



Department for

Communities

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Disposal of Records Schedule

DEPARTMENT FOR COMMUNITIES

Implementation Date: 6 December 2016

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Section 1

Introduction

1. About the Department

The Department for Communities (DfC) is a new Department formed on 9 May 2016, combining the functions and statutory powers which were previously exercised in six separate Departments:

- All of the functions of the Department for Social Development;
- Most of the functions of the Department of Culture Arts and Leisure, except inland fisheries and waterways;
- The Employment Service from the Department of Employment and Learning;
- Responsibility for debt advice from the Department of Enterprise, Trade and Investment;
- Responsibility for Built Heritage and Local Government from the Department of the Environment; and
- Responsibility for the gender, sexual orientation equality and child poverty strategies from the Office of the First Minister and deputy First Minister.

1.2 Departmental Structure

The Department is headed by a Minister who has overall political responsibility and accountability for the Department's activities. The Permanent Secretary is the Minister's principal adviser on all aspects of the Department's responsibilities.

The work of the Department is co-ordinated and monitored by the Departmental Management Board. The Board provides leadership to the organisation as a whole, takes responsibility for the Department's performance, provides support for the Department's Principal Accounting Officer (i.e. Permanent Secretary) and provides advice to the Minister.

The Department is organised into five Groups, each headed by a Deputy Secretary.

Strategic Policy & Resources

This group includes departmental corporate functions, such as Human Resources, Finance and Communications, contract and debt management, analytical and statistical services that support evidence-based outcome-focussed policy making, social policy and Local Government.

Community Regeneration & Housing

This group has responsibility for Housing, Urban Regeneration policy and services.

Community Cohesion

This Group is responsible for culture, arts and leisure policy and services including the historic environment, PRONI and the voluntary and community sector.

Working Age

This Group has responsibility for Working age benefit services and Universal Credit, Employability, Health and Benefit Policy, Social Security policy and legislation.

Social Inclusion

This Group has responsibility for Social Strategy Programme for Government Pathfinder Anti-poverty, active ageing, pensions, disability and child maintenance services.

The Department is also supported in its delivery by 21 arm's length bodies:

- Local Government Staff Commission for NI
- NI Local Government Officers Superannuation Committee
- Northern Ireland Housing Executive
- Armagh Observatory and Planetarium
- Arts Council for Northern Ireland
- Historic Buildings Council
- Historic Monuments Council
- Northern Ireland Library Authority (also known as Libraries Northern Ireland)
- Museums and Galleries Northern Ireland (also known as National Museums Northern Ireland)
- Northern Ireland Museums Council
- North/South Language Body – Ulster Scots Agency
- North South Language Body – Foras na Gaeilge
- Sport Northern Ireland
- Charity Advisory Committee
- Charity Commission for Northern Ireland
- Vaughan's Charitable Trust
- Office of the Social Fund Commissioner
- Ulster Supported Employment Limited
- Commissioner for Older People NI
- NI Commissioner for Children and Young People
- Ministerial Advisory Group for Architecture and the Built Environment

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 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.
- **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

The type of records held by the Department are categorised as either corporate or operational. Department for Communities has 8 corporate functions and 12 operational functions. These are outlined below:

Corporate

Accommodation and Services

This category relates to the function of managing 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 relates to the function of examining and reviewing 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 relates to the function of managing financial resources. Includes activities associated with accounting, budget allocations and submissions, allowances, asset management, funding and business cases.

Human Resources Management

This category relates to the function of controlling, monitoring and managing employees including working conditions, salaries, resourcing requirements and employee development and performance. Human Resource records are also recorded in HR Connect and are subject to their Retention and Disposal Schedules.

Information and Communication

This category relates to the function of managing information and communication resources including 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.

Strategic Management

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

Technology and Telecommunication

This category relates to the function of acquiring, developing and managing electronic information systems and communication technology including maintaining hardware and

software, the implementation of new systems, and managing the technical aspects of communication systems such as video conferencing, voice mail, telephones and Websites.

Statistics & Research

This category relates to the function of developing, managing and validating statistical analysis and research.

Operational

Child Support

This category relates to the function of supporting and overseeing the payment of child support payments across Northern Ireland. Includes the development and implementation of legislation and policy in relation to child support, as well as the management of appeals.

Fraud Management

This category relates to the function of managing and maintaining internal and external investigations of suspected fraud. The retention and disposal of the Fraud Referral and Intervention Management System (FRAIMS) is shown at Annex B of the Retention and Disposal Schedule.

Housing

This category relates to the function of managing and monitoring the provision of social housing in Northern Ireland. Includes providing the financial, legislative and policy framework in which the Housing Executive, registered housing associations and certain voluntary housing bodies operate. Also includes the monitoring of the private rented sector.

Social Security

This category relates to the function of supporting and overseeing the payment of social security benefits and child support payments across Northern Ireland. Includes the development and implementation of legislation and policy in relation to working age benefits, pensions, disability benefits and carers allowances. Also includes the development and implementation of initiatives aimed at improving the management of benefits. The retention and disposal of Social Security operational records are shown at Annex A of the Retention and Disposal Schedule.

Community Development

This category relates to the function of developing policy and strategy, supporting community development and working in partnership with the community and voluntary sector.

Urban Regeneration

This category relates to the function of developing and implementing social, economic and physical regeneration strategies across Northern Ireland. Includes working with business, the community and partners in government to regenerate and promote urban and regional areas. Also includes the provision of grants and funding to take forward regeneration initiatives. Finally, also includes the development of appropriate policies, as well as legislation in relation to areas such as betting and gaming, drinking and street trading.

Debt Management

This category relates to the function of developing and delivering policies that underpins the operational aim of maximising debt recovery and supporting the delivery of debt management services.

Arts, Culture and Sport

This category relates to the function of managing and monitoring the development and policy of Arts, Culture and Sport within Northern Ireland.

Employment

This category relates to the function of supporting jobseekers to move from welfare to work. They include assistance provided to able bodied, disabled and European jobseekers; development and implementation of programmes designed to improve employability; development and implementation of policy; engagement with employers; and support to the operation of the Jobcentre/Jobs and Benefits network

Local Government

This category relates to the function of supporting and overseeing local government in order to ensure the needs to residents, ratepayers and users of council facilities and services are met and managed.

Historic Environment

This category relates to the function of managing, regulating, protecting and conserving our historic monuments, historic buildings, historic parks, gardens and demesnes and our industrial and maritime heritage to contribute to a quality historic environment.

Section 4
Signatories



Department for Communities Disposal and Retention Schedule prepared as required by the Public Records Action (Northern Ireland), 1923 and in accordance with the Rules made pursuant thereto, approved by Order in Council dated 20 January 1925.

Christo McConnell
Departmental Information Manager

Jackie Kerr
Deputy Secretary Strategic Policy and Resources

Leo O'Reilly
Permanent Secretary, Department for Communities

David Huddleston

Head of Records Management, Cataloguing and Access Section

Michael Willis

Deputy Keeper of the Records

Public Records Office of Northern Ireland

Ian Maye

Deputy Secretary Community Cohesion

Function: Accommodation & Services

Reference no	Class	Series	Retention Period	Relevant Legislation	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	Control of Asbestos at Work Regulations (NI) 2003	Destroy
		Fire Safety/Prevention	12 years		Destroy
		Audits	3 years		Destroy
		Incidents	3 years		Destroy
		Advice	3 years		Destroy
		Risk Assessments	5 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

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
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		5 years		Destroy
1.10	Supplies & Equipment	Acquisition	7 years		Destroy
		Allocation	3 years		Destroy

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
		Contracting	7 years		Destroy
		Disposal	3 years		Destroy
		Inventory	7 years		Destroy
		Maintenance	3 years		Destroy
1.11	Support Services		5 years		Destroy
1.12	Tendering		7 years	Limitation Order 1980	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
1.14	Energy Matters		5 years		Destroy
1.15	Premises & Modernisation		10 years		Destroy
1.16	Procurement & Contracts		7 years		Destroy

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
1.17	Sustainable Development		5 years		Destroy

Function: Audit and Accountability

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
2.1	Internal	Advice, Reports, co-ordination	7 years		Destroy
		EU Audit consultancy, reports, completed audit papers and Programme of Work	12 years		Destroy
2.2	External		7 years		Destroy
2.3	Fraud Management		7 years		Destroy
2.4	Internal Control Statement		7 years		Destroy
2.5	Legislation		5 years		PRONI Appraisal

2.6	Meetings	Strategic/Senior Management			Permanent Preservation in PRONI
		Operational	5 years		Destroy
2.7	Policy		5 years		PRONI Appraisal
2.8	Procedures		5 years		Destroy
2.9	Risk Management		7 years		Destroy
2.10	Audit Committees		5 years		PRONI Appraisal
2.11	European Union	Procedures and Programmes	12 years		Destroy
		EU Verification	12 years		PRONI Appraisal
2.12	Public Accounts Committee		7 years		Destroy

Function: Financial Management

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
3.1	Accounting	Non EU funding	7 years	Government Accounting Northern Ireland (GANI) Regulations	Destroy
		EU Funding	10 years		Destroy
3.2	Legislation		5 years		PRONI Appraisal
3.3	Policy		5 years		PRONI Appraisal
3.4	Procurement		7 years		Destroy
3.5	Allowances		7 years		Destroy
3.6	Budget		7 years	National Audit Requirement	Destroy
3.10	Business Cases		7 years		Destroy
3.11	Asset Management		7 years		Destroy
3.12	Funding		7 years		Destroy
3.13	Meetings	Strategic/Senior Management	5 years		Permanent Preservation in PRONI
		Operational	5 years		Destroy

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
3.14	Procedures		5 years		Destroy
3.15	Projects		5 years		Destroy
		Account NI	10 years		Destroy
3.16	Reporting		5 years		Destroy
3.17	Retained Finance		7 years		Destroy
3.18	Central Investment for Charities	Charities Advisory Committee	7 years		PRONI Appraisal
		Charities, Donations & Bequests, Investments	7 years		Destroy
3.19	Consolidation Finance		7 years		Destroy
3.20	Economics		7 years		Destroy
3.21	Governance		7 years		Destroy
3.22	Financial Systems		7 years		Destroy
3.23	Housing Finance		7 years		Destroy
3.24	Social Security Agency Finance		7 years		Destroy

Function: Human Resources

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
4.1	Employment and career (Employee Record)	Written Particulars of Employment <i>Contracts of Employment 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. <i>Actual hours worked is covered under Written Particulars of Employment.</i>	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

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
		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
		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

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
		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> 	3 years following termination of employment 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
4.2	Health(Employee Record)	Health Declaration	Until age 100		Destroy
		Health Referrals including Medical reports, correspondence with Occupational Health Service	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 Unrelated to industrial injury	4 years from end of period of sickness to		Destroy

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
			which it relates.		
		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 (Employee 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 (Employee Record)	Bank details – current	6 years plus current financial year		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
		Unpaid leave periods	Until age 100		Destroy
		Statutory sickness/maternity pay calculation and supporting documentation	6 years plus current financial year		Destroy
		Overpayment documentation	6 years plus current financial year		Destroy

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
		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
		Payroll input forms	6 years plus current financial year		Destroy
		Bonus nominations	6 years plus current financial year		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 plus current financial year		Destroy

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
		Third party client/advances in lieu of pay	6 years plus current financial year		Destroy
	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
		Security	5 years		Destroy
		Staffing	5 years		Destroy
Training and Development	5 years		Destroy		

Reference No.	Class	Series	Retention Period	Relevant Legislation	Final Action
		Equal Opportunity	5 years		Destroy
		Workforce Planning	5 years		Destroy
		Managing Attendance	5 years		Destroy
		Data Management	5 years		Destroy

Function: Information and Communication

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
5.1	Committees	Strategic/Senior Management			Permanent Preservation in PRONI
		Operational	5 years		Destroy
5.2	Customer Relations	<i>Includes complaints, compliments and customer queries</i>	3 years		Destroy
5.3	Information Access Requests		3 years	<ul style="list-style-type: none"> • Data Protection Act 1998 • Environmental Information Regulations 2004 • Freedom of Information Act 2000 	Destroy
5.4	Government Liaison	<i>Includes AQs, PQs, briefings, Assembly and Executive committees, Minister's and</i>	5 years		PRONI Appraisal

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
		<i>Perm Sec cases, cross-Parliamentary business, Private Office operations, etc.</i>			
		<i>Ministers' diaries</i>	Length of mandate		Permanent Preservation in PRONI
5.6	Legislation		5 years		PRONI Appraisal
5.7	Marketing & Media	<i>Includes events, exhibitions & fairs, media releases, news cuttings etc.</i>	5 years		Destroy
5.8	Meetings	Strategic/Senior Management			Permanent Preservation in PRONI
		Operational	5 years		Destroy
5.9	Policy		5 years		PRONI Appraisal
5.10	Procedures		5 years		Destroy
5.11	Projects		5 years		Destroy
5.12	Publications	Includes annual report publications, brochures, forms, newsletters, corporate identity, presentations etc	5 years		Destroy
5.13	Record Management	Includes RecordsNI Administration, information Audits, records storage etc	5 years		Destroy
		Retention Scheduling, Disposal Lists and Inventories			Retain in Department
5.14	Reporting		5 years		Destroy
5.15	Security		5 years		Destroy
5.16	Standards		5 years		Destroy
5.17	Web Management		5 years		Destroy

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
5.18	Contacts	External and Internal	3 years		Destroy
5.19	Honours		5 years		Destroy
5.20	Public Appointments		5 years		PRONI Appraisal
5.21	Internal Communication		5 years		Destroy
5.22	Photographic Library				Permanent Preservation in Department

Function: Strategic Management

Reference no	Class	Series	Retention Period	Relevant Legislation	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		5 years		PRONI Appraisal
6.10	Programmes		5 years		PRONI Appraisal

6.11	Projects		5 years		PRONI Appraisal
		RPA Project			Permanent Preservation in Department
6.12	Reporting		5 years		Destroy
6.13	Standards		5 years		Destroy
6.14	Risk Management		5 years		Destroy

Function: Technology & Telecommunications

Reference no	Class	Series	Retention Period	Relevant Legislation	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

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
7.9	Operations		7 years		Destroy
7.10	Security		5 years		Destroy
7.11	Standards		5 years		Destroy
7.12	Systems Management		7 years		Destroy
7.13	Account Management		5 years		Destroy
7.14	ICT Support		2 years		Destroy
7.15	ICT Telephony	Corporate Projects	10 years		Destroy
		Systems Manager	5 years		PRONI Appraisal
7.16	IT Resources	Finance	7 years		Destroy
7.17	Procurement	Contract Management	25 years		Destroy

Function: Employment Service

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
8.1	Vacancy Records		5 years		Destroy
8.2	Client records	<p>Relating to people receiving assistance/funding through the programmes designed to assist people with disabilities or health conditions including:</p> <ul style="list-style-type: none"> • Access to Work (NI); • Job Introduction Scheme; and • Parkanaur College <p>Includes payments to individuals including supporting documentation</p>	<p>7 years</p> <p>10 years(in any case where the branch has been subject to an investigation which resulted in significant criticism or prosecution)</p>		Destroy
8.3	Disability Liaison Group		5 years		Destroy

8.4	Employer Records (European Employment)	Relating to the support provided by Eures to NI complainees which wish to recruit Jobseekers from outside the United Kingdom	5 years		Destroy
8.5	Enterprise Ulster	Relating to the 'winding up' of the Department's former NDPB	5 years		Destroy
8.6	European Jobseeker		5 years		Destroy
8.7	European Social Fund (ESF)	Relating to case files for projects funded through the European Union	7 years	Article 38 of Commission Regulation 1260/1999 requires all papers relating to each funding programme to be retained for a minimum of 3 years after the Commission has made final payment to the Member State	Destroy
8.8	Job Centre/Jobs & Benefits Office Support Records		5 years		Destroy
8.9	Jobseekers Allowance Support (JSA)		5 years		Destroy
8.9	Meetings		5 years		Destroy
8.10	Marketing		7 years	Financial audit	Destroy
8.11	Modernising Service Delivery		5 years		Destroy
8.12	Occupational Psychology		3 years		Destroy

8.13	Payments	Relating to forms and supporting documentation for payments made in relation to the activities managed by Employment Service Division	7 years 10 years	Financial Audit considerations Based on advice from PRONI (following recommendations from NIAO and PAC) in any case where the branch has been the subject of an investigation which resulted in significant criticism or prosecution	Destroy
8.14	Policy		5 years		PRONI appraisal
8.15	Policy – EU Funded Projects		7 years	Financial audit considerations – reference to policy files may form part of the required audit trail Article 38 of Commission Regulation 1260/1999 requires all papers relating to each funding programme to be retained for a minimum of 3 years	PRONI appraisal
8.16	Programme Funding		7 years 10 years	Financial Audit considerations Based on advice from PRONI (following recommendations from NIAO and PAC) in any case where the branch has been the subject of an investigation which resulted in significant criticism or prosecution	Destroy

8.17	Programme Management		5 years		PRONI appraisal
8.18	Projects		5 years		PRONI appraisal
8.19	Service Level Agreements		5 years		Destroy
8.20	Statistics		5 years		Destroy
8.21	Targeted Initiatives Individual Projects		7 years 10 years	Financial Audit considerations Based on advice from PRONI (following recommendations from NIAO and PAC) in any case where the branch has been the subject of an investigation which resulted in significant criticism or prosecution	PRONI appraisal
8.22	Regional Management Support		5 years		Destroy
8.23	Tendering/Contracting		10 years	Financial Audit considerations Based on advice from PRONI (following recommendations from NIAO and PAC) in any case where the branch has been the subject of an investigation which resulted in significant criticism or prosecution	Destroy

8.24	Translation Service		7 years 10 years	Financial Audit considerations Based on advice from PRONI (following recommendations from NIAO and PAC) in any case where the branch has been the subject of an investigation which resulted in significant criticism or prosecution	Destroy
8.25	Ulster Supported Employment Ltd		5 years		Destroy

Function – Historic Environment

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
9.1	Applications	Grants			Permanent Preservation in Department
9.2	Consultations	Planning applications and Development Plans	5 years		Destroy
9.3	Committees/meetings		5 years		Destroy

9.4	Enforcement		Determination on review 1 year from date of closure		Destroy if no enforcement or legal action taken. Major cases of significant public interest Permanent Transfer to PRONI5 years after closure.
9.5	Legislation		5 years		PRONI appraisal
9.6	Liaison		3 years		Destroy
9.7	Policy		5 years		PRONI appraisal
9.8	Procedures		5 years		Destroy
9.9	Projects		5 years		Destroy
9.10	Protection		10 years		PRONI appraisal
9.11	Statutory Advisory Bodies		5 years		PRONI appraisal

Function – Local Government

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
10.1	Applications	Administration – Borough Status	7 years		PRONI appraisal
		Exhumations	7 years		Destroy

		Grants	7 years		Destroy
10.2	Finance	Loan Sanctions			Held for period of repayment – destroy 7 years after
		Local Government	7 years		Destroy
10.3	Committees/meetings		5 years		Destroy
		Local Government Modernisation and Reform	5 years		PRONI appraisal
10.4	Legislation		5 years		PRONI appraisal
10.5	Liaison	Departmental, Non Departmental, International	3 years		Destroy
10.6	Communications	Local Government Modernisation & Reform	5 years		Destroy
10.7	Programmes	Local Government Modernisation & Reform	5 years		PRONI appraisal
10.8	Policy		5 years		PRONI Appraisal
10.9	Procedures		5 years		Destroy
10.10	Projects		5 years		Destroy
		Local Government Modernisation and Reform	5 years		PRONI appraisal
10.11	Publications		5 years		Destroy
10.12	Reporting		5 years		Destroy
10.13	Statistics & Research		5 years		Destroy

Function - Managing Archives and Records

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
11.1	Archival Management	Access Management	7 years		PRONI appraisal
		Accessioning			Retain in Department
		Archival Training	5 years		Destroy
		eCATNI Project			Retain in Department
		eCATNI Batch Process	5 years		Destroy
		eCATNI Software	5 years		Destroy
		Cataloguing	10 years		Destroy
		Digitisation			Retain in Department
		Internal Limbo Storage	15 years		Destroy
		Management Document Production	5 years		Destroy
		Queries	3 years		Destroy
		Relationship with depositors			Retain in Department
		Sensitivity Review Process	10 years		PRONI appraisal
		Acceptance in Lieu			Retain in Department
		Store management	5 years		Destroy
		CALM Management	20 years		Destroy
		PRONI Cataloguing System	20 years		Destroy
		Digitisation of Street Directories	10 years		Destroy
		External Funding	5 years		Destroy
		Collections Management	5 years		Destroy
		Digitisation of Valuation Revision Books	10 years		Destroy
		Policy	5 years		PRONI appraisal
		Public Service Management	7 years		Destroy

11.2	Customer Management	Leaflets, Research queries and guides	5 years		Destroy
		Managing Readers	10 years		PRONI appraisal
11.3	Preservation Management	Conservation, digital preservation and disaster plan recovery	5 years		PRONI appraisal
		Managing reprographics, monitoring of PRONI stores, provision of advice and guidance and upgrading	5 years		Destroy
		Decant Preparations			Retain in Department
11.4	Projects		5 years		Destroy
11.5	Professional Networking	Participation			Retain in Department
		Article Production , Conferences and workshops, surveys and sector council skills	5 years		Destroy
11.6	Promoting Archive Value	Publishing	15 years		Destroy
		Media relations, marketing campaigns, educational outreach and customer research	5 years		Destroy
		E-learning	10 years		Destroy
		Public outreach	5 years		PRONI appraisal
11.7	Promoting Cultural Capital	Partnerships, Liaison, Events, Volunteering and Research	5 years		Destroy
11.8	Records Management	Conference Management	5 years		Destroy
		Training and developing Best Practice Standards	7 years		Destroy
		Liaison	3 years		Destroy
		Reviewing	10 years		Destroy
11.9	Digital Archive Management				Retain in Department

11.10	New Accommodation Programme				Retain in Department
11.11	Oral History Programme		7 years		Destroy

Function – Architecture and the Built Environment

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
12.1	Policy	Development and implementation	5 years		PRONI appraisal
12.2	Ministerial Advisory Group		7 years		Destroy
12.3	Strategic Design Group		5 years		PRONI appraisal

Function – Arts & Creativity

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
13.1	Research & Development				

13.2	Projects		5 years		PRONI appraisal
13.3	Procedures		5 years		Destroy
13.4	Policy		5 years		PRONI appraisal
13.5	Meetings		5 years		Destroy
13.6	Liaison		5 years		Destroy
13.7	Legislation		5 years		PRONI appraisal
13.8	Grant Schemes, Funding and Payments		7 years		Destroy
13.9	Control & surveillance		7 years		Destroy
13.10	Co-ordination		7 years		Destroy

Function - Culture

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
14.1	Co-ordination		5 years		PRONI appraisal
14.2	Programme	Finance, Liaison, Communication and resources	7 years		Destroy
		Policy and Projects	5 years		PRONI appraisal
14.3	Establishment of Ulster-Scots Academy		5 years		PRONI appraisal
14.4	Policy		5 years		PRONI appraisal
14.5	North West Development		5 years		PRONI appraisal
14.6	Research & Development		5 years		PRONI appraisal

Function – Libraries Services

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
15.1	Asset management		5 years		PRONI appraisal
15.2	Audit and Accountability		7 years		Destroy
15.3	Creation of NI Library Authority		5 years		PRONI appraisal
15.4	Customer Relations	Complaints and Enquiries	3 years		Destroy
15.5	Finance		7 years		Destroy
15.6	Legislation		5 years		PRONI appraisal
15.7	Liaison		5 years		Destroy
15.8	Meetings		5 years		Destroy
15.9	Policy		5 years		PRONI appraisal
15.10	Publications		5 years		Destroy
15.11	Education & Library Boards	Annual reports & Accounts and Management Statement and Memorandum	5 years		PRONI appraisal
		Business plans, funding and NIAO recommendations	7 years		Destroy
		Fraud investigations	10 years		Destroy
15.12	Libraries NI Staff Structure	Appraisals	3 years		Destroy
		Bye-laws	5 years		PRONI appraisal
		Job evaluation, pay & grading and recruitment	5 years		Destroy

Function - Languages

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
16.1	Implementation		5 years		PRONI appraisal
16.2	Legislation		5 years		PRONI appraisal
16.3	Policy		5 years		PRONI appraisal
16.4	Strategy		5 years		PRONI appraisal

Function – Lottery Funding

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
17.1	Liaison		5 years		Destroy
17.2	Policy		5 years		PRONI appraisal
17.3	Procedures		5 years		Destroy

Function – Museum Observatory & Planetarium

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
18.1	Policy		5 years		PRONI appraisal
18.2	Legislation		5 years		PRONI appraisal
18.3	Meetings	Board and Management Committee and Accountability	7 years		PRONI Appraisal
18.4	Liaison		7 years		Destroy

18.5	Finance	Annual reports & Accounts, Budgets, Business Plans, Capital Projects, Disposal of Assets and Historic Information	7 years		Destroy
18.6	Audit and Accountability		7 years		Destroy
18.7	Asset Management	Acquisitions offered in Lieu (Land)	5 years		PRONI appraisal
18.8	Arms Length Bodies		7 years		Destroy

Function – Sports & Recreation

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
19.1	Co-ordination	Circulars and returns, finance and payments	7 years		Destroy
19.2	Grant schemes and payments		7 years		Destroy
19.3	Legislation		5 years		PRONI appraisal
19.4	Liaison and Engagement		7 years		Destroy
19.5	Major competitions and Programmes		5 years		PRONI appraisal
19.6	Marketing and media		5 years		Destroy
19.7	Northern Ireland Events Company	Legacy Issues	7 years		Destroy
19.8	Outdoor Creation		7 years		Destroy
19.9	Policy		5 years		PRONI appraisal
19.10	Procedures		5 years		Destroy

Function – Building a United Community

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
20.1	Meetings		7 years		Destroy
20.2	Policy		5 years		PRONI appraisal
20.3	Programme Administration		7 years		Destroy
20.4	Projects		5 years		PRONI appraisal
20.5	Stakeholder Engagement		5 years		PRONI appraisal
20.6	Wider Strategic Interventions	Budget	7 years		Destroy

Function – Strategic Capital Management

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
21.1	Capital Portfolio Programme		5 years		PRONI appraisal

Function – Child Support

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
22.1	Legislation		5 years		PRONI appraisal
22.2	Policy		5 years		PRONI appraisal

Function – Community Development

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
23.1	Legislation	Charities	40 years		Destroy
23.2	Policy		5 years		PRONI appraisal

23.3	Procedures		5 years		Destroy
23.4	Programmes				PRONI appraisal

Function – Fraud Management

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
24.1	Investigations		7 years		Destroy
24.2	Legislation		10 years		Destroy
24.3	Meetings	Departmental Fraud Sub Committee	5 years		PRONI appraisal
			5 years		Destroy
24.4	Policy		5 years		PRONI appraisal
24.5	Reports		5 years		PRONI appraisal

Function – Housing

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
25.1	Affordability	Implementation Advisory Panel Sub members, Affordability Review Advisory Panel Meetings Administration, Affordability Review Support Information, Affordability Support, Future Need, Land and Building, Making Better Use of and Protecting Our Assets, Planning, Press Releases, Recommendations, Regeneration, Stakeholders, Surplus Land, The Private Rent Sector,	10 years		Destroy

		Definition of Affordable Housing, Extending Access to Sustainable Home Ownership, Implementation Group Advisory Panel Members, Implementation Group Minutes, Implementation Plans	10 years		PRONI Appraisal
25.2	Finance		5 years		Destroy
25.3	Governance		5 years		Destroy
25.4	Housing Associations		5 years		Destroy
		Vestings			PRONI Appraisal
25.5	Housing Association Guide		5 years		Permanent Preservation in Department
25.6	Housing Corporate Services		5 years		Destroy
25.7	Housing Executive		10 years		Destroy
		Governance, Vestings, NIHE Rent Increase & Monitoring	5 years		PRONI Appraisal
25.8	Housing Investment		10 years		Destroy
25.9	Inspections	Housing Associations	5 years		PRONI Appraisal
		Inspection Programmes	5 years		Destroy
25.10	Legislation				Permanent Preservation in Department
25.11	Policy		5 years		PRONI appraisal
25.12	Procedures	Circulars, Guidance, Guide Enquiries, Manuals	5 years		Destroy
		Housing Associations Guide Mastercopy	10 years		Destroy
25.13	Rent Officer for NI	Rent Assessment Panel and Rent Office Finance	7 years		Destroy
		Rent Office	10 years		Destroy
25.14	Rental Management		7 years		Destroy
25.15	Research	Affordability and Research Team	8 years		Destroy

		Housing Executive Research Projects, Meetings,	5 years		Destroy
		Housing Markets & Supply, Projects, Policy Evaluation, Standards & Sustainability, Supporting Documentation	10 years		Destroy
		Social Inclusion & Supporting People			Permanent Preservation in Department
25.16	Social Inclusion and Supporting People				Permanent Preservation in Department

Function – Social Security

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
26.1	Appeals	Commissioners	5 years		Destroy
		Courts	10 years		Destroy
		Dectrans	40 years		Destroy
		Housing Benefit	5 years		Destroy
26.2	Legislation	Advice & Support	10 years		Destroy
		Commencement Orders			Permanent Preservation in PRONI
		Common Provisions, Decision and Appeals, Disability & Incapacity, HM Revenue and Customs, Income-Linked, Insurance Numbers, Pensions, Private Pensions	10 years		Destroy
		Primary	5 years		PRONI appraisal
26.3	Policy		10 years		Destroy
26.4	Procedures		10 years		Destroy
26.5	Programme Protection		5 years		Destroy

26.6	Programmes and Projects		10 years		Destroy
		Universal Credit Programme, Pensions, Disability and Corporate Services Projects	10 years		PRONI Appraisal
		Customer First and Method of Payment Reform Programme, Operation Transformation Employment Support Allowance, Operation Transformation IB Migration, Project Management & Finance Office	25 years		Destroy
26.7	Service Provision		7 years		Destroy

Function – Statistical & Research Management

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
27.1	Policy		5 years		PRONI Appraisal
27.2	Procedures		5 years		Destroy
27.3	Statistical Analysis		10 years		Destroy
27.4	Statistical Data		10 years		Destroy
27.5	Statistical Surveys		10 years		Destroy

Function – Urban Regeneration

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
28.1	City Centre Regeneration		5 years		PRONI Appraisal
28.2	Legislation		5 years		PRONI Appraisal

28.3	Policy		5 years		PRONI Appraisal
28.4	Programmes		5 years		PRONI Appraisal
28.5	Projects		5 years		PRONI Appraisal
28.6	Urban Regeneration Companies		5 years		PRONI Appraisal

Function – Equality & Strategy

Reference no	Class	Series	Retention Period	Relevant Legislation	Final Action
29.1	Poverty, Social Inclusion and Disability		5 years		PRONI Appraisal
29.2	Older People	Finance	7 years		Destroy
		Legislation	5 years		PRONI Appraisal
29.3	Children & Young People		5 years		PRONI Appraisal
29.4	Gender		5 years		PRONI Appraisal
29.5	Sexual Orientation		5 years		PRONI Appraisal

Annex A

This relates to Social Security records

Records	Retention Period	Example Records	Legislation
Allegations and Incidents	3 months after receipt	FRF referral form Associated papers	Data Protection Act
Criminal Investigation/ Evidence File	14 calendar months (after evidence file marked PA)		SSA Retention Policy
Prosecution File	Minimum 14 months from date of sentence. If custodial sentence retain for 14 months from date of		CPIA CoP Paragraph 5.8 refers

	conviction or until customer's release (whichever is longer)		
Criminal Investigation File (Appeal outstanding)	Retain until decision on appeal against conviction is determined		CIPA CoP paragraph 5.10 refers
Disclosure requests from 3rd parties/customer	18 calendar months from date of request	HMRC/NIHE requests	CIPA CoP Paragraph 5.9 refers
Criminal Investigation File with FIU interest	6 years from date confiscation order made. Documentation appropriate to the FIU file should be stripped from the BSS case and held in the FIU file for 6 years.		PoCA Section 171
Confiscation Investigation File			
Defendant convicted and Confiscation Order made	6 years from date of conviction		PoCA 2002 S 171
Defendant convicted and Nominal Confiscation Order made	Do not destroy, no time limit		
Defendant convicted, no order made	6 years from date of conviction		PoCA 2002 S 172
Defendant not convicted or not prosecuted	2 years from date of FIU closure		Poca 2002 S 169 and 170
No Assets identified by FIU	2 years from date of FIU closure		

Formal Caution Certificates	5 years Destroy rest of evidence file after 14 months from date caution administered unless legitimate business need to retain		
ADPEN	Case should be closed 28 days after date of acceptance of ADPEN (unless the customer has withdrawn agreement to pay). After this date the file should be PA'd for a further 14 months before destruction		CPIA 1996 DWP Policy
Audio /visual tapes	Destroy at same time as documents in evidence file		Data Protection Act
RIPA forms (Non sanctioned cases/ applications refused)	3 years	RIP1 - 4	Covert Surveillance Code of Practice Paragraph 2.14
RIPA forms (Sanctioned cases)	5 years	RIP1 - 4	Covert Surveillance Code of Practice Paragraph 2.16
Official Notebook	5 years from date of last entry or 6 months after expiry of appeal against conviction		Branch Policy
Investigators Journals	18 months		DWP Policy
Fraud Act papers	14 months		Branch policy DWP Policy
Management Checks/QUAFs	14 months		
Security Incidents	3 years		SEPU
Lost file reports	Retain for duration of live case on FRAIMS		

IOPSU FRAIMS SPREADSHEET			
FRAIMS Spreadsheet – non duplicate encashment cases	14 months from date of closure		
FRAIMS Spreadsheet – duplicate encashment cases	3 years from date of closure		
Sanctions spreadsheet	6 years from date of sanction		
Court reporting Stencil (CRS1)	14 months		
Conviction Spreadsheet	5 years from date of conviction		
CSDM Spreadsheet	5 years from date of sanction		

Annex B - Fraud Referral and Intervention Management System (FRAIMS)

Type	Retention period	Starting from	Automatic deletion at end of retention period
Incidents where no fraud or Customer Compliance activity has taken place, i.e. there is no justification for pursuing further	13 weeks	Creation Date	Yes

Cases where a surveillance application has not been recorded in the Case Surveillance view and the Case Outcome is 'No Result'.	26 weeks	Closure Date	Yes
<p>Cases where a surveillance application has not been recorded in the Case Surveillance view and the Case Outcome is other than:</p> <ul style="list-style-type: none"> • 'Admin Penalty', • 'Caution', • 'Prosecution – Full File Prep' • 'Prosecution – StreamlinedFilePrep'. 	14 months	Closure Date	Yes
Cases where a surveillance application has not been recorded in the Cases Surveillance view, and not in category at line 6	2 years	Closure Date	Yes
Cases where a surveillance application has been recorded in the Cases Surveillance view, and not in category at line 6	3 years	Closure Date	Yes
<p>Loss of Benefit cases and the Case Outcome displays:</p> <ul style="list-style-type: none"> • 'Admin Penalty', • 'Caution', • 'Prosecution – Full File Prep' • 'Prosecution – StreamlinedFilePrep'. 	5 years	Closure Date	Yes
Audit Events	48 hours	Last Extract	Yes