

# **The Executive Office Retention and Disposal Schedule**

Version 4

10 May 2016

**Operational 12 October 2016**

## Document History

Version	Date	Update Position
1	21 May 2012, operational 10 October 2012.	First schedule.
2	7 October 2013, operational 4 March 2014.	<p>Update of sub sections About the Department and Management Structure in section 1;</p> <p>Introduction of new sub-section 'Exception', amendment of subsections 'Summary of records management actions', and 'Closure' in section 4 Operation;</p> <p>Revision of sub issues 5.1.4 and 10.2.2, new issues 9.4, 17.7 and 17.8, and new sub issues 6.6.1, 9.4.1, 10.2.5, 12.11.1 and 17.7.1 in section 5 Detail;</p> <p>New entry 'MLKDC' to clarify new issue 9.4 (added to section 5 Detail), and clarification of entry 'PRONI' in section 6 Key Terms / Abbreviations.</p> <p>Update of signatories to reflect current post holders in section 7.</p>
3	17 October 2014, operational 29 April 2015	Update to schedule to include HR/Employee records. See Appendix A of schedule.
4	10 May 2016, operational 12 October 2016	Update to incorporate changes required for the transition from OFMDFM to the Executive Office.

## **Contents of the Retention and Disposal Schedule ('the Schedule')**

1. About the Executive Office
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# **1. About the Executive Office**

## **Background**

The Office of the First Minister and deputy First Minister was renamed the Executive Office on 8 May 2016 by the Departments Act (Northern Ireland) 2016. Certain functions previously exercised by OFMDFM were transferred to other departments by the Departments (Transfer of Functions) Order (Northern Ireland) 2016 as part of a wider reorganisation of departmental structures.

## **Management Structure**

The First Minister and deputy First Minister have overall political authority and accountability for all the Executive Office's activities. They determine the strategic policy and resources framework for the Department.

The Executive Office is managed by a Departmental Board which consists of the Head of the Civil Service as Permanent Secretary of the Department, other senior officials of the department and one Independent Board Member.

# **2. Purpose and Scope**

This Schedule identifies the retention and disposal arrangements for all records which now fall within the responsibility of the Executive Office. The Schedule complies with the requirements of the Public Records Act (NI), 1923 and the Disposal of Documents Order (S.R. & O. 1925 No.167). The Executive Office is committed to ensuring that the records it creates will be well maintained whilst in the custody of the Department.

The actions stated in the Schedule are applied irrespective of format. For the purpose of this Schedule the term:

- 'record' will apply to both documents held within registered paper files and electronic documents within TRIM/RM8 containers which have been finalised; and
- 'file' will apply to registered paper files and electronic TRIM/RM8 containers.

Categories 1 – 18 incorporate both electronic and paper formats. Category 19 contains paper format only. There are three categories of final action - Destroy, Permanent Retention in Department, or Appraisal. This Schedule identifies the retention and disposal arrangements for all records falling within the responsibility of the Executive Office. These include records created by OFMDFM, and by previous administrations, which have been allocated to the Executive Office in light of their subject matter.



### 3. Roles and Responsibilities

The following roles and responsibilities will apply:

**All staff:**

Responsible for documenting business actions and decisions in records, and maintaining the official record of Executive Office business in accordance with records management best practice.

**Departmental Information Manager:**

In consultation with PRONI, provides guidance on the principles of retention and on the preparation of disposal scheduling and ensures the Executive Office Schedule is laid before the Assembly for approval. The Department is committed to reviewing and updating the Schedule as business need arises.

**Information Management and Central Advisory Branch:**

Co-ordinates retention and disposal arrangements for the Executive Office including arranging secure destruction of hardcopy registered records and providing advice and guidance to staff.

**Local Information Managers and RM8 Power Users:**

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:**

Have an understanding of the records held by their business area and approve the disposal decisions to ensure compliance against information assurance requirements within their business area.

### 4. Operation

**Retention**

Retention periods have been determined by business need and legislative requirements in consultation between IMCAB and Information Asset Owners.

The retention period is calculated from the date the last document is added. For example, if the retention period, as recorded on the Schedule is 5 years and the action is destroy, a closed file with a last paper dated 31 March 2012 should be retained until 1 April 2017 at which stage it can be destroyed.

**Exception**

**Statutory Rules**

- The original paper document of a statutory rule with the departmental seal should, after all aspects of its coming into operation are completed, be transferred by the relevant business area to the Head of Records Management, Cataloguing and Access Section, PRONI within 6 weeks.

- Business areas should scan and file a copy to the relevant RM8 container created for the business issue, to maintain the official record of Executive Office business before transfer to PRONI. The electronic document should be finalised into a record.
- The original paper document should be hand delivered, under cover of a brief letter which should request a registration number and receipt for each statutory rule. The receipt, including the registration number, should also be filed in the appropriate RM8 container for reference in the event of any future query, and finalised into a record.

## Closure

Following the transition to electronic records becoming the official record of departmental business in 2008, there is still a large volume of paper files which are subject to disposal and retention requirements. Paper files should be closed no later than 5 years after the last paper document has been added.

Electronic files should be closed as soon as they have ceased to be of active use, other than for reference purposes. Closing a file simply means that no further documents can be added but it can continue to be used for reference purposes. In the event an electronic file has not been closed, IMCAB will arrange closure when a document has not been added for 2 years.

Electronic documents should be 'finalised' into records whenever staff determine they are required to be retained for the 'Official Record of Executive Office Business'. Any 'unfinalised' documents will be finalised into records by IMCAB when an electronic file is identified for closure.

## Summary of records management actions

### Electronic Files (TRIM/RM8 containers)

- Closed 2 years from the date the last document is registered.
- All draft documents are finalised into records.
- Retention period commences from the date last document is registered.
- Following expiry of retention period, the list of containers is notified to the relevant IAO.
  - After a reasonable notice period those not required for transfer to PRONI, are deleted by the RM8 Administrator (staff within IMCAB).
  - An information access decision is completed by the business area for those records required for transfer to PRONI, and the file is transferred to PRONI for permanent preservation.

#### Paper Files (Registered)

- Closed 5 years from date of last paper.
- Retention period commences from the date of last paper.
- Following expiry of retention period, the list of registered files is notified to the relevant IAO.
  - After a reasonable notice period, for those not required for transfer to PRONI, arrangements for secure destruction are made by IMCAB.
  - PRONI will undertake a first review of those files required for transfer to PRONI:
    - If PRONI deem the files as not required for transfer, arrangements for secure destruction will be made by IMCAB.
    - If still required for transfer to PRONI after the first review, and the date of last paper is less than 20 years ago, the relevant Executive Office business area will retain the file until a second review is carried out by PRONI 20 years after the date of last paper. If the date of last paper is more than 20 years ago, an information access decision on the records is completed by the business area and the file is transferred to PRONI for permanent preservation.
- Following the second review by PRONI:
  - if still required for transfer, an information access decision on the file is completed by the business area and it is transferred to PRONI for permanent preservation.
  - If no longer required for transfer, arrangements for secure destruction will be made by IMCAB.

## 5. Detail

Areas in **bold** represent the general retention period and final action to be taken as agreed with IAOs and PRONI. Where variations have been agreed to these general rules, either with the IAOs in respect of the retention period, or with PRONI in respect of the final action to be taken, these are represented in the series column detailed below. Please refer to Appendix A of this section which specifically relates to the retention period for HR Employee records.

\* Reference numbers with no detail in the corresponding columns can be ignored as they relate to former OFMDFM functions which transferred under the restructuring programme. The original numbering of the reference numbers has had to be retained in order to maintain the alignment to the retention and disposal triggers already built into TRIM/RM8.

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 1: Accommodation and Services</b>					
<b>1.1</b>	<b>Providing Accommodation</b>		<b>5</b>		<b>Destroy</b>
<b>1.2</b>	<b>Providing Office Services and Equipment</b>		<b>5</b>		<b>Destroy</b>
1.2.1		Contract Management	7		Destroy
1.2.2		Ministerial Transport for OFMDFM	10		Appraisal
<b>1.3</b>	<b>Managing Security</b>		<b>7</b>		<b>Destroy</b>
<b>1.4</b>	<b>Complying with Health and Safety Legislation</b>		<b>5</b>		<b>Destroy</b>
<b>1.5</b>	<b>Business Area Records</b>		<b>5</b>		<b>Destroy</b>
1.5.1		North / South Ministerial Council	10		Destroy

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 2: Audit and Accountability</b>					
<b>2.1</b>	<b>Business Area Records</b>		<b>7</b>		<b>Destroy</b>
2.11		North / South Ministerial Council	10		Destroy
<b>2.2</b>	<b>Gifts and Hospitality</b>		<b>5</b>		<b>Destroy</b>
<b>2.3</b>	<b>Audit Responsibilities</b>		<b>7</b>		<b>Destroy</b>
<b>Function 3: Financial Management</b>					
<b>3.1</b>	<b>Business Area Records</b>		<b>7</b>		<b>Destroy</b>
3.1.1		North / South Ministerial Council	10		Destroy
<b>3.2</b>	<b>Budgetary Management</b>		<b>7</b>		<b>Destroy</b>
<b>3.3</b>	<b>Account Preparation</b>		<b>10</b>		<b>Destroy</b>
3.3.1		Journals; Housekeeping; and Sponsor Bodies Accounts	7		Destroy
<b>3.4</b>	<b>Processing Payments and Receipts</b>		<b>7</b>		<b>Destroy</b>
<b>3.5</b>	<b>Projects</b>		<b>7</b>		<b>Appraisal</b>
<b>3.6</b>	<b>Ministerial Business</b>		<b>7</b>		<b>Appraisal</b>
<b>3.7</b>	<b>Administering Travel Unit</b>		<b>7</b>		<b>Destroy</b>
<b>3.8</b>	<b>Providing Advice and Guidance</b>		<b>7</b>		<b>Destroy</b>
<b>3.9</b>	<b>Business Cases / Commitments</b>		<b>7</b>		<b>Destroy</b>
<b>3.10</b>	<b>Meetings and Working Groups</b>		<b>7</b>		<b>Appraisal</b>
<b>3.11</b>	<b>Divisional Returns</b>		<b>7</b>		<b>Destroy</b>
<b>3.12</b>	<b>Corporate Governance</b>		<b>7</b>		<b>Destroy</b>

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 4: Human Resource Management</b>					
4.1	<b>Selecting Staff</b>		<b>7</b>		<b>Destroy</b>
4.1.1		New Posts / Upgrading; Pool List Searches; Elective Transfers	5		Destroy
4.2	<b>Managing Staff</b>		<b>5</b>		<b>Destroy</b>
4.2.1		Special Advisers	7		<b>Appraisal</b>
4.2.2		Workforce Planning; Casework; National Fraud Initiative; Policy and Strategy Development; JEGS; JESP	7		Destroy
4.3	<b>Developing Staff</b>		<b>5</b>		<b>Destroy</b>
4.3.1		Investors in People	7		Destroy
4.4	<b>Working Groups</b>		<b>5</b>		<b>Appraisal</b>
4.4.1		Whitley; Devolution of Policing and Justice (HR)	7		Appraisal
4.4.2		Personnel Directors; Establishment Officers	10		Appraisal
4.5	<b>HR Connect</b>		<b>5</b>		<b>Destroy</b>
4.5.1		Payroll	10		Destroy
4.5.2		Employee Records			See Appendix A
4.6	<b>Business Area Records</b>		<b>5</b>		<b>Destroy</b>
4.6.1		Corporate Services Division	2		Destroy
4.6.2		Executive Information Service	10		Destroy

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 5: Information and Communication</b>					
<b>5.1</b>	<b>Implementing Information Access Legislation</b>		<b>5</b>		<b>Destroy</b>
5.1.1		Advice and Guidance; AQs	2		Appraisal
5.1.2		Monitoring FOI Impact	3		Appraisal
5.1.3		FOI Tracking System; FOI Internal Reviews; Requests Requiring Clarification and Refusals; ICO Complaints; Non-FOI Requests	3		Destroy
5.1.4		FOI Section 4 and 5 Orders; FOI Publication Scheme; Working Groups; Fees and Charging; FOI Consultation with NICS Departments / Organisations; Discussing FOI Requests / Transfers with CFI / Other Departments	5		Appraisal
<b>5.2</b>	<b>Processing PRONI-related Issues</b>		<b>5</b>		<b>Destroy</b>
5.2.1		PRONI FOI Requests	3		Destroy
5.2.2		Sensitivity Reviewer	7		Destroy
<b>5.3</b>	<b>Implementing the Departmental EDRMS</b>		<b>5</b>		<b>Destroy</b>
5.3.1		Container Management; Mailbox Issues	2		Destroy
5.3.2		Monitoring	3		Destroy
<b>5.4</b>	<b>Processing FOI Requests</b>		<b>3</b>		<b>Destroy</b>
5.4.1		Templates / Pro Forma	5		Destroy
<b>5.5</b>	<b>Promotion and Publicity Service</b>		<b>5</b>		<b>Destroy</b>
5.5.1		Events	10		Destroy

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>5.6</b>	<b>Media Relations</b>		<b>5</b>		<b>Destroy</b>
5.6.1		Media Handling; Co-ordination and Planning; Assembly Questions	5		Appraisal
<b>5.7*</b>					
<b>5.8</b>	<b>Providing Internal Communication Services</b>		<b>5</b>		<b>Destroy</b>
5.8.1		EIS Communications	10		Destroy
<b>5.9</b>	<b>Business Area Records</b>		<b>5</b>		<b>Appraisal</b>
5.9.1		Corporate Services Division	2		Destroy
5.9.2		Civil Contingencies Policy Branch	7		Appraisal
5.9.3		EIS Directorate; EIS Information Office	10		Appraisal
<b>5.10</b>	<b>Internal Communications</b>		<b>5</b>		<b>Destroy</b>
<b>5.11</b>	<b>Managing Personal Data</b>		<b>5</b>		<b>Destroy</b>
5.11.1		Monitoring	2		Destroy
5.11.2		Requests / Cases	3		Destroy
<b>5.12</b>	<b>Information Assurance</b>		<b>5</b>		<b>Destroy</b>
5.12.1		Business Area Operational Issues	2		Destroy
<b>5.13</b>	<b>Managing Departmental Information Assets</b>		<b>5</b>		<b>Destroy</b>
5.13.1		Retention and Disposal Schedule Development	10		Destroy
5.13.2		Implementing Disposal	Permanent Retention		Permanent retention in Department
<b>5.14*</b>					



Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 6: Strategic Management</b>					
<b>6.1</b>	<b>Business Area Records</b>		<b>5</b>		<b>Appraisal</b>
6.1.1		North / South Ministerial Council; Corporate Services Division	7		Appraisal
6.1.2		EIS	10		Appraisal
<b>6.2</b>	<b>Corporate Governance</b>		<b>5</b>		<b>Appraisal</b>
6.2.1		Departmental Board	7		Appraisal
6.2.2		Non-Executive Directors / Independent Board Members	10		Appraisal
<b>6.3</b>	<b>Co-ordination Role</b>		<b>5</b>		<b>Appraisal</b>
<b>6.4</b>	<b>Management of OFMDFM Public Bodies</b>		<b>5</b>		<b>Destroy</b>
6.4.1		OFMDFM Review of Arms Length Bodies	5		Appraisal
<b>6.5*</b>					
<b>6.6</b>	<b>Sponsorship of Attorney General NI</b>		<b>5</b>		<b>Appraisal</b>
6.6.1		Financial Management	7		Destroy
<b>6.7</b>	<b>Sponsorship of the NI Judicial Appointments Commission</b>		<b>5</b>		<b>Appraisal</b>
6.7.1		Financial Management	7		Destroy

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 7: Technology &amp; Telecommunications</b>					
7.1	Application and System Support		5		Destroy
7.2	Providing and Maintaining ICT Services		5		Destroy
7.3	Implementing the IS and eBusiness Strategy		5		Destroy
7.4	Working Groups and Committees		5		Destroy
7.5	Information and Communication		5		Destroy
7.5.1		AQs and PQs	5		Appraisal
7.6	Knowledge Network Replacement System		5		Appraisal

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 8: Central Governance</b>					
<b>8.1</b>	<b>Central FOI / DP Co-ordination</b>		<b>5</b>		<b>Appraisal</b>
8.1.1		Training	5		Destroy
8.1.2		Requests	3		Destroy
8.1.3		Monitoring	3		<b>Appraisal</b>
<b>8.2</b>	<b>Providing Security Advice</b>		<b>5</b>		<b>Appraisal</b>
<b>8.3</b>	<b>Congratulatory Messages, Flags and Public Appointments</b>		<b>5</b>		<b>Appraisal</b>
<b>8.4</b>	<b>Building Resilience</b>		<b>10</b>		<b>Destroy</b>
8.4.1		Committees, Capabilities Programme / Workstreams	5		Destroy
<b>8.5</b>	<b>Administering the Honours System</b>		<b>20</b>		<b>Appraisal</b>
8.5.1		Public Nomination Working Papers	7		Destroy
8.5.2		Queens Award for Voluntary Service; Engaging with NI departments and Lord Lieutenants; Imperial Service Medal; Gallantry	5		<b>Appraisal</b>
<b>8.6</b>	<b>Sponsorship of CPA NI</b>		<b>5</b>		<b>Appraisal</b>
<b>8.7</b>	<b>European Policy</b>		<b>5</b>		<b>Appraisal</b>
<b>8.8</b>	<b>European Co-operation</b>		<b>5</b>		<b>Appraisal</b>

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 9: Economic Policy and Regeneration</b>					
<b>9.1</b>	<b>Regeneration of RRI Sites</b>		<b>5</b>		<b>Appraisal</b>
9.1.1		Asbestos Inspections	40		Destroy
9.1.2		Building Condition Surveys	25		Appraisal
9.1.3		Project Documentation	10		Appraisal
9.1.4		Financial Delegations	7		Destroy
9.1.5		Returns	5		Destroy
<b>9.2</b>	<b>Sponsorship of SIB</b>		<b>5</b>		<b>Appraisal</b>
9.2.1		Financial Delegations	7		Appraisal
<b>9.3</b>	<b>Provision of Knowledge on Infrastructure Investment</b>		<b>5</b>		<b>Appraisal</b>
<b>9.4</b>	<b>Sponsorship of MLKDC</b>		<b>7</b>		<b>Appraisal</b>
9.4.1		Ministerial Business; Corporate Governance; Board	5		Appraisal

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 10: Legislative Programme Delivery</b>					
<b>10.1</b>	<b>Drafting Legislation</b>		<b>10</b>		<b>Appraisal</b>
<b>10.2</b>	<b>Providing Statutory Publications</b>		<b>5</b>		<b>Destroy</b>
10.2.1		Rules Index	10		Appraisal
10.2.2		Procedures	10		Destroy
10.2.3		Law Database	7		Appraisal
10.2.4		Annual Volume; Tables; Updates	5		Appraisal
10.2.5		Powercards	10 / Until Repeal		Destroy
<b>Function 11: North / South Ministerial Council</b>					
<b>11.1</b>	<b>Managing NSMC Activity</b>		<b>10</b>		<b>Appraisal</b>
11.1.1		Presentations	5		Appraisal
<b>11.2</b>	<b>Working Groups, Committees and Meetings</b>		<b>5</b>		<b>Appraisal</b>
11.2.1		Special Advisers and Private Offices; Meetings of Centre Group, British Irish Council, Finance and Sponsor Departments	10		Appraisal
11.2.2	Stocktake Meetings; Meetings Schedule		5		Destroy
<b>11.3</b>	<b>Operations</b>		<b>10</b>		<b>Appraisal</b>

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 12: Equality and Strategy</b>					
<b>12.1</b>	<b>Supporting Ministerial Business</b>		<b>5</b>		<b>Appraisal</b>
12.1.1		Institutional Abuse	7		Appraisal
<b>12.2</b>	<b>Research</b>		<b>5</b>		<b>Appraisal</b>
<b>12.3*</b>					
<b>12.4*</b>					
<b>12.5*</b>					
<b>12.6</b>	<b>Cohesion, Sharing and Integration</b>		<b>5</b>		<b>Appraisal</b>
<b>12.7</b>	<b>North Belfast Programmes</b>		<b>5</b>		<b>Appraisal</b>
<b>12.8</b>	<b>Ex-Prisoner Programmes</b>		<b>7</b>		<b>Appraisal</b>
12.8.1		Policy Development Group; Research; Legislation; Security Industry Authority; Social Economy	5		Appraisal
<b>12.9</b>	<b>Race</b>		<b>5</b>		<b>Appraisal</b>
<b>12.10</b>	<b>Section 75 and Human Rights</b>		<b>5</b>		<b>Appraisal</b>
<b>12.11</b>	<b>Victims and Survivors</b>		<b>5</b>		<b>Appraisal</b>
12.11.1		Northern Ireland Memorial Fund	3		Appraisal
<b>12.12*</b>					
<b>12.13*</b>					
<b>12.14*</b>					
<b>12.15</b>	<b>Sponsorship, Governance and Funding</b>		<b>7</b>		<b>Appraisal</b>
<b>12.16</b>	<b>Equality Legislation and Governance</b>		<b>5</b>		<b>Appraisal</b>
<b>12.17</b>	<b>Programme for Government</b>		<b>5</b>		<b>Appraisal</b>
<b>12.18</b>	<b>Governance Management and Control</b>		<b>5</b>		<b>Appraisal</b>
12.18.1		Peace Programme	7		Appraisal
<b>12.19</b>	<b>Institutional Abuse</b>		<b>7</b>		<b>Appraisal</b>
<b>12.20</b>	<b>Community Relations</b>		<b>5</b>		<b>Appraisal</b>
<b>12.21</b>	<b>Economic Policy</b>		<b>5</b>		<b>Appraisal</b>

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 13 : Providing Executive Support</b>					
<b>13.1</b>	<b>Delivering Legislation Training</b>		<b>5</b>		<b>Destroy</b>
<b>13.2</b>	<b>Operation of the Executive</b>		<b>30</b>		<b>Appraisal</b>
13.2.1		Procedural Guidance; Ministerial Code	10		Appraisal
<b>13.3</b>	<b>Operation of the Executive (Assembly)</b>		<b>2</b>		<b>Appraisal</b>
13.3.1		Managing Assembly Business (Plenary)	10		Appraisal
13.3.2		Liaison with Assembly; Subordinate Legislation Pro Forma Returns; AQ Administration; Ministerial Statements	5		Appraisal
<b>13.4</b>	<b>Operation of the Executive (East / West)</b>		<b>10</b>		<b>Appraisal</b>
13.4.1		Hillsborough Agreement (Parading)	5		Appraisal
<b>13.5</b>	<b>Operation of the Executive (North / South)</b>		<b>5</b>		<b>Appraisal</b>
13.5.1		Areas of Co-operation	10		Appraisal
<b>13.6</b>	<b>Operation of the Executive (Civic Forum)</b>		<b>5</b>		<b>Appraisal</b>
<b>13.7</b>	<b>Supporting Ministers (Assembly)</b>		<b>2</b>		<b>Appraisal</b>
13.7.1		Business; Departmental Section; AQ Statistics; Laying Reports; Assembly Researchers Requests; Knowledge Network; Liaison	5		Appraisal
<b>13.8</b>	<b>Supporting Ministers (Assembly Committee)</b>		<b>5</b>		<b>Appraisal</b>
13.8.1		OFMDFM Committee Liaison (formerly Committee of the Centre)	10		Appraisal
<b>13.9</b>	<b>Supporting Ministers (Cross-Cutting)</b>		<b>10</b>		<b>Appraisal</b>

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
13.9.1		UNESCO; Offending Behaviour; Prince's Trust; Common Travel Area; Private Secretary Meetings; Criminality Information Ministerial Group; House of Commons Disqualification Act; Zimbabwe Resettlement Programme; Dioxin Review Team	5		Appraisal
<b>13.10</b>	<b>Supporting OFMDFM Ministers</b>		<b>5</b>		<b>Appraisal</b>
13.10.1	.	Correspondence; General Mail; Submissions; Treat Official Cases; Advisers; Legal Advice; Private Office Cases (Handling); Ministerial/Advisor issues; Advice on Lead Department	10		Appraisal
<b>13.11</b>	<b>International Relations</b>		<b>5</b>		<b>Appraisal</b>
<b>13.12</b>	<b>Executive Advice and Guidance</b>		<b>5</b>		<b>Appraisal</b>
13.12.1		MOG Issues; Committees; Laying; Elections and Electoral Reform; No Day Named Motions	10		Appraisal
<b>13.13</b>	<b>Legislative Programme</b>		<b>5</b>		<b>Appraisal</b>
<b>13.14</b>	<b>Maintaining the Executive's Subordinate Programme</b>		<b>5</b>		<b>Appraisal</b>
<b>13.15</b>	<b>Operation of the Executive (Assembly Committee)</b>		<b>10</b>		<b>Appraisal</b>



Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 14 : Review of Public Administration</b>					
14.1	Policy Development		5		Appraisal
14.2	Central Co-ordination		5		Appraisal
<b>Function 15 : HOCS and Senior Managers</b>					
15.1	Knowledge Network		8		Appraisal
15.2	Personnel		5		Destroy
15.3	Finance		7		Destroy
15.4	Business Planning		5		Destroy
15.5	Correspondence		10		Appraisal
15.6	Ministerial Business		5		Appraisal
15.7	NI Assembly		5		Appraisal
15.8	Departmental Board		5		Appraisal
15.9	Business Responsibilities		5		Destroy
15.9.1		Permanent Secretaries Group	7		Appraisal
15.9.2		Executive	30		Appraisal
15.9.3		Strategic Investment and Regeneration; HOCS Office; SIRO Departmental Responsibilities	5		Appraisal
15.9.4		Projects	7		Destroy

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function : 16 Ministerial Support</b>					
16.1	First Minister's Office		5		Appraisal
16.2	deputy First Minister's Office		5		Appraisal
16.3	Junior Ministers' Offices		5		Appraisal
16.4	Central Correspondence Unit		5		Appraisal
16.5	Private Offices		5		Appraisal
16.6	Knowledge Network		8		Appraisal
<b>Function 17 : Institutional Review</b>					
17.1	Devolution of Policing and Justice		5		Appraisal
17.2	Efficiency Review Panel		5		Appraisal
17.3	Tribunal Reform		5		Appraisal
17.4	Civic Forum		5		Appraisal
17.5	Arms Length Bodies Review		5		Appraisal
17.5.1		GB Reform	5		Destroy
17.6	Police Ombudsman		5		Appraisal
17.7	New Education Tribunal		5		Appraisal
17.7.1	Financial Management		7		Destroy
17.8	Structures of New Mandate		5		Appraisal

Ref. no.	Class	Series	Retention Period (Years)	Relevant Legislation	Final Action
<b>Function 18 : Office of the Attorney General for NI</b>					
18.1	Departmental Issues		5		Appraisal
18.2	Section 8 (Human Rights)		5		Destroy
18.3	European Issues		5		Destroy
18.4	NI Executive		5		Appraisal
18.5	Charities		5		Destroy
18.6	Assembly Issues		5		Appraisal
18.7	Criminal Justice Organisations		5		Appraisal
18.8	Public Interest Litigation		5		Destroy
18.9	Guardian of the Rule of Law		5		Destroy
18.10	Contentious Issues		5		Appraisal
18.11	The Bar		5		Appraisal
18.12	Providing Attorney General Support		5		Appraisal
18.13	Legal Issues		5		Appraisal
<b>Function 19 : Direct Rule</b>					
19.1	Suspension		30		Appraisal
19.2	Business Issues		10		Appraisal
19.3	Parliament		10		Appraisal
19.4	Assembly		10		Appraisal
19.5	North South		10		Appraisal
19.6	BIC		10		Appraisal
19.7	BIIGC		10		Appraisal
19.8	Civic Forum		10		Appraisal
19.9	Secretary of State		30		Appraisal
19.10	Dissolution / Restoration		30		Appraisal
19.11	Devolution		30		Appraisal
19.12	Civil Issues		30		Appraisal

\* Reference numbers with no detail in the corresponding columns can be ignored as they relate to former OFMDFM functions which transferred under the restructuring programme. The original numbering of the reference numbers has had to be retained in order to maintain the alignment to the retention and disposal triggers already built into TRIM/RM8.

## APPENDIX A

### Employee Records

Sub-function	Series	Retention period	Final Action
Employment and career	Written Particulars of Employment <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
Employment and career	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
Employment and career	Current Address Details	6 Years after employment has ended	Destroy
Employment and career	Record of Location of Overseas Service	Until Age 100	Destroy
Employment and career	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
Employment and career	Record of Previous Service	Until Age 100	Destroy
Employment and career	Qualifications/References	6 Years after employment has ended	Destroy
Employment and career	Professional Qualifications (i.e. medical, scientific, technical)	Until age 100	Destroy
Employment and career	Appraisal reports/documentation	5 years after end of current performance year	Destroy
Employment and career	Annual Leave records	2 Years after end of current leave year	Destroy
Employment and career	Successful recruitment documents including applications, assessment papers	3 years following termination of	Destroy

Sub-function	Series	Retention period	Final Action
		employment	
Employment and career	Unsuccessful recruitment documents including applications, assessment papers	3 years from closure of competition	Destroy
Employment and career	Building Society references	6 months from closure	Destroy
Employment and career	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
Employment and career	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
Health	Health Declaration	Until age 100	Destroy
Health	Health Referrals <i>including Medical reports, correspondence with Occupational Health Service</i>	Until age 100	Destroy
Health	Papers relating to any injury on duty	Until age 100	Destroy

Sub-function	Series	Retention period	Final Action
Health	<p>Medical reports of those exposed to a substance hazardous to health including:  <i>Lead (Control of Lead at Work Regulations 1980)</i></p> <p><i>Asbestos (Control of Asbestos at Work Regulations 1996)</i>  <i>Compressed Air (Work in Compressed Air Regulations 1996)</i></p> <p><i>Radiation (Ionising Radiation Regulations 1985)</i></p>	<p>40 years from date at which last entry was made</p> <p>40 years after last record</p> <p>40 years from date of last entry</p> <p>50 years from date of last entry</p>	Destroy
Health	<p>Medical/Self Certificates  <i>Unrelated to industrial injury</i></p>	4 years from end of period of sickness to which it relates.	Destroy
Health	<p>Medical / Self Certificates  <i>Related to industrial injury</i></p>	Until age 100	Destroy
Personal	Welfare reports	6 years from closure of case	Destroy
Security	Security Personnel files	5 years after leaving (if at normal retirement age) or 10 years after leaving (if before normal retirement age)	Destroy
Pay and Pension	Bank details – current	6 years plus current financial year	Destroy
Pay and Pension	Death certificates	Retain copy until age 100	Destroy
Pay and Pension	Decree Absolutes	Retain copy until age 100	Destroy
Pay and Pension	Housing advance	6 years plus current financial year	Destroy
Pay and Pension	Marriage certificate and documentation relating to civil registration	Retain copy until age 100	Destroy
Pay and Pension	Unpaid leave periods	Until age 100	Destroy

Sub-function	Series	Retention period	Final Action
Pay and Pension	Statutory sickness/maternity pay calculation and supporting documentation	6 years plus current financial year	Destroy
Pay and Pension	Overpayment documentation	6 years plus current financial year	Destroy
Pay and Pension	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
Pay and Pension	Resignation, termination and/or retirement letters	Until age 100	Destroy
Pay and Pension	Civil Service Pensions - Added years	Until age 100	Destroy
Pay and Pension	Civil Service Pensions - Additional Voluntary Contributions (AVC)	Until age 100	Destroy
Pay and Pension	Payroll input forms	6 years plus current financial year	Destroy
Pay and Pension	Bonus nominations	6 years plus current financial year	Destroy
Pay and Pension	Complete Sick Absence record	Until age 100	Destroy
Pay and Pension	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
Pay and Pension	Authorisation for deputising, substitution allowance and/or overtime/travel time claim	6 years plus current financial year	Destroy
Pay and Pension	Third party client/advances in lieu of pay	6 years plus current financial year	Destroy

## 6. Abbreviations

- **BIC** – British Irish Council
- **BIIGC** – British Irish Intergovernmental Conference
- **CPA NI** – Commissioner for Public Appointments for Northern Ireland
- **DP** – Data Protection
- **EIS** – Executive Information Service
- **FOI** – Freedom of Information
- **HOCS** – Head of the Civil Service
- **IAO** – Information Asset Owner
- **ICO** – Information Commissioner’s Office
- **IMCAB** – Information Management and Central Advisory Branch
- **KN** – Knowledge Network
- **MLKDC** – Maze Long Kesh Development Corporation
- **MOG** – Machinery of Government
- **OFMDFM** – Office of the First Minister and deputy First Minister
- **PRONI** – Public Record Office of Northern Ireland
- **RRI** – Reinvestment and Reform Initiative
- **SIB** – Strategic Investment Board
- **TEO** – The Executive Office
- **UNESCO** – United Nations Educational Scientific and Cultural Organisation



## 7. Signatories



### The Executive Office 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<sup>th</sup> January 1925.

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**Name Redacted**

Departmental Information Manager

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Neill Jackson

Senior Information Risk Owner

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Malcolm McKibbin

Permanent Secretary

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David Huddleston

Head of Records Management, Cataloguing and Access Section  
Public Record Office of Northern Ireland

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Michael Willis

Deputy Keeper of the Records  
Public Record Office of Northern Ireland

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NR

Permanent Secretary  
Department for Communities