Retention and Disposal of Records Policy & Schedule

Department for the Economy (DfE)

Implementation Date:

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SECTION 1

1. Introduction

1.1 The Department for the Economy came into being shortly after the NI Assembly Election in 2016 and is one of nine government departments headed by Ministers of the Northern Ireland Executive. The Department encompasses:

- The functions that existed within the Department of Enterprise, Trade and Investment; and,
- The functions that existed within the Department for Employment and Learning with the exception of the Employment Service.

1.2 The Department's vision is for Northern Ireland prospering through a decade of innovation which will deliver an economy that is ten times better than it is today, with benefits for all our people.

1.3 The Department's strategic objectives are:

1. Launching a Decade of Innovation
2. Economic Recovery Action Plan
3. The Skills Agenda
4. Responding effectively to the outworking of EU Exit
5. The Energy Strategy
6. Enabling Digital Connectivity
7. Parental Bereavement Leave and Pay
8. Covid-19 Grant Schemes
9. City Deals

2. Retention and Disposal of Records Policy Statement and Schedule

2.1 It is the policy of the Department for the Economy to maintain authentic, reliable and useable records, which are capable of supporting business functions and activities for as long as they are required. The Department is therefore committed to the operation and continuous improvement of effective records management policies and procedures.

2.2. Understanding what information to retain and disposing of information that is no longer needed is an important part of effective information management. Retention and disposal is something that public authorities are required to do under specific legislation such as the Public Records Act (NI) 1923, the Disposal of Document Order (NI) 1925 and Data Protection Act 2018. In addition, the Code of Practice on the management of records issued under Section 46 of the Freedom of Information Act 2000, states that:

'Authorities should define how long they need to keep particular records, should dispose of them when they are no longer needed and should be able to explain why records are no longer held.'

2.3 The Department commits to:

- The operation and active use by all departmental staff of an electronic document and records management system (EDRMS) which delivers an efficient tool for digital document management by business users, along with the audit trail mechanisms that enable the capture and management of key events in a record's lifecycle (i.e. from creation, through access, editing, destruction or preservation).
- The production and use of retention and disposal schedules that have been agreed with the Public Record Office of Northern Ireland and have been approved by the Northern Ireland Assembly, to ensure compliance with the Data Protection Act 2018, the UK General Data Protection Regulation, Freedom of Information Act 2000, Environmental Information Regulations 2004 and Public Records Act (NI) 1923.
- Embedding the requirements for retention and disposal functionality and audit logging in all digital and line of business applications.
- The consolidation, review and disposal of information held in legacy systems such as paper registry files, following the retention periods set out in agreed departmental retention and disposal schedules, in line with business need and legislative, statutory and regulatory requirements.
- The regular review of destruction arrangements to ensure that correct procedures for the disposal of business information are followed and all disposal decisions fully documented.
- Establishing strong links between PRONI and Northern Ireland Civil Service Departments and Public Authorities to ensure best practice in records management and the transfer of records identified for permanent preservation.
- Detailed archive transfer arrangements from PRONI including advice and guidance on how to securely transfer records to the archive, define the appropriate access status of various records and identify any relevant exemptions and exceptions under FOI/EIR.
- The review and audit of records management policy and procedures to ensure compliance with the UK GDPR and DPA, and the fair, lawful and transparent processing of all personal data collected, processed and stored.
- The review and audit of records management policy and procedures in order to protect records and systems from unauthorised access, use, disclosure, disruption, modification or destruction including maintenance of an Information Asset Register.
- Maintaining a network of Information Asset Owners who responsibility for information for which they are accountable for including regular reviews of personal data, assessing information risks, promoting 'duty to document' decisions and work, timely closure of files, containers and other digital data and the subsequent application of the Retention and Disposal Schedule including the destruction of records.

3. Operation of the Retention and Disposal Schedule

3.1 Closing of Records

3.1.1 Containers and files should be closed as soon as they have ceased to be of active use, other than for reference purposes. Closure reasons are:

- The subject is finished;
- It relates to the last calendar or financial year; or
- The last date any new information has been added is 2 or more years ago;
- The container or file is more than 5 years old.

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

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

3.1.3 IMU staff will monitor and identify containers that have not had any new records added in two years and will close the containers. IMU will also monitor any files / containers with an authorisation to remain open on an annual basis to ensure that closure occurs at the appropriate time.

3.1.4 When a record is due to be closed, IMU will, 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’.

The date of closure of both paper and electronic files is the date of last paper / document added.

3.2 Retention Period

3.2.1 The retention period for each record is calculated from the point the record is closed. For example, if the retention period recorded on the Schedule is 5 years and the action is destroy then a record closed on 10 October 2014 is retained until 10 October 2019.

3.2.2 The final action applied in the Schedule will be one of three categories of disposal action, approved by the relevant Information Asset Owner and the Departmental Information Manager and documented in Retention and Disposal logs.

Categories of Disposal

- **Destroy**

Records must be disposed of securely and in line with departmental policy and procedures. The only exception to destruction is if the information is subject to an ongoing legal, audit or FOI case.

Business Areas should review the records, and unless one of the conditions set out in the previous paragraph applies, should mark for destruction. Destruction must be approved by IAOs - records will then be destroyed by IMU.

- **PRONI Appraisal**

The long-term historical and evidential value of records cannot be confirmed and therefore requires appraisal by PRONI. Under PRONI Appraisal, the First Review is carried out by PRONI 5 years after file closure, and the Second Review is carried out by PRONI 20 years after file closure.

If PRONI deem 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 Preservation by PRONI**

This is based on a pre-determination; the records will transfer to PRONI as Northern Ireland public records for archival preservation, storage and access when they have reached the legal definition of 'historical records'.

- **Permanent Retention by Department**

This is based on a pre-determination; the records will remain in the Department as permanent living records.

3.2.3 Records identified for Permanent Preservation in PRONI will normally transfer under warrant 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 FOI 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. However, in line with the Public Records Act (NI) 1923 (s.3(c)), certain record classes may be designated 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.

3.3 Principles

3.3.1 Retention and disposal principles outlined in this policy involve managing records throughout their lifecycle to ensure authorisation, implementation and accountability actions are applied. All records must be created and used to support and document evidence of business decisions and managed to meet ongoing business, regulatory or legislative requirements.

3.3.2 When records held by the Department have satisfied all business requirements and do not need to be retained indefinitely, they will be destroyed, appraised or transferred for permanent preservation to PRONI in accordance with the principles outlined in this policy.

Principle 1: Retention and Disposal Authorisation

- The retention and disposal of records is authorised in line with the 1923 Act as well as the 1925 Order and by the development and maintenance of the Retention and Disposal Schedule, laid at the Northern Ireland Assembly to take legal effect.

- The Schedule will be signed by the required signatories.

- The following roles and responsibilities apply:

    - The Permanent Secretary will ensure that DfE complies with the requirements of legislation affecting the management of records, and with this supporting policy.
    - The Departmental Information Manager will work closely with Directors and IAOs to ensure that the Schedule is implemented.
    - All retention and disposal decisions will be approved by IAOs.
    - All managers and professional staff are responsible for ensuring that records and systems conform to this policy.
    - All staff are responsible for ensuring that records are only disposed of in accordance with the Schedule.

- All retention and disposal decisions have been determined to ensure compliance with relevant legislative, regulatory, fiscal and business requirements. Final actions will be taken at the end of retention periods. Where possible specific details relating to when records are closed will be fully documented.

- Where necessary, a retention 'hold' will be placed on any records and information which are subject to investigations, Public Accounts Committee scrutiny, ongoing FOI/EIR and/or subject access requests/appeals for information, litigation or Public Inquiries to ensure continued access, and in all cases this process will be fully documented and time-limited.

Principle 2: Implementation

- Operational procedures / forms are available to ensure efficient and effective implementation of retention and disposal decisions relating to all departmental records and information and are published on the Department's intranet.

- Records identified for transfer to PRONI for permanent preservation will be appropriately protected while at the same time being available for continuing access as appropriate. This will involve appropriate access arrangements, metadata requirements relating to the authenticity, integrity, accessibility and

usability of the record, classification, storage, package requirements for transfer and assessing information risks.

- PRONI formally requests the transfer of departmental records and information from the Departmental Information Manager for permanent preservation by issue of a warrant for Northern Ireland public records. When PRONI warrants are received by the Department, the Departmental Information Manager will ensure these are acted upon including being assessed for de-classification requirements and all relevant access recommendations in line with the Freedom of Information Act 2000, Environmental Information Regulations 2004 or Data Protection Act 2018.

- Records and information will only be transferred or destroyed in a manner which is secure and which is appropriate to their protective marking and content. Approved destruction of records and information will comply with Departmental information security and records management policies and guidelines and will be complete and irreversible for all media formats.

- Content provided by the Department on its official websites is captured by the PRONI Web Archive.

Principle 3: Accountability

- All retention and disposal actions will be fully documented to ensure compliance with this policy and Schedule. Disposal records provide an overview of all actions undertaken in line with the Schedule and will be permanently retained by Information Management Unit as evidence of compliance with this policy.

- The Schedule will be reviewed every three years from the published date of the latest version (or earlier if required) to consider possible changes to legislative or regulatory requirements, ongoing business needs, legal action and administrative changes affecting the Department's functions or business activities.

- Reviewers undertaking and implementing retention and disposal actions will have appropriate knowledge of the functions and business activities and have their IAO approval for all final decisions. All IAOs are accountable for retention and disposal decisions undertaken in this policy and Schedule.

3.4 Recording Disposal Actions

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

4. Statement of Commitment to Preserving Records

The Department for the Economy declares that it will take measures to ensure that the records it creates will be appropriately stored and maintained while they are in its custody until either destroyed or transferred to PRONI for permanent preservation. These measures will include:

- Storing records in an appropriate environment, physical or electronic, on or off-site:
- Ensuring appropriate access control mechanisms are put in place to facilitate staff who require continued access to records and information but restrict others;
- Providing searching facilities, electronic or physical index systems, to ensure staff understand what they are holding or not holding;
- Putting in place auditing, finalising and backup policies and regularly testing business continuity procedures and plans for the use of vital records and information.

5 An Overview of DfE Functions

5.1 Operational Functions

5.1.1 The Department is organised into five separate Groups, covering respectively:

Economic Strategy Group – develops and implements strategies for -

- Business Engagement
- Business Interventions
- Strategic Policy
- Tourism
- Telecoms
- NI Centenary
- City Deals Programme
- Project Stratum

Energy Group – is responsible for setting the strategic policy framework on energy matters and maintaining the energy legislative framework for Northern Ireland. It also works in co-operation with the Utility Regulator (NIAUR) and the energy industry in the outworking of energy policy and legislation compliance.

- Energy Operations
- Energy Strategy
- Heat, Energy Efficiency & Renewables

International and Economic Relations Group – works within the wider confines of the NICS EU Exit transition following the UK's departure from the EU.

- Analytical Services

- Covid-19 Restart
- Legislation, Sectors and Standards
- GB and EU Trade
- International Trade and Investment

Management Services and Regulation Group – ensures the Department has effective governance and manages its resources, both financial and staff.

- Business & Employment Regulations
- Central Services
- Corporate Governance
- European Fund Management
- Finance
- Insolvency Service

Skills & Education Group – works to enhance education, skills and employability:

- Apprenticeships, Careers and Vocational Education
- Further Education
- Higher Education
- Quality Improvement
- Skills
- Tertiary Education Reform
- Portfolio Management

5.2 Corporate Functions

1. Accommodation & Services

This function includes managing land and buildings owned, rented or leased, as well as the provision of related services. Refers to activities associated with constructing, maintaining, repairing, protecting and disposing of premises, equipment, and stores. The provision of support services such as cleaning, postage and courier.

2. Audit & Accountability

This function includes managing information relating to auditing of the Department, its arms-length bodies as well as risk management and governance. Relates to activities associated with planning, auditing, consulting and producing audit reports and risk assessments, strategies and governance reports.

3. Financial Management

This function includes information relating to the management of financial resources. Refers to activities associated with financial planning, accounting, monitoring and operating accounts, budget allocations and submissions, allowances, assets and funding. Records held on the NICS shared service Account NI are included.

4. Human Resource Management

This function includes managing all employees. Includes permanent, temporary and part-time staff as well as those employed under graduate recruitment schemes and traineeships. Refers to activities associated with the management of working conditions, leave, pay, staffing requirements and employee development and performance. Also includes the development of initiatives in relation to equal opportunity, diversity and health and safety. The Employee Record held on the NICS shared service HR Connect is specifically covered within this function.

5. Information & Communication

This function includes information relating to managing information and communication resources and includes networking and interactions with other areas of government and the community. Refers to activities associated with the maintenance of records and publications, the handling of enquiries received from the public and briefing material prepared for ministers and senior management in order to provide information regarding initiatives and development.

6. Strategic Management

This function includes managing medium to long-term organisational strategies and objectives. Refers to activities associated with monitoring and reviewing organisational performance, developing business plans and improving business processes. Also refers to the development of business continuity plans, equality and meetings.

7. Technology and Telecommunications

This function includes information relating to acquiring, developing and managing electronic information systems and communication technology/telecoms. Refers to activities associated with maintaining hardware and software, the implementation of new systems such as telephones and websites.

Section 2
Retention and Disposal Schedule

Ref. No. Denotes entry in Retention & Disposal Schedule

Class Relates to the activity the records represent.

Series Relates to the record types or the types of transactions the records represent.

Retention Period The period for which records must be retained before disposal is undertaken[1].

Final Action Describes the final action that prompts the end of the retention period and the disposal method.

Destroy – All records which have a destroy schedule must be destroyed. Business Areas will carry out an assessment (at the end of the retention period or, in exceptional circumstances, where a function, service or activity discontinues) to determine if there is a continuing business need to retain the records. The continued retention of records after the end of the retention period should only be considered if the information is subject to an ongoing legal, audit or FOI case. Destruction must be approved by IAOs. Where there is no continuing business need to retain, the records will be destroyed by the Department's IMU.

PRONI Appraisal– following a review by business areas, a further assessment of the records by PRONI will be carried out to determine historical value and if so determined, the records will transfer to PRONI for archival preservation, storage and access when they have reached the legal definition of 'historical records'.

Permanent Preservation by PRONI – based on a pre-determination, the records will transfer to PRONI as Northern Ireland public records for archival preservation, storage and access when they have reached the legal definition of 'historical records'.

Permanent Retention by Department – based on a pre-determination, the records will remain in the Department as permanent living records.

[1] In relation to a physical file, this is calculated from the date of the last paper; for electronic records, calculated from the date of the final record.

Corporate Function 1: Accommodation & Services

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
1.1	Health & Safety	Accidents / Incidents – Non-notifiable	7 years		Destroy
1.2		Accidents / Incidents – Notifiable	80 years		Destroy
1.3		Asbestos[2]	40 years	Control of Asbestos at Work Regulations (NI) 2003	Destroy
1.4		Hazardous Chemicals[3]	50 years	COSHH	Destroy
1.5		PEEPs Risk Assessments.	7 years		Destroy
1.6		Claims	5 years	After outcome is known	Destroy
1.7		Fire Safety Manual	3 years		Destroy
1.8		H&S Guidance	5 years		Destroy
1.9		Initiatives, Inspections / Audits / Reviews, etc.	5 years		Destroy
1.10	Facilities Management (Premises)	Allocation, Disposal, Maintenance, Relocation, Refurbishment	3 years		Destroy
1.11		Accommodation, Conservation	5 years		Destroy
1.12		Acquisition, Construction, Contracting, Insurance, Utilities	7 years		Destroy
1.13		Art Work	7 years		Destroy
1.14	Security	Access, Breaches, Buildings, Fraud, Staff Guidance, Protests, etc.	5 years		Destroy
1.15		DSO & A/DSO Correspondence and Vetting	10 years		Destroy
1.16		Pass System – Visitors	2 years		Destroy
1.17		Pass System – Staff	End of period of occupation in a building		Destroy
1.18		CCTV Footage – 'Looped'	40 days		Destroy
1.19		CCTV Footage provided to law enforcement	1 year		Destroy

[2] Control of Asbestos at Work Regulations (NI) 2003
[3] COSHH

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
1.20	Supplies & Equipment[4]	Allocation, Disposal, Maintenance	3 years		Destroy
1.21		Acquisition, Contracting, Inventory	7 years		Destroy
1.22	Support Services	Cleaning, mail & courier service, ground maintenance, newspapers, NICS security and ancillary services contract, official driver and vehicle usage records, vehicle insurance, restaurant, waste and recycling, car park management.	5 years		Destroy
1.23	Travel	Air, Rail, Car (including Ministerial and Departmental), Taxi, Insurance, etc.	5 years	Financial records relating to travel should be determined via the entry under the Functional Area: Financial Management	Destroy
1.24	Official Seal	Official Seal	For lifetime of DfE		Permanent Retention by Department

[4] Furnishings, furniture, inventory, mobile phones, Dial Network, IT equipment, photocopy & fax, protective wear, stationery, etc.

Corporate Function 2: Audit & Accountability

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
2.1	Accountability	Governance, Internal Control, Risk Management (including Risk Registers)	5 years		Destroy
2.2		Supporting documentation	3 years		Destroy
2.3		Frameworks, Guidelines, etc.	5 years		Destroy
2.4		Records relating to governance issues sent to NIAO, PAC resulting in significant criticism or prosecution	10 years		PRONI Appraisal
2.5		Conflicts / Declarations of Interest	2+ years	GDPR Article 5(e)	Destroy
2.6	Agency Liaison	Records relating to sponsorship, oversight and liaison with external bodies including ALBs, NDPBs and North/South Bodies	7 years		PRONI Appraisal
2.7	Audit	Significant, e.g., involved contentious or litigious matters or that set a precedent; led to a major change in policies; involved major public interest or controversy, etc.	10 years		PRONI Appraisal
2.8		Other including: **Internal Audit:** Advice and Guidance, Annual Assurances, Budgeting, Plans, Verifications, Vouchings, Visits, Reports, etc. **External Audit:** Inspections, Investigations, Reports, Management Letters, etc.	**IA** - 7 years **EA** - 10 years	Where an investigation has resulted in prosecution or significant criticism	Destroy PRONI Appraisal
2.9		EU Audits – Related System Audits (Internal Audit) and Audits of Operations (Audit Authority) – Communications, Working Papers, Base Documents and Reports	12 years	From completion of audit	Destroy
2.10	Authorisations	Delegations of authority, e.g., authorisations, delegation conditions, register, etc.	7 years		Destroy

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
2.11	Casework Appraisals and Approvals	Appraisals, Approvals, Submissions, Guidance, Monitoring etc.	7 years		Destroy
2.12			10 years	Where an investigation has resulted in prosecution or significant criticism	
2.13	Compensation	Where the Department has claimed responsibility, claims for professional indemnity, public liability, etc.	10 years		Destroy
2.14	Contracts and Other Commercial Relationships	Procurement / Tendering, Contract Management	7 years		Destroy
2.15		Contractual Services	5 years		Destroy
2.16		Contract Procedures Manual	5 Years		Destroy
2.17		Contracts Register	10 years		Destroy
2.18		Training Organisations	7 years		Destroy
2.19		Letters of Offer (including extensions)		Length of project + 2 years	Destroy
2.20	Evaluations & Reviews	Significant	7 years		PRONI Appraisal
2.21		Other	5 years		Destroy
2.22	Financial Audit & Support	Various schemes / services, for example, • New Deal • Local Employment Intermediary Service • Education Maintenance Allowance • Steps to Work • Training for Success • Progress 2 Work • NEETS • Peace 4 Youth/United Youth • Skills for Life and Work	7 years		Destroy

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
2.23	Fraud and Raising Concerns (including National Fraud Initiative) Management	Allegations, Investigations, Inspections, Reports and Returns: • Cases where no wrongdoing found or lack of evidence	3 years		Destroy
2.24		• Cases where wrongdoing found/involving financial information	7 years		Destroy
2.25		• Where an investigation has resulted in prosecution	10 years		PRONI Appraisal
2.26		Fraud Forum	3 years		Destroy
2.27	Gifts & Hospitality	Gifts & Hospitality (Ministerial & Senior Management Register)	5 years		Destroy
2.28		Gifts & Hospitality (Business Area Register)	3 years		Destroy

Corporate Function 3: Financial Management

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
3.1	Accounting	Non EU Funding	7 years	Government Accounting Northern Ireland (GANI)	Destroy
3.2		EU Funding	10 years	EU Audit Requirements	Destroy
3.3		Annual Report and Resource Accounts	7 years		Permanent Preservation by PRONI
3.4		Supporting records e.g. losses, write-offs, monthly accounts, and DRCs	7 years		Destroy
3.5		Business Area working papers and returns	2 years		Destroy
3.6	Asset Management	DfE Assets	7 years		Destroy
3.7	EU Structural Fund / Programmes	**Pre 1999 Programmes**	30 April 2013		Destroy
3.8		**2000-2006 Programmes** Building Sustainable Prosperity Programme Interreg III Peace II	 14/11/2014 17/09/2015 03/10/2015		Destroy
3.9		**2007-2013 Programmes** EU Sustainable Competitiveness Programme (ERDF) NI ESF Programme Interreg Va	 29/11/2020 02/04/2022 30/10/2020		Destroy
3.10		**2014-2020 Programmes** Investment in Growth & Jobs (ERDF); NI ESF Programmes ; Interreg Va ; Peace IV	 31 December 2030		Destroy

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
3.11	EU Competitive Funding Programmes (Non Structural Funds)	All records related to Agri-Food, Barroso NI Task Force, Horizon 2020, EIB, Erasmus, COSME	As prescribed by EU		Destroy
3.12		Business Area working papers held at local level	2 years		Destroy
3.13	Finance	Allowances, Budget[5], Business Cases, Clawback, Financial Governance, Financial Memorandums, Forecasting, Funding, Invoices, Payments, Petty Cash, Procurement, Reconciliations, Retained Finance, Statement of Accounts, Superannuation, Transactions, Use of Consultants, etc.	7 years	National Audit Requirements	Destroy
3.14	Harland & Wolff	H&W financial liabilities	10 years		Permanent Preservation by PRONI
3.15		H&W employee health records	Until age 100		Permanent Preservation by PRONI
3.16		H&W legal agreements relating to the 1989 sale agreement to privatise H&W	Retain permanently		Permanent Retention by Department
3.17	Presbyterian Mutual Society	Financial agreements, reports and other correspondence	10 years	Following completion of scheme	PRONI Appraisal

[5] National Audit requirement

Corporate Function 4: Human Resource Management

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
4.1	Discipline	Business Area level records relating to discipline	1 year	After any sanction period is spent	Destroy
4.2	Industrial Relations	Negotiation and communication with Trade Unions through Departmental/Local Whitleys	7 years		Destroy
4.3	Workforce Planning	For the Department	5 years		Destroy
4.4	Staffing	Business Area level records relating to – • Attendance, • Performance management, • Management of posts, • Temporary promotions	1 year		Destroy
4.5	Training & Development	• Non-CAL Training • Targeted training sourced or delivered by Department e.g. HPRM Awareness Training • Branch Learning Plans	5 years		Destroy

The Human Resource function and records transferred to NICS HR, Department of Finance, from 1 April 2017. Only retained HR functions are included here.

Corporate Function 5: Information & Communication

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
5.1	Assembly Business	NI Assembly, its Committees or the UK Parliament. Will include Questions, Debates, Motions & Adjournments, Statistics, etc.	5 years		Destroy
5.2		Central Management support, for example, Guidance, Templates, Forms, other working papers, etc.	5 years		Destroy
5.3		Business Area working papers	5 years		Destroy
5.4	Customer Relations	Staff Surveys	3 years		Destroy
5.5		Customer Surveys	3 years		Destroy
5.6	Complaints (Departmental)	Guidance	5 years		Destroy
5.7		Register	10 years		Destroy
5.8		Cases	5 years	From date outcome known	Destroy
5.9	Data Protection	Right of access requests (SARs), other rights requests, Register, Complaints, Breaches.	3 Years		Destroy
5.10		Registration / Notification	3 years		Destroy
5.11	FOI/EIR	Requests (including those handled under line of business) and Internal Reviews, ICO Appeals and Appeals to Tribunals	3 years 5 Years		Destroy
5.12		Publication Scheme	5 years		Destroy
5.13	General Enquiries	General requests and enquiries received externally	1 year		Destroy
5.14	Information Assurance / Security	Monitoring Exercises, Assurance Reviews, Third Party Reviews, Security Risk Management Overview / Departmental Security Health check Surveys & Questionnaires, Information Asset Registers	5 years		Destroy
5.15		Information Asset Owner – Guidance, Training, etc.	5 years		Destroy
5.16		Data Security Incidents & Register	5 years		Destroy

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
5.17	Marketing	Advertising / Promotional Material, Communications Action Plan, Corporate Identity and Branding, Events, Publications	5 years		Destroy
5.18	Permanent Secretary's Office Liaison	Engagements including Permanent Secretary's Diary	Tenure in office + 5 years		Destroy
5.19		Includes Perm Sec cases, cross Parliamentary business, Permanent Secretary Office Operations	5 years		Destroy
5.20		Minutes of policy meetings	5 years		Permanent Preservation by PRONI
5.21		Formal meetings – outside interest groups/lobbyists	3 years		Destroy
5.22		Christmas card list	3 years		Destroy
5.23		Other operational records	2 years		Destroy
5.24	Photography	Photographs of individuals	5 years		Destroy
5.25		Other Photography	10 years		Destroy
5.26	Press and Public Relations	Press Releases	7 years		Destroy
5.27		Media Relations and Media Monitoring	5 years		Destroy
5.28		Press Clippings	3 months		Destroy
5.29		Internal records including pen pictures and biographies	5 years		Destroy
5.30	Private Office Liaison	Engagements including Minister's diary	Tenure in Office +5 years		Permanent Preservation by PRONI
5.31		Includes AQs, PQs, briefings, speeches, etc., Assembly and Executive Committees, Minister's and Perm Sec cases, cross Parliamentary business, Private Office operations, etc.	5 years		PRONI Appraisal

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
5.32		Minutes of policy meetings	5 years		Permanent Preservation by PRONI
5.33		Formal meetings – outside interest groups/ lobbyists	3 years		PRONI Appraisal
5.34		Christmas Card List	3 years		Destroy
5.35		Other operational records	2 years		Destroy
5.36	Public Appointments	Documentation pertaining to Appointees (applicable to both PAU and Sponsor Branches)	10 years 5 years	Successful appointees from last day in post. Unsuccessful applicants from the closing date of the competition.	Destroy
5.37		Advice	5 years		Destroy
5.38		Guidance	5 years		Destroy
5.39		Public Appointment timetables	5 years		Destroy
5.40	Records Management	Annual Sensitivity Reviews	5 years		Destroy
5.41		Retention & Disposal Schedule, TOMS, Disposal Scheduling (forms, lists, docket books, etc. of records destroyed), Lost File Forms, PR14s, Receipt of Reviews, Warrants, Transfer of Records to PRONI,	Retain permanently		Permanent Retention by Department
5.42		Off-Site Storage, Information Audit, File Plan Development, Records Training, etc.	5 years		Destroy
5.43		File Request Forms, Change Requests, Queries, Document Deletions, Naming Conventions and other records management administrative activities	3 years		Destroy
5.44		Any category of information not included in Schedule which is financial	7 years		Destroy
5.45	Re-use of Public Sector Information	Requests, etc.	5 years		Destroy

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
5.46	State Events and Honours	Attendance at State events such as Garden Parties and Receptions	5 years		PRONI Appraisal
5.47		CMB Working Papers Honours / Awards (includes nominations)	20 years		Permanent Preservation by PRONI
5.48		Business Areas Working Papers Honours / Awards (includes nominations)	20 years		Destroy
5.49	Imperial Service Medals	Award of the ISM	5 years		Permanent Preservation by PRONI
5.50	Web Presence	Website; Intranet articles; Publication Scheme	5 years	PRONI web archive will capture web content on a regular basis	Destroy

Corporate Function 6: Strategic Management

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
6.1	Advice	High level advice (except legal) provided or received by the Department on substantial aspects of Departmental functions, responsibilities, obligations and liabilities	5 years		PRONI Appraisal
6.2	Business Performance / Corporate Management	Monitoring, Reports, Agreed Corporate and Operational Plans, Balanced Scorecards, etc.	5 years		Destroy
6.3		Working papers including drafts, etc. contributing to records held elsewhere	3 years		Destroy
6.4		Departmental Board Minutes	5 years		Permanent Preservation by PRONI
6.5		Flexi Sheets	3 months[6]		Destroy
6.6	Business Improvement	Reviews	5 years		Destroy
6.7	Competition Law Enforcement	Competition Law Enforcement – Mergers, Cartels, etc.	10 years		Destroy
6.8	Corporate Engagement	Corporate/Departmental Induction	Until superseded		Destroy
6.9		Organisational Development	5 years		Destroy
6.10		Staff Engagement	5 years		Destroy
6.11		Team briefing	5 years		Destroy
6.12		Volunteering	5 years		Destroy
6.13	Equality & Diversity	Categories, Initiatives, Consultations, Promotion, Implementation, etc.	5 years		Destroy
6.14	Legal Services	Legal Action / Litigation, Legal Advice, Intellectual Property	5 years after final decision		Destroy

[6] Longer period will be required if under dispute

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
6.15	Legislation	Primary and Secondary, EU, (drafting, working papers)	Until repealed / revoked		PRONI Appraisal
6.16		Signed and sealed Statutory Rules	1 year		Permanent Preservation by PRONI
6.17		Non DfE - Consultation and DfE input to the development or amendment of legislation by non-DfE organisations	3 years		Destroy
6.18	Plans	Business Continuity, Emergency Planning including DfE contacts for NICS Contingency arrangements.	5 years		Destroy
6.19		Working papers and correspondence	5 years		Destroy
6.20		BCM reference material & exercise examples	5 years		Destroy
6.21	Policy	Core functional policy (final)	Until superseded		PRONI Appraisal
6.22		Administrative policy, e.g. finance, complaints, etc.	5 years		Destroy
6.23		Supporting Documentation	5 years		Destroy
6.24		Input to non-DfE Policy	3 years		Destroy
6.25		Agreements, SLAs, MOUs, etc.	5 years		Destroy
6.26		Operational procedures and guidelines	5 years		Destroy
6.27	Projects	Development, implementation, review and closure of significant projects where the Department has had major input; is the principal driver; or administered the funding	10 years from project closure		PRONI Appraisal
6.28		Other	5 years		Destroy
6.29	Quality Improvement	Reports and working papers	5 years		Destroy
6.30		Evidence	3 months after oral feedback		Destroy
6.31	Research & Surveys	Significant	5 years		PRONI Appraisal
6.32		Other	5 years		Destroy

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
6.33	Standards	Investors in People, etc.	5 years		Destroy
6.34	Strategy	Significant	10 years		PRONI Appraisal
6.35		Other	5 years		Destroy
6.36	State Aid	State Aid	10 years	EU Procedural Regulations	PRONI Appraisal
6.37	Working Groups, Committees, Meetings, etc.	Records relating to significant working groups, committees and meetings, etc. including agendas papers, minutes, action lists, etc.	5 years		PRONI Appraisal
6.38		Other (includes business area meetings)	3 years		Destroy
6.39	City and Growth Deals	Development, implementation, review and closure of significant projects where the Department has had major input; is the principal driver; or administered the funding	10 years from Programme/Project Closure		PRONI Appraisal

Corporate Function 7: Technology & Telecommunications

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
7.1	Application & System Support	Implementation, ongoing development and maintenance of IT systems, web presences and other initiatives to meet Departmental needs	5 years		Destroy
7.2		Line of Business	7 years		Destroy
7.3		System Management, etc.	7 years		Destroy
7.4		IT Assist	5 years		Destroy
7.5		Call Centre Support	5 years		Destroy
7.6		Requests for Change	5 years		Destroy
7.7		Licences	7 years		Destroy
7.8	IT Security	Accreditation	5 years		Destroy
7.9		Incidents	5 years		Destroy
7.10	Infrastructure Management	Inventory and Asset Management, etc.	7 years		Destroy

Operational Function 1: A - C

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
8.1	Analytical Services	Essential Skills; Further Education; Higher Education	5 years		Destroy
8.2		NISRA (information other than financial)	5 years		Destroy
8.3		Statistics / Publications	5 years		Destroy
8.4		Sector Skills Agreements	5 years		Destroy
8.5		Economic Advisory Group, Economic Briefings, etc.	5 years		PRONI Appraisal
8.6		Core Economic Service: Economic Appraisals including casework	5 years[7]		PRONI Appraisal
8.7		**Databases:** Statistical/research databases Longitudinal databases	 7 years[8] 10 years		Destroy
8.8	Apprenticeships	**Connect to Success:** Employer verification information Employer registration	 1 year 5 years		 Destroy
8.9		Interim Strategic Advisory Forum (SAF and SAF subgroups) – Participant details	5 years		Destroy
8.10		**Apprenticeships Levy:** Consultation participant's details	 5 years		Destroy
8.11		**Apprenticeships - NI Apprenticeship Week:** Working groups participants details; NI Apprenticeship Awards participant details and application forms	5 years		Destroy

[7] 10 years where an investigation has resulted in significant criticism in prosecution.

[8] Statistical and research databases are those databases from which Official and National Statistics are produced and operational information is provided. They can include data generated by the IT systems operated by, or on behalf of DfE or surveys of those attending/ have attended FE, HE, Apprenticeship or Training courses. Other datasets are provided by various governmental and non-governmental organisations under Data Sharing Agreements/Ministerial Directions such as economic and labour market data provided by NISRA.

8.12		**ApprenticeshipsNI Programme** ApprenticeshipsNI 2008 ApprenticeshipsNI 2013, 2017, 2021	 02 Apr 2022[9] 31 Dec 2030	ESF Requirement	Destroy
8.13		**Sectoral Partnerships:** Non-financial Financial	 5 years 7 years		Destroy
8.14	Assist to Work	LEMIS 2	7 years		Destroy
8.15		**Training for Success Programme** TFS 2008 TFS 2013 TFS 2017 (including Programme-Led Apprenticeships)	 2 Apr 2022 2 Apr 2022[10] 7 years		Destroy
8.16		Jobskills	5 years		Destroy
8.17		**Higher Level Apprenticeships (HLA) Programme** HLA Pilots Non-ESF funded HLA Steady State Provision (Level 6 & above) ESF Funded HLA Steady State Provision (Levels 4 & 5)	 7 years 7 years 31 Dec 2030[11]		Destroy
8.18		Peace4Youth/United Youth Pilots – Financial	7 years		Destroy
8.19		Peace4youth/United Youth Pilots – Programme	5 years		Destroy
8.20		Skills for Life and Work (Entry Level/Level 1 provision for young people)	7 years		Destroy
8.21		**Traineeships:** Non-financial	 5 years		Destroy

[9]. AppsNI 2008 records to be held for ESF purposes until 2 April 2022. AppsNI 2013, 2017 and 2021 records to be held until 31 December 2030 or for 7 years from the date of the last payment, whichever is later. There are 20 participants relating to the ApprenticeshipsNI 2008 programme who have been claimed for under the 2014-20 ESF programme. Their records must be retained until 31 December 2030.

[10] TFS 2008 records to be held for ESF purposes until 2 April 2022. TFS 2013 records to be held for ESF purposes until 2 April 2022 or 7 years from the date of the last payment, whichever is later. TFS 2017 records to be held for 7 years from the date of the last payment..

[11] 31 December 2030 (for ESF purposes) or 7 years after the date of the last payment, whichever date is later.

		Financial	7 years		
8.22		Covid-19 Supplier Relief Schemes for ApprenticeshipsNI, Training for Success and Disability Support Service Contractors • Non-financial • Financial	 5 years 7 years		 Destroy
8.23	Business Development	Expenditure, Management Development, Management and Leadership, Skills Development	7 years		Destroy
8.24		Investors in People: Assessments and Recognitions, Specialists, Database, Performance Results	5 years		Destroy
8.25	Business Engagement	Enterprise Zones; Access to Finance; Social Economy; Air and Sea Access; Agri-food; EU Services Directive	7 years		Destroy
8.26	Business Regulation	Mutual Society Correspondence	5 years	On transfer of function[12] retain for 3 months	Destroy
8.27		Mutual Society Registry Documents Mutual Society Registry Documents - Copies	Retain Permanently until society cancelled (records on loan to FCA) Retain for 3 months on transfer of function		PRONI Appraisal PRONI Appraisal
8.28		Better Regulation, Mutual & Company Law Policy	10 years		Destroy
8.29		Better Regulation, Mutual & Company Law Administration	5 years		Destroy
8.30	Business Support – Covid-19	**Business Grant Schemes: £10k, £25k & Microbusiness Hardship Fund** • Policy	 5 years		 PRONI Appraisal

[12] Transfer of function enacted on 6 April 2018

8.31		• Payments	7 years		Destroy
8.32		• Appeals	3 years		Destroy
8.33		• Analysis / Review	7 years		PRONI Appraisal
8.34	Careers	Client records including those on Client Management System	See below[13]		Destroy
8.35		Pre-recorded class talks and themed presentations: • via WebEx video recordings • via MS Teams	 30 days 3 months		 Destroy Destroy
8.36		Resources: materials, management information, reviews, statistics, etc.	5 years		Destroy
8.37	Consumer Affairs	Debt Advice Client and Case Data	6 years	From date of closure	Destroy
8.38		Other Debt Advice working papers	5 years		Destroy
8.39		Consumerline	5 years		Destroy
8.40		Consumer Council	5 years		PRONI Appraisal
8.41		Customer Relations	5 years		Destroy
8.42		Non Weights and Measures, Weights and Measures, other UK-wide legislation	5 years		Destroy
8.43		Trading Standards: Tanker calibration requests including charts	20 years		Destroy
8.44		UKAS certificates of calibration	6 years		Destroy
8.45		Visits to trader premises	7 years		Destroy
8.46		Non-statutory service requests: non-trade tests of weighing and measuring equipment; information seminars	5 years		Destroy

[13] All client records will be deleted from the CMS system after 5 years from the last date of a recorded contact with the Department with the exception of the following, which will be archived 7 years from the date of last payment/contact and deleted 16 years after the date of last payment/contact: Records relating to clients with a statement of educational need; and, Records relating to clients who have participated in a DfE funded programme (ESF, TfS, PLA, Apprenticeships NI, Higher Level Apprenticeships, Pathways / NEETs provision, Steps to Work, Steps to Success, Youth Employment Scheme, DES funded provision (Access to Work NI, Workable NI, Condition Management Programme, Work Connect), New Deal and Customer Support Payments (Return to Work Credit (RTWC), Enterprise Allowance Scheme (EAS), Adviser Discretion Fund (ADF), Progress to Work (P2W) and In Work Emergency Fund.

8.47		**High Street (Spend Local) Scheme** • Policy • Analysis / Review • Applications o successful o unsuccessful • Payments	5 years 7 years 7 years 1 year 7 years		PRONI Appraisal

Operational Function 2: D - H

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
9.1	Employment & Skills Advisor	Briefings, Correspondence, Invitations, Events, etc.	5 years		Destroy
9.2	Employment Relations	Development of Employment Policy and Law (including primary and secondary legislation and signed and sealed SRs)	5 years		PRONI Appraisal
9.3		Transnational Company Agreements	7 years		PRONI Appraisal
9.4		Redundancy & Insolvency, Redundancy Case Files	7 years		Destroy
9.5		Industrial Court decisions	5 years		Permanent Preservation by PRONI
9.6		Industrial Court Case Files	5 years		PRONI Appraisal
9.7		Employment Agency Inspectorate: Routine Inspections and Complaints, etc.	5 years	After the case/complaint has been closed or the period of prohibition has ceased	Destroy
9.8		NICICTU training records	5 years		Destroy
9.9		Migrant Workers	5 years		Destroy
9.10		Promotion of Employment Legislation	5 years		Destroy

9.11	Energy	Wayleaves (1) Necessary Wayleaves and vesting orders made by the Department and (2) Consents for generating stations (Article 39) and overhead lines (Article 40) made by Department	Retain permanently		Permanent Retention by Department
9.12		Executed orders made by Department for lopping or felling trees	7 years	From date the order is made	Destroy
9.13		Electricity / Gas Wayleaves, Vesting orders, Generating stations, Overhead lines and Tree lopping or felling – Withdrawn applications	2 years	From withdrawn date	Destroy
9.14		Security of Supply	5 years		PRONI Appraisal
9.15		Energy Emergency Planning	5 years		PRONI Appraisal
9.16		Electricity – Covid-19 Retail Market Forum	5 years		PRONI Appraisal
9.17		Covid-19 Impacts – Gas and Electricity Markets	5 years		PRONI Appraisal
9.18		Gas Policy Gas to the West Grant	5 years 12 years		PRONI Appraisal
9.19		Renewable Gas (biomethane / hydrogen)	5 years		PRONI Appraisal
9.20		Legislation – Primary, Secondary, EU (drafting working papers)	Until repealed / revoked		PRONI Appraisal
9.21		(Energy) EU Exit	5 Years		Permanent Preservation in PRONI
9.22		Energy Intelligence: • General Documents • Research reports • Statistical/research databases/models • Longitudinal databases	 5 years 7 years 7 years 30 years		 Destroy PRONI Appraisal PRONI Appraisal Destroy
9.23		Renewable Electricity, Renewable Heat, Energy Efficiency	5 years	(EU Competitiveness Fund records - retain until 31 December 2022)	PRONI Appraisal

9.24		Heat Policy "Heat Networks Consultation – Building a Market Framework" – to include responses and related analysis	7 years		Destroy
9.25		Renewable Heat Incentive Scheme (Domestic) (Scheme closes on 28 February 2023)	7 years	Following closure of scheme	PRONI Appraisal
9.26		Renewable Heat Incentive Scheme (Non-Domestic)	7 years	Following closure of scheme	PRONI Appraisal
9.27		Renewable Heat Incentive Scheme (Non Domestic) Legal Cases	5 years	After final decision	PRONI Appraisal
9.28		Renewable Heat Incentive Scheme (Non Domestic) – Hardship Call for Evidence	7 years	In line with related privacy notice	Destroy
9.29		Renewable Heat Incentive Scheme (Non Domestic) – Tariff Review Consultation 2020 – Responses and related analysis	7 years		Destroy
9.30		Renewable Heat Incentive Scheme (Non Domestic) – Future of Non-Domestic Scheme Consultation 2021 – Responses and related analysis	7 years		Destroy
9.31		Renewable Heat Incentive Scheme (Non Domestic) Voluntary Buy-Out Arrangements: • Policy & Administration • Applications (Personal data)	 7 years 7 years	In line with related privacy notice Following closure of the Non Domestic RHI Scheme Following cessation of accreditation of related installation on the Non Domestic RHI Scheme	 PRONI Appraisal Destroy
9.32		RHI Public Inquiry	10 years	Following closure of Inquiry	PRONI Appraisal
9.33		Licensing, Articles 39 & 40 electricity consents, gas consents	Retain permanently		Permanent Retention by Department

9.34		Privatisation	5 years		Permanent Preservation by PRONI
9.35		Section 3 - Legislation	5 years		PRONI Appraisal
9.36		Section 3 – The Renewables Obligation Order (Northern Ireland) 2009	5 years		PRONI Appraisal
9.37		Electricity Network Policy	5 years		PRONI Appraisal
9.38		Liaison with regulatory authorities, other organisations	5 years		PRONI Appraisal
9.39		NI Protocol and the SEM	7 years		PRONI Appraisal
9.40		Electricity & Energy Consumers: Post Transition Withdrawal Implementation 1. Project Management 2. Trade and Cooperation Agreement 3. Market Operations Project Management and Closure 4. Clean Energy Project Management and Closure 5. Electricity Directive Compliance Assessment 21/22 6. 6. Article 9 Protocol	 5 Years 5 Years 7 Years 7 Years 7 Years Until Repealed / Revoked		PRONI Appraisal
9.41		Electricity & Energy Consumers: Data & Smart Meters 1. Smart Meters and Cost Benefit Analysis 2. Data and Consumer Policy 3. EU Exit and Meter legislation	 7 Years 5 years 7 Years		PRONI Appraisal
9.42		Electricity & Energy Consumers: Active Consumers and Citizen Energy Communities 1. Policy Development 2. Legal Matters, Advice and Transposition 3. Stakeholder Engagement 4. Research Development & Pilots	 5 Years 7 Years 5 Years 7 Years		PRONI Appraisal
9.43		Electricity & Energy Consumers: Energy Strategy 1. Consumer Working Group Meetings 21/22 2. Consumer Working Group Governance 21/22 3. Enable and Protect Policy Development 21/22 4. Options, consultations 2021 response and analysis	 5 Years 5 Years 5 Years 7 Years		PRONI Appraisal

9.44		Electricity and Energy Consumers: Consumer Protection 1. Electric Reviews 2. Gas Reviews 3. GSS 4. Fuel Poverty	 7 Years 7 Years 7 Years 7 Years		PRONI Appraisal
9.45		Electricity Price Control - Consumer Engagement Advisory Panel – September 2020 onwards	7 years		PRONI Appraisal
9.46		Official report and Publications NIAUR and CCNI Annual Report and Forward Workplans	5 years		Destroy
9.47		Recordings of Energy specific online training presentations delivered by the Department	6 months		Destroy
9.48	Further Education	College Accountability / Governance	7 years		PRONI Appraisal
9.49		Audit, Financial Returns, Action / Development Plans, etc.	7 years		Destroy
9.50		Curriculum Development, FE Program Support, Improving Quality Raising Standards, Lifelong Learning Initiatives, Widening Access to FE, Vocational Enhancement Programme, Vocational Qualifications Reform	5 years		Destroy
9.51		FE Funding, Budgetary Control	7 years		Destroy
9.52		FE Estate Management, Capital Funding & Associated Monitoring, Major Capital Projects	7 years		Destroy
9.53		Quality Initiatives, Performance Monitoring, Raising Standards, etc.	5 years		Destroy
9.54		Eligibility to Teach Investigations - Revocations & Restrictions	Until age 100		Destroy
9.55		Eligibility to Teach Investigations - No Further Action	2 years		Destroy
9.56		College Instruments & Articles of Government[14]	7 years	After college has ceased to exist	PRONI Appraisal

[14] FE (NI) Order 1997

9.57	Geological Survey	Closure Programme	7 years		Permanent Preservation by PRONI
9.58		Mine Monitoring Programme	7 years		PRONI Appraisal
9.59		Science programme – planning and operations information	7 years		Destroy
9.60		Enquiries - Sales / copies. No scientific advice provided	3 years		Destroy
9.61		Enquiries - Related to ground conditions / sets a precedent	6 Years		Destroy
9.62		Enquiries - Scientific Advice / Interpretation provided	12 Years		Destroy
9.63		Scientific Data Collection (digital mapping, databases, laboratory analysis, exploration data, publications and reports)	Retain Permanently		Permanent Retention by Department
9.64		Scientific Records Collection (physical copies and digital scans of boreholes and site reports, field note books, maps, exploration reports, photographic archive, publications and reports)	Retain Permanently		Permanent Retention by Department
9.65		Physical collections: Core and Samples (Core, fossil, rock and mineral specimens, soil and sediment samples. Thin sections)	Retain Permanently		Permanent Retention by Department
9.66	Higher Education	Applications, budget allocation, monitoring, inspections, management	7 years		Destroy
9.67		HE Finance: Resource Accounts, Allocation of Grant, Budget Modelling, Payments, Monitoring & Forecasting, Spending Review, Student Finance, Capital Funding, Capital Monitoring, Programmes	7 years		Destroy
9.68		Higher Education Strategy	10 years		PRONI Appraisal
9.69		HE Widening Participation: Access Agreements, Widening Access and Participation Plans, UU Step Up, Foundation Degree, Reach Higher publicity, Discovering Queens. HE in FE MaSN	7 years		Destroy

9.70		University of Ulster Greater Belfast Development; reports, correspondence, briefing and meeting papers	7 years		PRONI Appraisal
9.71		HE Mobility: Records relating to international mobility programmes, including SUSA, Erasmus+, Study China, Generation UK, IAESTE, UKIERI and the International Development Fund. Records relating to the All-Ireland (McManus) Scholarship.	7 years		Destroy
9.72		University College constitutions	7 years	After the Department has ceased to fund the college	PRONI Appraisal
9.73		Higher Education Policy: HE Funding; Student support (including post graduate loans, part-time loans and Disabled Student Allowance); Economically relevant provision; Alternative providers; Provision of HE information; Recognised and listed bodies; Teaching and learning; Accelerated degrees; part time provision; impact of Covid 19 pandemic; period poverty; student mental health	5 years		PRONI Appraisal
9.74		Student Support Policy and Legislation (primary and subordinate) including records relating to the governance of the Education Authority and the Student Loans Company under the Transfer of Functions with the Department	5 years		PRONI Appraisal
9.75		Research: Concordat for Research Integrity	7 years		Destroy
9.76		Tertiary Education Reform - HE in FE and Widening Participation: Access Agreements, Widening Access and Participation Plans, programmes, grants, project and contract management, Foundation Degree, HE in FE and level 4 and 5 policy, HE in FE MaSN allocation	7 years		Destroy
9.77		Tertiary Education Senior Leaders Forum	5 years		PRONI Appraisal

Operational Function 3: I - P

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
10.1	Insolvency	Disqualification: Management Information and Reports	5 years		Destroy
10.2		Director Disqualification details	20 Years		PRONI Appraisal
10.3		Central Accounting & Insolvency Account: Management Information and Reports	7 years		Destroy
10.4		Official Receiver: Destruction of books and records following completion	Retain permanently		Permanent Retention by Department
10.5		Audit (by Insolvency Auditors)	7 years		Destroy
10.6		Director	7 years		Destroy
10.7		Management and administration of the Official Receiver Unit	10 years		Destroy
10.8		Outsourcing	7 years		Destroy
10.9		Policy	7 years		PRONI Appraisal
10.10		Principal Examiner	7 years		Destroy
10.11		Prosecution	7 years		Destroy
10.12		Regulation of Practitioners: IP Complaints, IP/RPB Monitoring, IP/RPB Licensing	10 years		Destroy
10.13		Training & Development	5 years		Destroy
10.14		Batched Order Adverts	25 Years		Destroy
10.15		Closed Cases Queries	25 Years		Destroy
10.16		Case Records	25 Years		Destroy
10.17		DRO Cases	25 Years		Destroy
10.18		Bankruptcy Cases	25 Years		Destroy
10.19		Advertisement of bankruptcy cases	5 years		Destroy
10.20		Compulsory Liquidation	25 Years		Destroy
10.21		FTVA	25 Years		Destroy

10.22		Non-Compulsory Insolvencies	25 Years		Destroy
10.23		IVA	25 Years		Destroy
10.24		Business Area working papers	5 years		Destroy
10.25		IVA, BRO, DRO registers and Director Disqualification Register held on Insolvency LOB System	Retain Permanently		Permanent Retention by Department
10.26	International and Economic Relations	International Trade – NI input to UK government policy and decision making	5 years		PRONI Appraisal
10.27	MATRIX – N.I. Science Industry Panel	Associated papers, minutes and reports produced by the MATRIX Panel	7 years		PRONI Appraisal
10.28	Minerals	Company Database and Resources	5 years		Destroy
10.29		Dead Rent & Royalties	10 years		Destroy
10.30		Quarry Owners Annual Returns[15]	7 years		Destroy
10.31		Annual Mineral Statements	7 years		Destroy
10.32		Quarry Database	Retain permanently		Permanent Retention by Department
10.33		Prospect Licensing, Mining Leases / Licences	Retain permanently		Permanent Retention by Department
10.34		Abandoned Mine Committee	Retain permanently		Permanent Retention by Department
10.35		Salt Mines	Retain permanently		Permanent Retention by Department
10.36		Fracking	5 years		PRONI Appraisal
10.37		Licence Applications	Retain permanently		Permanent Retention by Department

[15] Under Article 18(1) of the Quarries (Northern Ireland) Order 1983 a return is required each year to the Department in respect of quarries operating in Northern Ireland

10.38		Licences	Retain permanently		Permanent Retention by Department
10.39		Promotion	5 years		Destroy
10.40		Minerals Budget, Mineral Development Account, GSNI/Minerals Accounts	7 years		Destroy

Operational Function 4: S - T

Ref. No.	Class	Series (records relating to)	Retention Period	Rationale or Relevant Statutory/Audit Requirements	Final Action
11.1	Skills	Themes, Programme Administration, Evaluations, Communications, Events, Library, Visits	7 years		Destroy
11.2		ICT Sector Initiatives	7 years		Destroy
11.3		Life Sciences	5 years		Destroy
11.4		Financial Services in relation to all Skills programmes: Payment processing, Cash management, Management accounts, Budget forecast management, EU fund management and supporting claims	7 years		Destroy
11.5		Education and Training	5 years		Destroy
11.6		Inspectorate records	7 years		Destroy
11.7		IIP Programme	5 years		Destroy
11.8		STEM	7 years		Destroy
11.9		Skills Solutions: Delivering Customised Training, Business Improvement Techniques (BIT), Skillsafe, Jobwise	7 years		Destroy
11.10		Assured Skills; Bridge to Employment (BTE); Skills Focus; InnovateUs.	7 years		Destroy

11.11		Assured Skills Applicant's Personal Information containers created since May 2018	6 months	After completion of project, as advised on privacy notice	Destroy
11.12		Bridge to Employment Applicant's Personal Information documents	6 months	After completion of project, as advised on privacy notice	Destroy
11.13		Special Projects/Events	10 years		PRONI Appraisal
11.14	Tourism	Tourism Strategy, Tourism Policy	5 years		PRONI Appraisal
11.15		Invitations, Correspondence, Liaison, Joint Initiatives, NITB, Tourism NI, Tourism Ireland, Tourism Statistics, Other working papers	5 years		Destroy
11.16		IFI Participant Details	11 years[16]		Destroy
11.17		IFI Tourism Programmes: Annual Reports	5 years		Destroy
11.18		IFI Reference Material	5 years		Destroy

[16] Ensures that clients are eligible to attend the programme and do not attend the same strand on two separate occasions during their period of eligibility (age 18 – 28)

Section 3

Legislation

The following legislation is specific to Departmental functions or is relevant to functions being performed:

- Article 90 of Commission Regulation 1083/2006
- Article 40 of Commission Regulation (EU) No. 1303/2013 (Common Provision Regulation)
- Article 140 of Common Provisions Regulation (EU) 1303-2013
- Bribery Act 2010
- Budget Act (Northern Ireland) 2020, 2021, 2022
- Child Benefit (General) Regulations 2006
- Civil Contingencies Framework for NI
- Colleges of Education (Northern Ireland) Order 2005
- Colleges of Education (Grant Conditions) Regulations (Northern Ireland) 1994
- Communications Act 2003
- The Companies (Northern Ireland) Order 1989
- Companies Act 2006
- The Company Directors Disqualification (Northern Ireland) Order 2002
- The Company Directors Disqualification (Amendment) (Northern Ireland) Order 2005
- The Debt Relief Act (Northern Ireland) 2010
- Control of Asbestos at Work Regulations (NI) 2003
- COSHH: The Management of Health and Safety at Work Regulations
- Conduct of Employment Agencies and Employment Businesses Regulations (Northern Ireland) 2005
- The Credit Unions (Northern Ireland) Order 1985
- Data Protection Act 2018
- Departments (Northern Ireland) Order 1999
- Disability Discrimination Act 1995
- Disposal of Documents Order (NI) 1925
- Education (Academic Tenure) (NI) Order 1988
- Education and Libraries (Northern Ireland) Order 1993[17]
- Education and Libraries (Northern Ireland) Order 1986[18]
- The Education and Libraries (Northern Ireland) Order 1986, as substituted by Article 23 of the Education (Northern Ireland) Order 1997
- Education (Reform) (NI) Order 1989[19]
- Education (Northern Ireland) Order 1989 (14 – 19yrs) Employment (Miscellaneous Provisions) (Northern Ireland) Order 2005
- Education Student Fees (Approved Plans) Regulations (Northern Ireland) 2005
- The Education (Student Loans) (Northern Ireland) Order 1990
- Education (Northern Ireland) Order 1998

[17] Article 30 - Funding for Higher Education and definition of a Higher Education Institution

[18] Article 51 – Provision of Awards by Department, Article 66 – Provision of Teacher Training, Article 101 – Power of Department to give directions, Article 102 – Inspection of educational and other establishments by Department

[19] Article 3 – Duty to promote further and higher education

- Education (Northern Ireland) Order 2006
- Education (Student Support) (NI) Order 1998
- The Education (Student Support) (No. 2) Regulations (Northern Ireland) 2009 (as amended)
- The Education (Student Loans) Repayment Regulations (NI) 2009
- Education (Unrecognised Degrees) (NI) Order 1988
- Electricity (NI) Order 1992 (As amended)
- The Electricity (Single Wholesale Market) (NI) Order 2007
- The Employment (Miscellaneous Provisions) (Northern Ireland) Order 1981
- Employment Relations (Northern Ireland) Order 1999
- Employment Rights (Northern Ireland) Order 1996
- Employment Act 1988
- Employment and Training Act (Northern Ireland) 1950. Amended by the Industrial Relations (Northern Ireland) Order 1987 No/ 936 (Northern Ireland 9) and further amended by the Employment and Training (Amendment) Northern Ireland Order 1988. (Statutory Instrument 1988 No 1087 (Northern Ireland 10)
- Employment and Training Act (Northern Ireland) 1950 amended by the Employment Act (Northern Ireland) 2016
- Energy (NI) Order 2003 (As amended)
- Energy Act (NI) 2011
- Environmental Information Regulations 2004
- Financial Provisions Act (Northern Ireland) 2009
- Fraud Act 2006
- Freedom of Information Act 2000
- Further Education (Northern Ireland) Order 1997
- The Further Education (Student Support) (Eligibility) Regulations (Northern Ireland) 2012, as amended by the Further Education (Student Support) (Eligibility) (Amendment etc.) (EU Exit) Regulations (Northern Ireland) 2021 which came into operation on 1 August 2021
- The Further Education Teachers' (Eligibility) Regulations (Northern Ireland) 2007
- The Further Education Teachers' (Eligibility) (Amendment) Regulations (Northern Ireland) 2011
- Further Education and Training Act 2007, Section 11
- Gas (NI) Order 1996 (as amended)
- The General Consumer Council (Northern Ireland) Order 1984
- Health & Safety at Work (Northern Ireland) Order 1978
- Higher Education (Northern Ireland) Order 2005
- The Hydrocarbons Licensing Directive Regulations (Northern Ireland) 2010
- Income Support (General) Regulations 1987
- Industrial and Provident Societies Acts (Northern Ireland) 1969 & 1976
- Industrial Development Act *(*Northern Ireland*)* 2002
- Industrial Development *(*Northern Ireland) Order 1982
- Industrial Relations (Northern Ireland) Order 1992
- The Industrial Training Act (Northern Ireland) 1964
- The Industrial Training (Construction Board) Order (Northern Ireland) 1964;
- The Industrial Training (Northern Ireland) Order 1984
- The Industrial Training (Construction Board) (Amendment) Order (Northern Ireland) 1994

- Industrial Training Levy (Construction Industry) (Amendment) Order (Northern Ireland) 1997
- The Industrial Training (Construction Board) (Amendment) Order (Northern Ireland) 2010
- Industrial Tribunals (Northern Ireland) Order 1996;
- The Industrial Tribunals and Fair Employment Tribunal (Constitution and Rules of Procedure) Regulations (Northern Ireland) 2020
- Information and Consultation of Employees Regulations (Northern Ireland) 2005;
- The Insolvency (Amendment) Act (Northern Ireland) 2016
- The Insolvency (Northern Ireland) Order 1989
- The Insolvency (Northern Ireland) Order 2002
- The Insolvency (Northern Ireland) Order 2005
- Minerals (Miscellaneous) Act (Northern Ireland) 1959
- Mineral Development Act (Northern Ireland) 1969 Order 1979
- Mineral Development (Applications, Fees and Model Clauses) Regulations (Northern Ireland) 1970
- Mineral Development (Applications, Fees and Model Clauses) (Amendment Regulations (Northern Ireland) 1986
- Mineral Development (Applications, Fees and Model Clauses) (Amendment Regulations (Northern Ireland) 1991
- The Mineral Exploration (Northern Ireland) Order 1979
- Northern Ireland Act 1998, for example, section 75
- Northern Ireland (Regional Rates and Energy) Act 2018
- Northern Ireland (Regional Rates and Energy) Act 2019
- Petroleum Production (Royalties) Regulations (Northern Ireland) 1965
- Petroleum Production (Royalties) Regulations (Northern Ireland) 1987
- The Petroleum Production (Amendment) Regulations (Northern Ireland) 2010
- Second Appointed Day Order
- The Petroleum (Production) Act (Northern Ireland) 1964
- The Presbyterian Mutual Society (Financial Assistance to Members) Scheme Regulations (Northern Ireland) 2011
- The Presbyterian Mutual Society Financial Assistance Scheme Regulations (Northern Ireland) 2011
- The Provision and Use of Work Equipment Regulations 1998
- Public Interest Disclosure (NI) Order 1998
- Public Records Act (NI) 1923
- The Quarries (Northern Ireland) Order 1983
- The Renewable Heat Incentive Scheme Regulations (Northern Ireland) 2012
- The Domestic Renewable Heat Incentive Scheme Regulations (Northern Ireland) 2014
- The Renewable Heat Incentive Schemes (Amendment) Regulations (Northern Ireland) 2015
- The Renewable Heat Incentive Schemes (Amendment) Regulations (Northern Ireland) 2016
- The Renewable Heat Incentive Schemes (Amendment) Regulations (Northern Ireland) 2017
- Social Security (Claims & Payments) Regulations (Northern Ireland) 1987
- Statistics and Registration Service Act 2007

- Official Statistics Order (Northern Ireland) 2012
- Pre-release to Official Statistics Order (Northern Ireland) 2009
- The Student Fees (Amounts) Regulations (Northern Ireland) 2005 (as amended)
- The Student Fees (Qualifying Courses and Persons) Regulations (Northern Ireland) 2007 (as amended)
- Student Loans (Amendment) Act (Northern Ireland) 2011
- The Tourism (Northern Ireland) Order 1992 (as amended)
- The Transfer of Undertaking (Protection of Employment) Regulations 2006
- Unsolicited Services (Trade and Business Directories) Act 2010
- Weights and Measures (Northern Ireland) Order 1981
- Weights and Measures (Amendment) Act (Northern Ireland) 2000

Section 4

Abbreviations

ALBs Arm's Length Bodies
BCM Business Continuity Management
BRO Bankruptcy Relief Order
CCNI Consumer Council NI
CCTV Closed Circuit TV
COSHH Control of Substances Hazardous to Health
COSME Competitiveness of Enterprises and Small and Medium-sized Enterprises
DfE Department for the Economy
DPA Data Protection Act
DRC Departmental Running Costs
DRO Debt Relief Order
DSE Display Screen Equipment
DSO & A/DSO Department Security Officer, Assistant DSO
EIB European Investment Bank
ERDF European Regional Development Fund
ESF European Social Fund
EU European Union
FE Further Education
FOI/EIR Freedom of Information / Environmental Information Regulations
FTVA Fast Track Voluntary Arrangement
GSNI Geological Survey NI
GSS Guaranteed Standards of Service
H&S Health and Safety
H&W Harland and Wolff
HE Higher Education
HR Human Resources
IAESTE International Association for the Exchange of Students for Technical Experience
IAO Information Asset Owner
ICT Information & Communications Technology
ICO Information Commissioner's Office
IFI International Fund for Ireland
IIP Investors in People
IMU Information Management Unit
IP/RPB Insolvency Practitioners / Recognised Professional Bodies
IS/IT Information Security / Information Technology
IT Information Technology
IVA Individual Voluntary Arrangement
LEMIS Local Employment Market Intermediary Service
MaSN Maximum Student Number
MOU Memorandum of Understanding
NDPBs Non-Departmental Public Bodies
NEETS Not in Employment, Education or Training Schemes
NI Northern Ireland
NIAO NI Audit Office
NIAUR NI Authority for Utility Regulation
NICICTU Northern Ireland Committee – Irish Congress of Trade Unions
NICS Northern Ireland Civil Service

NISRA Northern Ireland Statistics and Research Agency
NITB Northern Ireland Tourist Board
PAC Public Accounts Committee
PR14s Public Record 14s
PRONI Public Record Office of Northern Ireland
REACH Raising Educational Attainment in the Community for Higher Education
RHI Renewable Heat Incentive
SAR Subject Access Request
SEM Single Electricity Market
SLA Service Level Agreement
SOPCA Sum of Payroll Costing Analysis
STEM Science, Technology, Engineering and Mathematics
SUSA Study USA
TOMS The On-Line (Records) Management System
TSS Trading Standards Service
UK United Kingdom
UKAS UK Accreditation Service
UKIERI UK-India Education and Research Initiative

Section 5

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Kelly Walker
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Section 6

Department for the Economy Retention and Disposal Schedule

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