: Inland Waterways**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
7.1	Maintenance of Waterway Assets i.e. tow-paths/land		Permanent Retention		Permanent Retention by DfI
7.2	Management of Sporting Rights		5 Years		PRONI appraisal
7.3	Management of Water Recreation Estate		5 Years		PRONI appraisal
7.4	Ownership of sporting / shooting rights		Permanent Retention		Permanent Retention by DfI
7.5	Restoration of Abandoned Waterways		5 Years		PRONI appraisal
7.6	Transfer of Water Recreation Sites		5 Years		PRONI appraisal



**Function: Network Development**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
8.1	Advice & Guidance		6 years		Destroy
8.2	Airports and Harbour Management		5 years		PRONI Appraisal
8.3	Area Plans		10 years		PRONI Appraisal
8.4	BMAP		10 years		PRONI Appraisal
8.5	BMTP		10 years		PRONI Appraisal
8.6	Carriageway Widening		5 years		PRONI Appraisal
8.7	Design		7 years		PRONI Appraisal
8.8	Enforcement		7 years		PRONI Appraisal
8.9	Health & Safety	'Health & Safety File'	For life of the asset		Destroy
		Non-CDM Required Information	5 years		PRONI Appraisal
8.10	Legislation		5 years		PRONI Appraisal
8.11	Litigation		10 years		Destroy

**Function: Network Development**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
8.12	Long-term Planning Schedule		5 years		PRONI Appraisal
8.13	Major Works	Consultations	5 years		PRONI Appraisal
		Contract Management	5 years		PRONI Appraisal
		Contractor Disputes	5 years		PRONI Appraisal
		Divisional Progress	5 years		PRONI Appraisal
		Economic Appraisals	5 years		PRONI Appraisal
		Highway Structures and Design	5 years		PRONI Appraisal
		Park & Ride	5 years		PRONI Appraisal
		Photographs	5 years		PRONI Appraisal
		Planning Applications	5 years		PRONI Appraisal
		Post-Project Evaluation	5 years		PRONI Appraisal
		Procurement	5 years		PRONI Appraisal
		Property Inquiries	5 years		PRONI Appraisal
		Scheme Development	5 years		PRONI Appraisal

**Function: Network Development**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
8.14	Meetings		5 years		PRONI Appraisal
8.15	Minor Works	Approved Schemes	5 years		PRONI Appraisal
		Assessed Schemes	5 years		PRONI Appraisal
		Evaluation	5 years		PRONI Appraisal
		Feasibility	5 years		PRONI Appraisal
		Implementation	5 years		PRONI Appraisal
		Major Development Control Issues	5 years		PRONI Appraisal
		Raster Maps	5 years		PRONI Appraisal
8.16	Policy		5 years		PRONI Appraisal
8.17	Preparation Pool		5 years		PRONI Appraisal
8.18	Procedures		5 years		PRONI Appraisal
8.19	Programmes		5 years		PRONI Appraisal
8.20	Public Private Partnership		5 years		PRONI Appraisal
8.21	Public Transport Development		5 years		PRONI Appraisal

**Function: Network Development**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
8.22	Reform Initiatives	Public Transport	5 years		PRONI Appraisal
8.23	Standards		Until superseded		PRONI Appraisal
8.24	Strategy		5 years		PRONI Appraisal
8.25	Street Lighting	Capital renewal	Until superseded		PRONI Appraisal
		Management Systems	Until superseded		PRONI Appraisal
		New Provision	Until superseded		PRONI Appraisal
		Private Street Schemes	Until superseded		PRONI Appraisal
8.26	Structures	Abnormal Loads	3years		PRONI Appraisal
		Bridge Assessments	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Bridge Strengthening	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off

**Function: Network Development**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
8.27	Structures contd.	Bridges with Weight Restrictions	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Correspondence	7 years		PRONI Appraisal
		Footbridges & Bailey Bridges	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Inspections	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Programmes	7 years		PRONI Appraisal
		Retaining Walls	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Road Over Rail	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Road Parallel to Rail	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off

**Function: Network Development**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
8.28	Structures contd.	Road Restraint Systems	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Slopes	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
8.29	Sub-Regional Transport Plan		5 years		PRONI Appraisal
8.30	10-Year Forward Planning Schedule		5 years		PRONI Appraisal

**Function: Network Maintenance**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
9.1	Advice & Guidance		6 years		Destroy
9.2	Car Park		7 years		Destroy
9.3	Consents and Licences		5 years		Destroy
9.4	Coring Surveys		5 years		Destroy
9.5	Enforcement	Access	7 years		Destroy
		Bonfire Sites	5 years		PRONI Appraisal
		Driver & Vehicle licensing and testing	1 year		Destroy
		Excavation	7 years		Destroy
		Excess & Alternative Charges	7 years		Destroy
		Extraordinary Traffic	7 years		PRONI Appraisal
		Flags & Graffiti	5 years		PRONI Appraisal
		Flooding	7 years		PRONI Appraisal
		Hedge Cutting	7 years		Destroy
		Illegal Encampment	5 years		PRONI Appraisal

**Function: Network Maintenance**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
9.5 contd.	Enforcement contd.	Illegal Signs & Posters	5 years		PRONI Appraisal
		Illegal Trading	5 years		PRONI Appraisal
		Planning control – cases where action has been taken	5 years		PRONI Appraisal
		Planning control – cases where no action is warranted	1 year		Destroy
		Road transport	5 years		Destroy
		Roadside Memorials	5 years		PRONI Appraisal
		Spillage	7 years		Destroy
		Streetworks	7 years		Destroy
		Structure on Road	7 years		Destroy
		Traditional Arches	5 years		PRONI Appraisal
		Wall/Fence	7 years		Destroy
9.6	Ferry Operations		5 years		Destroy



**Function: Network Maintenance**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
9.7	Job Cards		7 years		Destroy
9.8	Harbour Maintenance		7 years		Destroy
9.9	Health & Safety	'Health & Safety File'	For life of the asset		Destroy
		Non-CDM Required Information	5 years		PRONI Appraisal
9.10	Inspections		7 years		PRONI Appraisal
9.11	Litigation		10 years		Destroy
9.12	Major Works - Environmental Improvement Schemes		5 years		PRONI Appraisal
9.13	Measured-Term Contracts		7 years		Destroy
9.14	Meetings		5 years		PRONI Appraisal
9.15	Minor Works	Council Area	5 years		Destroy
		Data Collection	5 years		Destroy
		Minor Works Programme	5 years		Destroy
		Templates & Forms	Until superseded		Destroy

**Function: Network Maintenance**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
9.16	Monitoring		7 years		Destroy
9.17	One-Off Contracts		7 years		Destroy
9.18	Policy		5 years		PRONI Appraisal
9.19	Programmes		7 years		Destroy
9.20	Routine Maintenance		7 years		Destroy
9.21	Street Lighting		7 years		Destroy
9.22	Street Files		Street files shall be reviewed annually and records removed that exceed the retention period indicated in the operational work area.		Destroy
9.23	Street Works	Codes of Practice	Until superseded		Destroy
		Database	Until superseded		Destroy
		Designation of Streets Under the StreetWorks Regulations (NI) 2002	7 years		Destroy
		NIRAUC	7 years		Destroy
		Utilities	7 years		Destroy

**Function: Network Maintenance**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
9.24	Structural Maintenance		7 years		Destroy
9.25	Structures	Bridges with Weight Restrictions	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Footbridge & Bailey Bridges	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Individual Bridge Files	Retain for the life of the structure		Permanent retention by DfI until asset is disposed off
		Scheme Files	7 years		Destroy
9.26	Term Contracts		7 years		Destroy
9.27	Winter Service		7 years		Destroy
9.28	Work Diaries		10 years		Destroy

**Function: Network Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
10.1	Advice & Guidance		6 years		Destroy
10.2	Blue Badge Scheme		3 years		Destroy
10.3	Bus Route Licensing Applications		1 year		Destroy
10.4	Committees		5 years		PRONI appraisal
10.5	Contracts	Contract Issues	5 years		Destroy
		Contract Monitoring	5 years		Destroy
		Low Value Procurement	7 years		Destroy
		Measured Term Contracts	7 years		Destroy
		One Off Contracts	7 years		Destroy
		Prequalification	7 years		Destroy
		Quality Files	3 years		Destroy
		Term Contracts	7 years		Destroy
10.6	Emergency Response	Accidents	5 years		Destroy
		Bridge Strikes	5 years		Destroy
		Contact Lists	7 years		Destroy

**Function: Network Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
10.6 contd.	Emergency Response contd.	Emergency Plans	5 years		PRONI appraisal
		Fallen Trees	7 years		Destroy
		Flooding	5 years		PRONI appraisal
		Incident Reporting	5 years		Destroy
		Landslips	5 years		PRONI appraisal
		Safety Barrier Strikes	7 years		Destroy
		Training/Exercises	7 years		Destroy
10.7	Health & Safety		7 years		Destroy
10.8	Legislation		5 years		PRONI Appraisal
10.9	Licensing & Testing	Applications – Driver’s Licence	Until superseded / renewal of licence		Destroy
		Medical Information	One year beyond expiry of licence		Destroy

**Function: Network Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
10.9 contd.	Licensing & Testing contd.	Applications – Goods Vehicle Operator's Licence	5 years		Destroy
		Applications – Bus, Taxi Driver and Taxi Vehicle	Permanent		Permanent retention by Dfl
		Applications – Driver Testing	5 years		Destroy
		Applications – Driver Instruction Testing	5 years		Destroy
		Applications – Vehicle Testing	1 years		Destroy
		Applications – Vehicle – Carriage of Dangerous Materials	2 years		Destroy
		Applications – Vehicle - Tachograph Accreditation	5 years		Destroy
		Notifications - Driver's Licences	1 years		Destroy

**Function: Network Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
10.10	Meetings		5 years		PRONI Appraisal
10.11	Parking and Bus Lane Enforcement		5 years		Destroy
10.12	Penalty Processing		5 years		Destroy
10.13	Planning Appeals		10 years		Destroy
10.14	Planning Applications	Applications / Inquiries - Consultation	10 years		Destroy
		Certificates	10 years		Destroy
		Consultations	5 years		Destroy
		Determinations – Land Development Values	7 years		Destroy
		Determinations – Article 40	10 years		Destroy
		Pre-Application Enquiries	5 Years		Destroy
10.15	Policy		5 years		PRONI Appraisal

**Function: Network Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
10.16	Private Streets	Adoption	5 years		Destroy
		Bonded Extent Files	5 years		Destroy
		Bonds	5 years		Destroy
		Determinations	5 years		Destroy
		Inspection Reports	5 years		Destroy
10.17	Procedures		5 years		Destroy
10.18	Programmes		5 years		Destroy
10.19	Projects		5 years		PRONI Appraisal
10.20	Public Inquiries		10 years		PRONI Appraisal
10.21	Reporting		5 years		Destroy
10.22	Road Safety		5 years		PRONI Appraisal
10.23	Roads Order Approvals		5 years		Destroy
10.24	Street Trading		5 years		Destroy
10.25	Telematics	Design Installation & Maintenance	5 years		PRONI Appraisal
		CCTV	5 years		PRONI Appraisal
		Motorway Communications	5 years		PRONI Appraisal



**Function: Network Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
10.25 contd.	Telematics contd.	Motorway Control	5 years		PRONI Appraisal
		Pelican Files	5 years		PRONI Appraisal
		Traffic Control	5 years		PRONI Appraisal
		Traffic Management Strategies	5 years		PRONI Appraisal
		Traffic Signals Junctions Files	7 years		Destroy
		Travel Information	7 years		Destroy
10.26	Tendering		7 years		Destroy
10.27	Traffic Calming		5 years		PRONI Appraisal
10.28	Traffic Management	Abnormal Loads	3 years		Destroy
		Bus Measures	5 years		PRONI Appraisal
		Clearways	3 years		Destroy
		Coach Bays	3 years		Destroy
		Cycle Measures	5 years		PRONI Appraisal
		Disabled Parking Bays	3 years		Destroy

**Function: Network Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
10.28 contd.	Traffic Management cont.	Doctors and Ambulance Bays	3 years		Destroy
		Dropped Kerbs	3 years		Destroy
		Loading Bays	3 years		Destroy
		Minor Works	3 years		Destroy
		Noise Assessments	3 years		Destroy
		Parking Issues	3 years		Destroy
		Pedestrian Crossing	3 years		Destroy
		Pedestrian Zones	5 years		PRONI Appraisal
		Pedestrianisation	5 years		PRONI Appraisal
		Public Realm	3 years		Destroy
		Road Closures	6 years		Destroy
		Road Markings	6 years		Destroy
		Road Studs	6 years		Destroy
		Route Management	3 years		Destroy
Safer Routes to School	5 years		PRONI Appraisal		

**Function: Network Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
10.28 contd.	Traffic Management contd.	Safety Camera Sites	5 years		PRONI Appraisal
		Speed Limits	5 years		PRONI Appraisal
		Taxis	3 years		PRONI Appraisal
		Temporary Traffic Management Arrangements	6 years		Destroy
		Traffic Control	3 years		Destroy
		Traffic Counts	3 years		Destroy
		Traffic Signals	3 years		Destroy
		Traffic Signs	3 years		Destroy
		Vehicle Safety Fence	3 years		Destroy
		Waiting Restrictions	3 years		Destroy
		Walking Measures	3 years		Destroy
		Weight Restrictions	3 years		Destroy
		Work Programmes	3 years		Destroy
10.29	Transportation		5 years		PRONI Appraisal

**Function: Statistics & Research Management**

<b>Reference no</b>	<b>Class</b>	<b>Series</b>	<b>Retention Period</b>	<b>Relevant Legislation</b>	<b>Final Action</b>
11.1	Meetings		5 years		PRONI appraisal
11.2	Projects		5 years		PRONI appraisal

**Function: Strategic Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
12.1	Advice & Guidance		6 years		Destroy
12.2	Business Performance		7 years		Destroy
12.3	Business Planning		5 years		PRONI Appraisal
12.4	Change Management		5 years		Destroy
12.5	Committees	Strategic/Senior Management	5 years		Permanent Preservation in PRONI
		Operational	5 years		Destroy
12.6	Emergency Planning		5 years		PRONI Appraisal
12.7	Equality & Diversity Promotion & Implementation		5 years		PRONI Appraisal
12.8	Legislation		5 years		PRONI Appraisal
12.9	Meetings	Strategic/Senior Management	5 years		Permanent Preservation in PRONI
		Operational	5 years		Destroy
12.10	Policy		5 years		PRONI Appraisal

**Function: Strategic Management**

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
12.11	Procedures		5 years		PRONI Appraisal
12.12	Programmes		5 years		PRONI Appraisal
12.13	Projects		5 years		PRONI Appraisal
12.14	Quality		7 years		Destroy
12.15	Reform Initiatives		5 years		Destroy
12.16	Reporting		5 years		Destroy
12.17	Standards		5 years		Destroy
12.18	Strategy		5 years		PRONI Appraisal

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
13.1	Account management		5 years		Destroy
13.2	Advice & Guidance		6 years		Destroy
13.3	Application & System Support		5 years		Destroy
13.4	Application Development		5 years		Destroy
13.5	Legislation		5 years		PRONI Appraisal
13.6	Meetings	Strategic/Senior Management	5 years		Permanent Preservation in PRONI
		Operational	5 years		Destroy
13.7	Operations		7 years		Destroy
13.8	Policy		5 years		PRONI Appraisal
13.9	Procedures		5 years		Destroy
13.10	Projects		5 years		Destroy
13.11	Resources	Acquisition	7 years		Destroy
		Allocation	3 years		Destroy
		Contracting	7 years		Destroy

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
13.11 contd.	Resources contd.	Disposal	3 years		Destroy
		Installation	5 years		Destroy
		Inventory and Asset Registers	5 years		Destroy
		Maintenance	3 years		Destroy
13.12	Security		5 years		Destroy
13.13	Standards		5 years		Destroy
13.14	Systems Management		7 years		Destroy
13.5	Telecommunications Management		Until superseded		Destroy
13.16	Tendering		For life of contract		Destroy