



**Northern Ireland
Assembly**

Northern Ireland Assembly

Retention and Disposal Schedule

Contents

Section 1 - Introduction	3
Function of the Northern Ireland Assembly.....	3
The Northern Ireland Assembly Records Management Policy.....	3
Purpose of the Retention and Disposal Schedule.....	3
Section 2 - What is covered by this Retention and Disposal Schedule?	5
Section 3 - Categories of Retention / Disposal	8
Determined on Review	8
Northern Ireland Assembly Permanent Preservation	
Public Record Office of Northern Ireland Permanent Preservation	
Destroy	8
Section 4 - Operation of this Retention and Disposal Schedule	9
Closing a File.....	9
Retention Period	10
Destruction.....	10
Review	10
PRONI Permanent Preservation / Copy Sent To PRONI.....	11
Commitment to Preserving Files/Records	11
Roles and Responsibilities.....	12
Section 5 - Retention and Disposal Schedule	14 - 83
Section 6 – Signatories	84
Appendix A – Addendum for any new areas of work / new classes of information created	86

Section 1 - Introduction

Function of the Northern Ireland Assembly

The Northern Ireland Assembly was established as part of the Belfast Agreement (also known as the Good Friday Agreement), which was signed in April 1998 following multi-party talks and negotiations. The Assembly consists of 108 Members, 6 from each of the 18 parliamentary constituencies.

The Northern Ireland Assembly has had full legislative and executive authority from 2 December 1999 in respect of transferred matters. Transferred matters are those matters that fall to the Northern Ireland Government Departments and on which the Assembly has power to pass laws. Policing and justice powers were transferred in April 2010. Excepted matters include International Relations, Taxation, National Insurance, Elections, National Security and Defence. The Secretary of State for Northern Ireland is responsible for Northern Ireland Office matters not transferred to the Assembly, and therefore represents Northern Ireland interests in the UK Cabinet.

The Assembly was suspended on 14 October 2002 until 8 May 2007. During suspension, neither the Assembly nor any of its Committees can meet or conduct any business.

The Northern Ireland Assembly Records Management Policy

The Northern Ireland Assembly recognises that its administrative records are a unique and irreplaceable resource. The proper management of this resource is necessary to satisfy its internal business processes and to comply with legislation, including the Freedom of Information Act 2000, which provides for access to information held by the Assembly. The Assembly's Records Management Policy Statement sets out a commitment to the development of an efficient and effective records management system. Crucial to the success of the policy is the development and implementation of a retention and disposal schedule.

Purpose of the Retention and Disposal Schedule

This retention and disposal schedule aims to support the development of greater control over the records created by the Northern Ireland Assembly. It will enable the Assembly to dispose of records promptly when they cease to be of any continuing administrative/legal

value and will identify records which should be transferred to the Public Record Office of Northern Ireland (PRONI) because of their long-term historical/research value.

The schedule complies with the requirements in the Public Records Act (NI) 1923 and the Disposal of Documents Order (S.R.& O.1925 No 167).

Section 2 - What is covered by this retention and disposal schedule?

This schedule identifies the retention and disposal arrangements for all records created by the Northern Ireland Assembly. A record is recorded information, in any form, created or received by the Northern Ireland Assembly or individual members of staff to support and show evidence of Assembly activities. For the purpose of the Assembly's Records Management Policy, records are defined as:

“Recorded information, in any form, created or received and maintained by an organisation or person in the transaction of business or conduct of affairs and kept as evidence”

Within the Assembly a range of information/documents exists which does not need to be captured into the formal records management system. This information (e.g. ephemeral material, reference material, and convenience copy) is not covered by the retention and disposal schedule and includes:

- Rough or early drafts where these do not contain evidence of policy development;
- Circulated copies of drafts; unaltered drafts;
- Convenience copies or information retained for reference purposes only (it is not retained to provide evidence of transactions, but only for its informational value);
- Reference or published materials from external sources which are not needed for record purposes, e.g. papers from conferences and seminars, policy briefings, sales catalogues, brochures, “junk-mail”;
- CC'd emails;
- Emails that are not the primary record of decisions or transactions (e.g. the information is recorded in some other way following the email exchange);
- Personal records and emails, e.g. social arrangements, personal copies of performance reviews;
- Stocks of publications that have been superseded;
- Bookings for internal services (e.g. rooms, equipment) where no charges are made;
- Notes taken during meetings where formal notes/minutes have been prepared;
- Meeting requests, acceptances and apologies;
- Corporate notices and circulars (circulated copies, i.e. not the original);

- Superseded circulation/contact lists;
- Covering/transmission documents such as covering letters, fax cover sheets, compliments slips or emails accompanying attachments that do not provide additional information to the main document and where evidence of date and time of receipt or despatch are not required;
- Reservations and confirmations of arrangements with third parties, such as joining instructions for conferences, training, etc. when invoices have been received.

These categories of information should be destroyed as soon as reference to the information has ceased. Unnecessary retention of such information represents a resource burden for the Assembly in terms of storage costs, administration and freedom of information and data protection obligations.

In almost all cases, the disposal periods given in the schedule relate to master copies of records which form the official version retained for regulatory or business reasons. Where it is clear that a master copy is being retained elsewhere within the Assembly, there is no requirement to keep such documents. In all cases, copies of records should not be retained any longer than the period stated for the master copy in the retention and disposal schedule.

Electronic Documents/Material

The Northern Ireland Assembly does not currently have an electronic document and records management system (EDRMS) which would enable the control, retention and transfer of records in electronic format. The Assembly, therefore, operates a print to paper policy, and electronic documents which form part of the official record should be printed out and placed on the appropriate file.

The principles governing the retention of electronic documents are the same as those for paper records. In support of these principles, it is important that electronic folders should be organised in a similar way as paper records. In addition, ephemeral electronic documents of no enduring value, such as those of purely personal relevance, should be deleted from the system at the earliest opportunity.

Email

Emails potentially form part of the Assembly's corporate record and, therefore, are subject to its records management policies and procedures. All staff, therefore, should review incoming and outgoing emails to decide whether the information they contain should be retained as part of the corporate record. As with other electronic documents and material, where an email message forms part of the corporate record, it should be printed off and placed on the relevant file. The email should then be deleted from the personal mailbox and any "deleted items" box.

Where a member of staff wishes to keep an email message for administrative or reference purposes, it should be moved into a relevant area. These messages should be deleted when they have ceased to be of use for reference purposes. Ephemeral email messages, which are not required for either administrative or reference purposes, should be deleted immediately.

Incoming and outgoing emails are potentially covered by the Data Protection Act if one or other of the following criteria is met:

- The sender or recipient is identifiable, either through their email address or the text of the email; or
- The text of the email contains personal data, i.e. facts, opinions or intentions about identifiable living individuals.

The Data Protection Act specifically requires that personal data should not be kept for longer than necessary. Any emails containing personal information should therefore be filed appropriately. The record should only be kept as long as necessary in accordance with the specified purpose for processing.

Section 3 - Categories of Retention / Disposal

There are four broad categories of retention / disposal

Determined on Review

These are records requiring appraisal. They are appraised by Assembly staff at specified periods to determine if there is a continuing business need for retention and by PRONI staff to determine if they are required for historical or research purposes.

Northern Ireland Assembly Permanent Preservation

There are likely to be few records which fall into this category but they are records which the Assembly needs to retain permanently for business administrative needs.

Public Record Office Permanent Preservation

These are files/records which PRONI has decided are of long-term historical research value. These records must be transferred to PRONI.

Destroy

These are records which the NI Assembly considers to be low grade, providing no continuing business/legal value and are of no historical or research value to PRONI.

Section 4 - Operation of this Retention and Disposal Schedule

Closing a file

In order for this retention and disposal schedule to operate effectively, it is important to maintain a streamlined filing system through regular and systematic closure of files. Closing a file does not mean that it has to be immediately removed from the filing system. What it does mean is that no additional papers should be added to the file and that it should be used only for reference. If files are not closed on a formalised and regular basis the following problems are likely to occur:

- Files inevitably become untidy with resulting damage to documents;
- Older files cannot be moved to inactive storage;
- File fasteners and covers come under excessive strain from the weight of paper;
- Access to items on a file becomes difficult;
- Inactive information is held on current files.

Regular file closure has the following benefits:

- Files are kept to a manageable size;
- Files remain neat and tidy;
- Access to material on files is faster;
- The progressive disposal of records is made easier.

A file should be closed and a new one created if necessary when one of the following conditions are met:

- The file exceeds a thickness of 2.5 cm;
- No papers have been added for two years;
- The contents of the file span more than five years.

In addition, some files should be closed at:

- The end of the financial year;

- The end of a project;
- The end of a mandate.

When a file is due to be closed the appropriate member of staff should consult the retention and disposal schedule and indicate on the file the date on which it can be destroyed, transferred to the Public Record Office of Northern Ireland, or whether it should be subject to the normal review procedures.

Retention Period

Retention periods are based upon the specific business needs of the Assembly in addition to the regulatory environment within which the Assembly operates. The retention period required for each type of file is calculated from the point the file is closed.

Destruction

Destruction of files will take place on a planned basis in line with the retention and disposal schedule recommendations. Destruction will be organised by the Information Standards Officer, in consultation with the relevant business area and the Public Records Office. All destruction decisions must be agreed by relevant business area and the Public Records Office before destruction can take place. A record of all file destruction will be kept for audit purposes and all files will be destroyed in line with the arrangements for the destruction of confidential waste.

Review

Where the retention and disposal schedule indicates that the appropriate action in relation to any file is review, this will be carried out systematically, so as to eliminate redundant information and reduce the bulk of records held, while ensuring that no papers likely to be required for business continuity reasons and/or permanent preservation are destroyed. A file may be reviewed a number of times:

On Closure

A file should be reviewed immediately on being closed. The long term value may be quite clear at this stage and staff should indicate their decision on the file's retention /

disposal when it is being closed, if not already specified in the retention and disposal schedule.

First Review

Review five years after the file was closed. Procedures shall be put in place to ensure that these records are reviewed at the appropriate stage.

Second Review

There may be occasions when it proves impossible to reach a decision on a file at first review. Such files may be put away for examination at a later stage, no more than 20 years after the file was opened. If this is the case systems shall be put in place to ensure that the second review takes place.

PRONI Permanent Preservation / Copy Sent To PRONI

Where the action is PRONI Permanent Preservation, the records need not undergo the normal review procedures. Appropriate arrangements will be put in place to ensure timely transfer to PRONI.

Commitment to Preserving Files/Records

The Northern Ireland Assembly declares that it will take measures to ensure that the records it creates will be physically well maintained and cared for while they are in its custody. These measures will include:

- Removing paper clips and pins from papers before filing with particular; attention being given to those records, which, according to the Retention and Disposal Schedule, are to be preserved permanently;
- Removing any CDs and other storage devices from paper files and converting its contents to hard copy;
- Using files with file covers as opposed to buff folders, which do not offer the same

protection to the papers inside;

- Using continuation files if files get too bulky (i.e. more than 2.5 cm thick);
- Punching papers to be filed 25mm in and 25mm down from the edge to minimise the danger of detachment and resulting loss of information;
- Storing bulky or outsize items in a pocket or envelope inside the file cover on the left hand side.

Roles and Responsibilities

The Clerk/Chief Executive of the Assembly has overall responsibility for ensuring that the Assembly complies with the requirements of legislation affecting the management of records, and with any supporting regulations and codes.

The Information Standards Officer is responsible for:

- Ensuring that the Records Management Policy is implemented effectively;
- The provision of record management guidance to Secretariat staff;
- Producing procedures documenting all necessary record management arrangements;
- Regularly reviewing and where necessary amending record management policies and procedure statements;
- Making recommendations to the Senior Management in relation to changes or improvements; and
- Liaising with the Public Record Office to ensure that the NI Assembly complies with NIRMS (Northern Ireland Records Management Standard).

The Information Standards Officer will work closely with Directorates to ensure that there is consistency in the management of records and that advice and guidance on good records management practice is provided.

The Support Services Manager is responsible for:

- Office Resources which has responsibility for the operation and maintenance of the Secretariat registered file system for the Assembly Secretariat and ensuring that controls operate effectively. This is a database which records the file title, reference

code, date of opening the file, date of closing the file and the date the file is due for review/disposal/transfer to PRONI. The system requires updating to ensure all relevant action is captured on the registered file system. The registered file system can produce reports to identify files which require action, such as review/dispose/transfer. The system can also produce reports to identify files which have been disposed of and when the files were disposed of

Line Managers are responsible for:

- Ensuring that the agreed NI Assembly records management policy and procedures are fully observed and implemented within their area of responsibility;
- Ensuring that all staff within their area of responsibility receive the appropriate training.

All members of staff are responsible for:

- Documenting their actions and decisions, and for maintaining the records in accordance with the Assembly's agreed policies and practices.

Section 5 - Retention and Disposal Schedule

Assembly Business & Proceedings

The Speaker
Plenary and Business Management
Committees

Record	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
The Speaker				
Briefings	End of session	6 years	Determined on review	
Minutes of Meetings	End of session	6 years	Determined on review	
Contact details	On production of record	When superseded	Destroy	
Partnerships and external Relations	End of session	6 years	Determined on review	
Official Correspondence	End of calendar year	6 years	Determined on review	Correspondence (originals or annotated copies) to and from the Speaker/Deputy Speakers of the NI Assembly. Correspondence concerning Assembly business or the NI Assembly Secretariat to and from Members, Committees, Ministers, organisations and Members of the public.
Speaker's Cases	End of mandate	6 years	Determined on review	
Official Engagements:				Records concerning the Speaker/Deputy Speaker official engagements.

	Accepted Meetings and Engagements	End of calendar year	6 years	Determined on review	Includes speeches.
	Declined meeting and engagement invitations	Date of event	3 months	Destroy	
	Hospitality/Gifts Register				Held centrally in Finance Office – noted under Book-keeping.
	Visitors' Book	On production of record	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Book recording visitors (VIP) to the Speaker.
	Speaker's Art Advisory Group	End of mandate	End of mandate	Determined on Review	Background information; Group Administration; Recommendations & papers (held by Commission)
	Speaker's Office Guidance & Procedures	When superseded	When superseded	Destroy	
	Speaker's Diary	End of Mandate	1 year	Destroy	
Plenary and Business Management					
	Roll of Membership	On production of record	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Members' formal documentation of membership of NI Assembly.
	Guidance for Members and Departments	When superseded	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	A record of all guidance retained by the Assembly.
	Speaker's Rulings, Assembly Conventions and Precedents	When superseded	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	NIA Companion published – hard copy from 1998 - 2002. No further publications. Copy of information held in Speaker's Rulings and conventions document, updated as necessary during recess, and held in the Business Office from 2002 onwards.
	Office Procedures	When superseded	When superseded	Destroy	

	Assembly questions	End of session	Until end of session	Destroy	Oral, written, urgent oral questions, written answer booklet and administration. There is a record of all questions in the Official Report (Hansard). Written questions are put into the bound volumes of the Official Report (Hansard) which are then sent to PRONI. Information stored in AIMS.
	Assembly Information Management System	On production of record	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Records of all items of Plenary Business held permanently on AIMS.
					Contained in plenary papers
	Papers of the Business Committee	End of mandate	1 year	Destroy	Advising of committee business papers. Includes draft Order Papers, draft Indicative Timings, Notice of Forthcoming Executive Business.
	Table Clerk logs	End of mandate	1 year	Destroy	
	Question time statistics	End of mandate	1 year	Determined on review	Held in spreadsheet.
	Lobby voting	End of session	End of session	Destroy	Results recorded in the Official Report (Hansard)
					Contained in plenary papers
	Minutes of proceedings	End of mandate	End of session		Permanent Preservation in bound volume.
	Plenary sitting papers	End of mandate	End of session	Destroy	Speaker's brief, Order papers, indicative timings, points of order responses and Members' attendance at Ministers' statements. A record of what happens in Plenary is recorded in the Official Report (Hansard).
	Statutory Rules	End of mandate	End of mandate	NI Assembly Permanent Preservation	Record held electronically in AIMS.
	Statutory Rules reports	On laying	6 years	Determined on review	Reports from Examiner of Statutory rules.
	Petitions of concern	Presentation of petition	End of mandate	Destroy	Original petition sent to PRONI (All duplicate information and personal information removed).

	Public Petitions	Presentation of petition	1 month	Destroy	Original petition sent to PRONI by the Business Office (All duplicate information removed – personal information i.e. names, addresses destroyed after the petition has been formally presented to the Assembly). Presentation of petition officially recorded by Hansard.
					Not kept by Business Office.
	Acts	Introduction to the Assembly	6 years	NI Assembly Permanent Preservation	A record copy is sent to PRONI 6 months after Royal Assent. Bill Office will hold this record.
	Bills	Introduction to the Assembly	6 years	NI Assembly Permanent Preservation	Records regarding introduction of the Bill, including Marshalled List of Amendments, Annotated List of Amendments and Speaker's grouping list. Includes Private Members' Bills. The NIA Bill Office will hold this record.
	Adjournment debate	End of session	End of session	NI Assembly Permanent Preservation	Permanent record held in Assembly Information Management System (AIMS).
	No Day Named List	End of mandate	End of mandate	NI Assembly Permanent Preservation	Permanent record held in Assembly Information Management System (AIMS).
	All party notice	End of session	1 year	Destroy	Permanent record held on NIA's website.
	Motions / Matters of the day	End of session	End of session	Destroy	Permanent record held in Assembly Information Management System (AIMS).
	Record of documents laid and papers presented	End of mandate	End of mandate	NI Assembly Permanent Preservation	A record of documents laid is held in bound volume – this record contains the actual document.
	Subordinate Legislation	Laid before Assembly	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Secondary or subordinate (Permanent Preservation - Departments send to PRONI).

	Legislative Reports / Inquiry Reports	Approval of report	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Committee report stored in Business Office.
	Official Report (Hansard)	Publication of bound volume	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Full and authoritative written report of proceedings in NI Assembly and its Committees. A copy of each archive edition of the Official Report (Hansard) for Plenary sittings should be deposited with PRONI. Hansard reports of Committee meetings not contained in the bound volumes will be provided to PRONI in electronic format.
	Official Report (Hansard) Ad Hoc Reports	Publication	4 years	Destroy	Reports of significant* public events/meetings held in the NI Assembly e.g. addresses to the Assembly, Youth Assemblies etc. will be offered to PRONI. Other reports will be reviewed every 6 years.
	Biographical Records	When superseded	When superseded	Destroy	
	Register of interests	End of mandate	Current and previous	Determined on review	Held by Standards and Privileges.
	Nomination officers and Party Membership	-	-		Electoral Office holding.
Committees					
	Guidance / Procedures	When superseded	When superseded	Destroy	
	Contact Details	When superseded	When superseded	Destroy	

	Meeting Papers	End of mandate	6 years	Determined on review	Includes Chair's brief – contained in part 2 of Committee pack.
	Legislation - Primary	End of mandate	6 years	Determined on review	All papers relating to pre legislative scrutiny and / or Committee Stage of a Bill including chairperson's speeches at other stages of a Bill. There will be substantial duplication between this material, the material in the meeting packs and the final printed committee report. As the Committee Report will contain all evidence and be held by the Assembly Library, there is an argument that these papers could be destroyed (subject to PRONI Review). All evidence not printed in the report should also have been deposited in the Library.
	Legislation – Subordinate	End of mandate	End of mandate	Destroy	Committee decisions will be held in meeting packs and in minutes. The Reports from the Examiner of Statutory Rules will also be in meeting packs and will be held separately. There will therefore be no real business need for files to be held permanently. Statutory Rule & SL1 (Explanatory Memorandum)
	Legislation – Consent Motion (LCM)	End of mandate	6 years	Destroy	As above re.Primary and Subordinate Legislation– in addition Committees now produce a short report on LCM. This will be in the Committee pack as well as on the website.
	Interviews and speeches	End of mandate	6 years	Destroy	Content of public communications made by Chair / Members on behalf of the Committee.
	Agreed Minutes of proceedings	End of mandate	6 years	PRONI Permanent Preservation	Minutes of proceedings are printed on cream paper and signed by the Chairperson.
	Visits	End of mandate	6 years	Destroy	Papers relating to Committee visits including administrative matters, financial, travel, accommodation arrangements, visit packs, etc.

	Events	End of mandate	6 years	Destroy	Papers relating to Committee events such as stakeholder conferences, speed dating, informal lunches. All papers including administrative matters, financial matters, etc.
	Notice of Forthcoming business	End of mandate	6 years	Destroy	From the start of 2011 – 2015 mandate, Central Committee Office (CCO) will hold an amalgamated copy from all Committees.
	Correspondence	End of mandate	6 years	Determined on review	Communication of general information concerning the Committee not specific to an inquiry, investigation or policy.
	Inquiries	End of mandate	6 years	Destroy	Formal investigation into matters relevant to the Committee remit, including minutes of evidence for inquiries. As the Committee Report will contain all evidence and be held by the Assembly Library, there is an argument that these papers could be destroyed. All evidence not printed in the report should also have been deposited in the Library.
	Reports	End of mandate	6 years	Destroy	Files relating to Committee reports, including Bill and inquiry reports. May be largely administrative in content such as drafts back and forth, as well as copies of Minutes of Proceedings, Minutes of Evidence, written submissions and other contents of the report. There will be large elements of duplication with other files. As the Committee Report will contain all evidence and be held by the Assembly Library, there is an argument that these papers could be destroyed. (All evidence not printed in the report should also have been deposited in the Library.
	Policy / Scrutiny of single issue topics	End of mandate	6 years	Destroy	Files relating to policy and scrutiny of a single issue topic. There is likely to be substantial duplication as the policy is likely to originate from another organisation and many of the papers are likely to be in meeting packs.

	Policy/Consultation documents	End of mandate	6 years	Destroy	Files relating to policy / consultations undertaken by other organisations. There is likely to be substantial duplication as this information should be held by the organisation responsible for the policy / consultation.
	Consultation documents Committee stage of a Bill and other consultations	End of mandate	6 years	Determined on review	
	Finance	End of mandate	See Finance	Destroy	Invoices, monthly transaction reports, AP1, correspondence with finance Directorate, etc.
	Budget scrutiny & PFG	End of mandate	6 years	Destroy	
	End of session/mandate reports	End of mandate	6 years	Determined on review	A copy of the final agreed report should be held in the appropriate meeting pack and will also be on the website. Details of Members' attendance is not published within End of Session reports, but is available via a separate link on each Committee homepage.
	Declaration of interests	End of session	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Standards and Privileges hold this information centrally. Files held on this by Committees should be destroyed.
	Specialist Advisers (Paper relating to selection and appointment)	End of mandate	Until end of successive contract and in any case no less than 6 years from trigger.	Determine on review	Papers relating to selection and appointment of a specialist adviser, terms of reference, selection process, claim for payment, etc. Information may also be held by Procurement.
	Chairpersons' Liaison Group	End of mandate	6 years	Destroy	
	Meeting Administration	End of mandate	6 years	Destroy	

	Legal Advice	End of mandate	24 years	Determine upon review	There is duplication as Legal Services will also hold the request for advice and response. However, Committees are likely to hold additional information such as advice from others on the same issue – such as the Departmental position.
	Operational processes / checklists	End of mandate	6 years	Determine on review	These actions / checklists are routinely inspected by Audit and therefore need to be retained until no longer needed by Audit.
	Standing Orders	When superseded	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Includes associated work in drafting / amending the Standing Order.

Assembly Commission

Record	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Assembly Commission				
Meetings (agendas, minutes, briefing notes & papers)	End of mandate	6 years	PRONI Permanent Preservation	Minutes of the Shadow Assembly Commission.
Events / Visits	On production of record	Current and previous mandate	Disposal	(Invitations, travel and accommodation arrangements, itineraries and programmes, visit reports, letters of thanks, etc).
North/South Inter-Parliamentary Association (NSIPA)	End of Mandate	6 years	PRONI Permanent Preservation	Reports of Plenary sessions of the NSIPA.
North/South Inter-Parliamentary Executive Committee	End of Mandate	6 years	PRONI Permanent Preservation	Agendas, minutes, briefings.
Inter-Parliamentary Contact Group	End of Mandate	6 years	Determined on review	Agendas, minutes, briefings.
North South Parliamentary Forum Working Group (NSPFWG)	End of session	6 years	PRONI Permanent Preservation	
NI Assembly Commission Induction Material	When superseded	When superseded	PRONI Permanent Preservation	Induction Information for Assembly Commission Members.
Commission Report on Pay, Pensions and Financial Support	On production of Report	When superseded	PRONI Permanent Preservation	Recommendations within this Report will be taken forward by an Independent Statutory Review Body.
Assembly Commission Members' Newsletter	When superseded	12 months	Determined on Review	Published every 2 months.

Assembly Commission Handbook	On production of Handbook	Until superseded	PRONI Permanent Preservation	Operating Principles on Corporate Body.
Assembly Commission Educational Leaflet	When superseded	When superseded	Destroy	
Hospitality/Gifts Register				Held centrally in Finance Office – noted under Book-keeping.
Speeches/Briefings	End of mandate	6 years	Determined on Review	Speeches for Members of Commission on operation of the Corporate Body. This includes the Speaker's Brief for Commission meeting.
Correspondence	End of session	6 years	Determined on review	From Public and Members/Parties.
Speaker's Special Advisory Group Meetings (agendas, minutes, briefing notes and papers)	On production of record	PRONI Permanent Preservation	PRONI Permanent Preservation	This Group was facilitated by the Assembly Commission, as directed by the Secretary of State, and operated during Direct Rule from 29 June 2006 – 16 November 2006.
Honours roll/nominations	On production of record	PRONI Permanent Preservation	PRONI Permanent Preservation	
HRM Garden Party nominations	End of session	1 year	Destroy	

Clerk/Chief Executive's Office

Records	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Events and visits	End of event and completion of follow up action	Current and previous mandate	Disposal	Events arranged by the Clerk/DG's Office, includes travel arrangements.
Corporate correspondence	End of correspondence	6 years	Determined on review	Correspondence and associated records concerning the formal relationship between the NIA and external bodies such as Commissioners, parliamentary bodies at corporate level. It is not intended to cover routine contact.
Corporate correspondence (routine)	End of correspondence	1 year	Determined on review	Corporate correspondence to and from members of the public, media and external organisations including meeting and event invitations.
Correspondence with MLAs and Political Parties	End of session	1 year	Determined on review	Correspondence to and from Members.
Senior Management Meetings	End of session	6 years	Determined on review	Secretariat Management Group (SMG), formerly SMT, Directors' Meetings. Includes agenda, minutes, papers submitted, action plans.
Briefing	End of session	6 years	Determined on review	Includes First Day Brief.
Members' / Party correspondence	End of session	1 year	Destroy	Correspondence to and from Members.
Hospitality/Gifts Register				Held centrally in Finance Office – noted in Finance Section under Book-keeping.

	Gifts Register	On production of record	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	
	Internal Communication	On production	12 months	Determined on review	Core Brief.
	Policy, Procedures Consultation				Please see management, policy & planning.
	Clerk's Monthly Report to Commission				Please see management, policy & planning.

Management, Policy & Planning

Audit
 Planning (Strategic & Business Planning)
 Business Performance Management
 Policy and Procedure
 Organisation Development
 Business Continuity
 Risk Management
 External Relations/Partnerships
 Project Governance

Record	Trigger event that prompts start of retention period)	Retention Period	Final Action	Notes
Audit				
Internal Audit Reports (including interim), where these have included the examination of long-term contracts	Final agreement by Secretariat Audit & Risk Committee (SARC)	6 years	Destroy	
Report papers used in the course of a fraud investigation	After legal proceedings have been completed	6 years after legal proceedings have been completed	Destroy	An investigation is a piece of internal audit work which falls outside regular planned internal audit work. Audit report papers used in the course of a fraud investigation should be kept 6 years after legal proceedings have been completed.
Other Audit Reports	Final agreement by Secretariat Audit & Risk Committee (SARC)	3 years	Destroy	

	Terms of reference	Completion of audit	3 years	Destroy	
	Programmes/Plans /Strategies	Last date of plan	1 year	Destroy	
	Minutes of meetings and related papers including those of Audit Committee	End of parliamentary year	3 years	Destroy	SARC retain permanently.
	Correspondence	End of parliamentary year	3 years	Destroy	
	Working Papers	Completion of Audit	3 years	Destroy	
	Internal audit guides	When superseded	When superseded	Destroy	
	Local auditing standards	When superseded	When superseded	Destroy	
	Manuals and guides relating to Departmental procedures	When superseded	When superseded	Destroy	
	SARC Annual Report	On approval	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	
	Annual Report to Accounting Officers	On creation of record	3 years	Determined on review	
Planning					
Strategic & Business Planning				The activities involved in developing the NI Assembly's strategic plans.	
	Strategic & Business Planning - key records	When plan superseded	10 years	Destroy	Strategic & Business Planning - key records.

Strategic & business Planning - working papers	Publication of plan	6 years	Destroy	Strategic Planning - working papers.
Corporate Plan	Close end of financial year	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	
Corporate Plan - working papers	Publication of plan	6 years	Destroy	
Directorate Plan	Close end of financial year	6 years	Determined on review	
Business Performance Management			The activities involved in monitoring the NI Assembly's key performance indicators, benchmarking and monitoring performance against strategic plans. Activities include developing performance.	
Reports on NI Assembly performance	On production	10 years	Destroy	Includes Clerk's monthly report to the Commission.
Data and analysis of performance	On production	10 years	Destroy	Data on, and analysis of, the NI Assembly's performance against the strategic plan.
Monitoring statistics and reports	End of financial year	6 years	Determined on review	Internal monitoring of performance, includes exception reports.
NI Assembly Commission Annual Report	On production of final approved report	20 years	PRONI Permanent Preservation	PRONI currently on circulation list.
Background papers of annual report	On production of final approved report	3 years	Destroy	
Policy & Procedures				
Corporate	When superseded	6 years Master set (held by policy/procedure owners)	Destroy	The activities involved in developing and establishing strategic or high level policies and procedures. Includes drafts documenting significant changes. Includes Equality, Freedom of Information; records management; data protection; procurement; finance; HR; Health and Safety, etc.

Low-level / Office	When superseded	6 years	Destroy	Activities involved in developing and establishing office or low-level policies and procedures.
Working papers (development)	Approval of policy / procedure	2 years	Destroy	
Consultation documents	End of mandate	6 years	Determined on review	
Organisational Development				
Structure Charts, correspondence regarding restructuring	When superseded	6 years	Destroy	
Survey Information	When superseded	6 years	Determined on review	Information regarding Members' and staff surveys. Includes survey report, action plan, monitoring reports and meeting papers.
Response to Questions raised by Staff	When response issued	1 year	Determined on review	Held on database permanently.
Business Continuity				
Business recovery plans Disaster plans	On production	Until superseded	Destroy	The activities involved in anticipating incidents which would disrupt the NI Assembly's operations and in developing response and recovery plans. Records documenting the formulation, testing and maintenance of disaster and recovery plans.
Business continuity reports on exercises / incidents	End of exercises/ incidents	6 years	Destroy	Records documenting responses and experiences from business continuity exercises and incidents.
Risk Management				
Corporate Risk Register	On approval	10 years	Determined on review	The activities involved in managing risks to the viability or success of the NI Assembly. This includes exception reports and working papers in relation to preparation of corporate risk register.
Assurance Statements in relation to corporate risk register	On approval	6 years	Determined on review	

Secretariat Audit and Risk Committee Meetings	On approval	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Includes agenda, minutes and papers submitted.
SARC Annual Report	On approval	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	
External Relations/Partnerships				
Visits and meetings	End of visit/meeting	6 years	Determined on review	(Invitations, travel and accommodation arrangements, itineraries and programmes, visit reports, letters of thanks, etc).
Project Governance				
Projects – Corporate				
Records documenting the design of projects and preparation of formal proposals				
Approved	Completion of project	10 years	Destroy	
Rejected or deferred	Completion of project/project proposal	6 years	Destroy	
Business Case (Project initiation documents (PID) and supporting documentation)	Completion of project	10 years	Destroy	The justification for undertaking a project, defining the benefits which the project is expected to deliver and the constraints within which the project is required to operate. Records relating to major projects may be kept for second review (25 years).
Records documenting the management of projects	Completion of project	10 years	Destroy	Plans and specifications (statements of requirements, operational requirements, technical plans, resource plans, and budgets, etc). Reports (stage assessments, quality reviews, highlight reports, GANTT charts).
Financial records of projects				Please refer to Financial Management section . Financial records are managed by Finance Office; any duplicate information maintained outside the Finance Office should be treated as convenience copies.

	Feasibility studies	After issue	10 years	Determined on review	Reports, draft reports, working papers and correspondence. Records relating to major projects may be kept for second review (25 years).
	Project Boards	After date of last paper	6 years	Determined on review	Assessment meetings, etc. Minutes and correspondence.
	Management Meetings	On agreement of minutes	6 years	Determined on review	Includes Employee Relations Board Meetings. Internal Communications Group included.

Human Resources

Planning

Job Evaluation

Personnel Files

Sick Absence / Health

Staff Performance, appraisal and development

Discipline

Grievance & Dignity at Work

Recruitment

HR PolicyMonitoring

Training & Development

Employee Relations

Payroll / Pension Administration for Secretariat Staff

Members' Payroll / Pension Administration

Members' Staff, Pooled Staff & Party Support Staff

Travel

Public Appointments

Record	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Planning				
Assessment and analysis of workforce requirements	End of calendar year	3 years	Determined on review	The activities involved in identifying the workforce competencies and numbers required to implement the NI Assembly's strategic plan and determining how to meet these requirements. Activities include analysing and reporting on the size, composition, structure and competencies of the Assembly's workforce.
Members' handbook	On production of the handbook	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	
Job Evaluation				
Pay and grading	When superseded	6 years	Determined on review	Activities include developing role descriptions and conducting role evaluations to assign roles to grades in a salary structure.
Personnel Files				
Written particulars of employment	On production	Until 76, or 6 years after leaving (whichever is later)	Destroy	Contracts of employment. Changes to terms and conditions, includes application forms, variation of hours, recruitment and selection documents, promotion / deputising and/or substitution documentation, resignation, retirement or termination letter.
Job History	On production	Until 76, or 6 years after leaving (whichever is later)	Destroy	Consolidated record of whole career and location details.
Current address details	On production	6 years after leaving	Destroy	

Qualifications / references	End of employment	6 years after leaving	Destroy		
Working Time Directive opt out forms	After opt-out has rescinded or has ceased to apply	3 years	Destroy		
Records required for pension purposes	Termination of employment	Until 76, or 6 years after leaving (whichever is later)	Destroy		To include grade, salary, written particulars of appointment, health/welfare records, sick absence.
Sick absence / Health					
Sick Absence	After last action on absence or related management intervention	Until 76, or 6 years after leaving (whichever is later)	Destroy		Medical / Self Certificates.
Adjustment to work place	End of Employment	Until 76, or 6 years after leaving	Destroy		
Health referrals, including medical reports from doctors and consultants, correspondence with Occupational Health	End of Employment	6 years after leaving (whichever is earlier)	Destroy		
Welfare Papers	After last action on absence or related management intervention	6 years	Destroy		

Papers relating to injury on duty	On production of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Includes medical certificates in relation to injury on duty.
Medical reports of those exposed to a substance hazardous to health, including:				
Lead (Control of Lead at Work Regulations 1980)	Date of entry	40 years	Destroy	
Asbestos (Control of Asbestos at Work Regulations 1996)	After last record	40 years	Destroy	
Compressed Air (Work in Compressed Air Regulations 1996)	After last entry	40 years	Destroy	
Radiation (Ionising Radiation Regulations 1985)	After last entry	50 years	Destroy	
Staff performance, appraisal and development				
Annual / Performance review reports for the last 3 reporting years	After end of reporting period	3 years	Destroy	
Summary of performance marks for period of employment	End of employment	6 years after leaving	Destroy	
Personal development plan	End of reporting year	1 year	Destroy	Held by Learning and Development co-ordinators within Directorates.

Discipline					
	Papers relating to disciplinary action that has resulted in any change to terms and conditions of service, salary, performance pay or allowances	After last action	Until 76, or 6 years after leaving (whichever is later)	Destroy	
	Other disciplinary files where action did not result in any change to terms and conditions of service, salary, performance pay or allowances.	After last action	2 years	Determined on review	
Grievance / Dignity at Work					
	Case files (correspondence, minutes, etc)	Closure of case	6 years	Destroy	Includes tribunal papers.
	Mediation Notes	On production	End of mediation process	Destroy	Notes are generally not taken during mediation. However, if notes are required a copy will be provided to all parties. All notes will be destroyed at the end of the mediation process.
Recruitment					
	Recruitment authorisation	Closure of merit list	1 year	Destroy	
	Vacancy advertisement and enquiries	Closure of merit list	1 year	Destroy	Includes request for application forms and interest circulars.
	Interview notes for non appointed applicants	Closure of merit list	1 year	Destroy	
	Applications for non appointed applicants	Closure of merit list	1 year	Destroy	

	Interview notes for non appointed applicants	Closure of merit list	1 year	Destroy	
	Health Declaration	End of Employment	6 years after leaving (whichever is earlier)	Destroy	Includes referrals to OHS for medical.
	Public Appointments for appointees	End of Employment	1 year	Destroy	IFRP, SARC.
	Public Appointments – non appointees	End of merit list	1 year	Destroy	IFRP; SARC appointments of Members.
HR Policy					
	Handbook	When superseded	6 years	Destroy	
	Surveys	Closure of survey	6 years	Destroy	
	Circulars	When superseded	6 years	Destroy	
Monitoring					
	Equal opportunities (monitoring forms)	Completion of annual return	3 years	Destroy	Information held electronically. Base forms held to resolve any queries at time of return completion.
Training & Development					The activities involved in providing training and development for NI Assembly employees.
	Development of training and development programmes including induction	When superseded	1 year	Determined on review	Includes central training record, training material, training administration.
	Proof of completion (certificates, awards, exam results, etc.)	On completion	6 years after leaving	Destroy	Includes support through Further Education.

	Training feedback	Completion of analysis of feedback	Completion of analysis of feedback	Destroy	
	Analysis of the impact of training and development programmes	On completion of relevant annual training report	1 year	Destroy	
Employee Relations					
	Trade Union agreements	End of period to which agreement applies	1 year	Determined on review	Joint agreement e.g. working arrangements.
	Trade Union Meetings	Close at end of financial year	3 years	Determined on review	Agenda, minutes, papers.
	Pay and conditions	When superseded	6 years	Determined on review	Documents detailing negotiation with Trade Union regarding pay and conditions. This includes policy issues.
Payroll / Pension Administration FOR SECRETARIAT STAFF					
	Bank details – current	Termination of employment	End of financial year after leaving	Destroy	
	Death certificates	On receipt of record	6 financial years after death	Destroy	Return original copy to provider, copy to be retained.
	Decree absolutes	On receipt of record	6 years after leaving)	Destroy	Return original copy to individual, copy to be retained.
	Marriage certificates and documentation relating to civil registration	On receipt of record	6 years after leaving	Destroy	Return original copy to individual, copy to be retained.
	Unpaid leave periods	On production of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Includes parental leave and time off for dependants. Forms part of summary documentation.

Statutory maternity pay documents	After return to work	6 years	Destroy	
Other maternity pay documents	After return to work	18 months	Destroy	Forms part of summary documentation.
Overpayment documentation	After repayment or write-off	6 years	Destroy	
Personal payroll history	On production of record	Until 76	Destroy	Includes: record of pay, performance pay, overtime pay, allowances, pay enhancements, other taxable allowances, payment for untaken leave, reduced pay, maternity pay, unpaid leave periods, Occupational sick pay periods (full, half & off pay), Pension Rate Of Pay. Only summary information held.
Employee details for pension purposes	On production/receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Includes: Full name and date of birth; National Insurance number; Pensionable pay at leaving; Reckonable service for pension purposes (and actual services where this is different, together with reasons for the difference); Reason for leaving; Personal payroll history summary; Correspondence with other pension administrators, or the staff member and his/her representatives about pension matters.
Resignation, termination and/or retirement letter	On receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Only dates of such are held in a summary document.
Redundancy details	On production/receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Includes: calculations of payments, refunds, notification.

Added years	On production/receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	
Additional Voluntary Contributions (AVC)	On production/receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Forms part of summary record.
Statutory Sick Pay (SSP) forms	On receipt of record	For last 6 years	Destroy	
Authorisation for deputising/temporary promotion, substitution allowance and/or overtime/travel related claim	On payment	6 years	Destroy	Claim form and includes TOIL (time off in lieu).
Confirmation of TOIL	After event	6 years	Destroy	
Members' Payroll / Pension Administration				
Bank details – current	Termination of employment	6 financial years after leaving	Destroy	
Death benefit Nomination and Revocation Forms	On receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	
Death certificates	On receipt of record	Until 76, or 6 years after death	Destroy	Return original copy to provider, copy to be retained.
Decree absolutes	On receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Return original copy to individual, copy to be retained.

Marriage certificates and documentation relating to civil registration	On receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Return original copy to individual, copy to be retained.
Unpaid leave periods	On receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	
Statutory maternity pay documents	After return to work	6 years	Destroy	
Other maternity pay documents	After return to work	6 years	Destroy	
Overpayment documentation	After last action	6 years after repayment or write-off	Destroy	
Personal payroll history	On production /receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Includes: record of pay, allowances, pay enhancements, other taxable allowances, reduced pay, no pay, maternity pay.
Pension awards	On production /receipt of record	Until 76, or 6 years after leaving (whichever is later)	Determined on review	

Members' details for pension purposes	On production /receipt of record	Until 76, or 6 years after leaving (whichever is later)	Determined on review	Includes: Full name and date of birth; National Insurance number; Pensionable pay at leaving; Reckonable service for pension purposes (and actual service where this is different, together with reasons for the difference); Reason for leaving; Amount and destination of any transfer value paid; Amount and date of any Contributions Equivalent Premium paid; All other papers relating to pension not listed above (e.g. papers about pension of other employment; papers about other dependant's pensions; Correspondence with pension administrators, or the individual and his/her representatives about pension matters. Includes amount and date of any refund of contributions paid.
Resignation, termination and/or retirement letter	On production /receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	
Additional Voluntary Contributions (AVC)	On production /receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	
Statutory sick pay forms (SSP)	On production /receipt of record	For last 6 years	Destroy	

Authorisation for substitution allowance and/or overtime / travel related claim	On payment	6 years	Destroy	Claim form.
Members' Support Staff; Pooled Staff & Party Support Staff				
Written particulars of employment	On production /receipt of record	Until 76, or 6 years after leaving (whichever is later)	Destroy	Contracts of employment; Changes to terms and conditions.
Current address details	Termination of employment	Until 76, or 6 years after leaving (whichever is later)	Destroy	
Variation of hours	Agreement of calculation	Until 76, or 6 years after leaving (whichever is later)	Destroy	Calculation formula for individual.
Records required for pension purposes	Termination of employment	6 years after leaving	Destroy	HR facilitate only by making pay-overs to relevant pension company. Information held is details of policy and dates and amounts of payments made.
Papers relating to injury on duty	On production /receipt of record			See Insurance details – under Finance
Instruction from Members (as the employer) regarding leave and attendance of staff (sick leave)	End of financial year	6 years	Destroy	
Bank details – current	Termination of employment	6 years after leaving	Destroy	
Unpaid leave periods	On production /receipt of record	6 years after leaving	Destroy	Includes parental leave and time off for dependants.

Statutory maternity pay documents	After return to work	6 years	Destroy	
Other maternity pay documents	After return to work	6 years	Destroy	
Overpayment documentation	After last action	6 years after repayment or write-off	Destroy	
Personal payroll history	On production /receipt of record	6 years after leaving	Destroy	Includes: record of pay, performance pay, overtime pay, allowances, pay enhancements, other taxable allowances, payment for untaken leave, reduced pay, no pay, maternity pay.
Resignation, termination and/or retirement letters	On receipt of record	6 years after leaving	Destroy	
Redundancy details	On production /receipt of record	6 years after leaving	Destroy	Includes: calculations of payments, refunds, notification.
Payroll input forms	On approval	6 years	Destroy	
Bonus nominations	On approval	6 years	Destroy	
Dates of sick absence	On production /receipt of record	6 years after leaving	Destroy	
Statutory Sick Pay (SSP) forms	On receipt of record	For last 6 years	Destroy	
Papers relating to disciplinary action which has resulted in any changes to terms and conditions of service, salary, performance pay or allowances	After last action	6 years after leaving	Destroy	
Travel				
Travel authorisation forms	On completion of audit	2 years	Destroy	For Secretariat Staff.

	Travel supporting documentation	On completion of audit	2 years	Destroy	For Members' and Secretariat Staff.
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Public Appointments

	Details of the successful applicant	On receipt of record	Term of the appointment	Destroy	
	Payroll Details	End of appointment	6 years	Destroy	

Information and Outreach

Communications & Information Standards
 Broadcasting
 Website

Outreach and Education
 Youth Parliament
 Events
 External Liaison

Research and Library (follows in separate section)
 Information Systems (follows in separate section)

Record	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Media Relations				
Press Briefings	Date of Briefing	End of mandate	Determined on review	Briefings will take place on a weekly basis.
Communications Plans	Date of event	End of mandate	Delete	Exceptions made for plans significant events – e.g. visit of Prime Minister or US President.
Press Enquiries	End of session (once enquiry resolved)	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	The activities involved in managing the NI Assembly's communications with and through the media. Records containing correspondence between the NI Assembly and the enquirer, details of who handled the request and how the request was resolved. Includes media lines. Held on press enquiries database.
Enquiry of long-term operational Value	End of session	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Summaries of enquiry responses, anonymous data of long-term operational value.

Media cuttings including transcripts	Date of publication	End of mandate	Destroy	Activities involved in monitoring the media coverage of the NI Assembly. Significant transcripts may be held and will be determined by Communications Officer. NOTE: Record of destruction not required for press cuttings.
Press releases	Date of publication on website	Current and previous mandate	Destroy	The activity involved in managing the Assembly's communication with and through the media and includes Committee press releases, video news releases and media briefing papers.
Image Library	Date of picture being taken	End of mandate	Determined on review	Images of long-term value to the NI Assembly should be maintained for permanent preservation. Images to be transferred to PRONI should be transferred as soon as possible after capture. All other images should be weeded regularly.
Media contacts	When superseded	When superseded	Destroy	
Information Standards (includes Information Management)				
Freedom of Information & Environmental Information Regulations				
Case file: records detailing the Fol /EIR request, the consideration of possible exemptions and subsequent appeals	Passing of review deadline (3 months)	3 years	Determined on review	Records containing correspondence between the NI Assembly and the enquirer, details of who handled the request, how the request was researched and how the request was resolved, including any subsequent appeals for review.
Case files including access decisions	Passing of review deadline or Commissioner decision	6 years	Destroy	Details of case file relating to a decision being made by the ICO following an investigation.
Fol Disclosure log	Last action	3 years	Destroy	

Publication Scheme	When superseded	6 years	Destroy	Records documenting the development and maintenance of the NI Assembly's Publication Scheme as required by the FoI Act 2000.
Records Management				
Information Audits & Records Surveys	Last action	6 years	Destroy	
Records Retention and Disposal schedule	When superseded	When superseded	NI Assembly Permanent Preservation	List of NI Assembly records series and how long each series must be kept before it may be disposed of.
Guides, manuals and instructions on the management of records	When superseded	When superseded	Destroy	
Data Protection				
Subject Access Requests	Last action	6 years	Destroy	Correspondence and associated papers relating to the receipt of and processing of formal Subject Access Requests made under the provisions of the Data Protection Act 1998.
Notification	Notification expiration	6 Years	Destroy	Records documenting the NI Assembly's notification of data controller details to the Information Commissioner.
Broadcasting				
Recording of Committee Meetings	End of session	End of session	Determined on review	
Recordings of Parliamentary proceedings	On production of record	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	The full and authoritative audio-visual recording of proceedings in the NI Assembly and its Committees.
Recordings of events	End of session	End of session	Determined on review	Full audio visual recordings of events (e.g. Remembrance Service) and significant visits (e.g. Hillary Clinton visit) held in the NI Assembly.

Website	End of mandate	Retain Current mandate & 2 previous mandates	Determined on review	Archive of website retained to include: Minutes of meetings, Official Report (Hansard), Forward work programme, Business Diary. PRONI capturing a record of website three times a year from 2010. This includes links but not video or third party information.
Internal Publications	On production	12 months	Determined on review	Includes Internal Staff magazine, etc.
Guidance Documents Media Guide Style Guide EIS Guidelines	When superseded	When superseded	Destroy	
Outreach and Education				
Communication Events and presentations	End of Mandate	1 year	Determined on review	The activities involved in developing new partnerships aimed at working with specific groups who are underrepresented in parliamentary engagement e.g. Road shows, community outreach.
Tours and visits	End of visit	1 year	Destroy	Records documenting the organisation and administration of visits by schools, colleges and universities. Includes outreach visits. Activities include: planning programmes/itineraries; arranging venues, catering, security, transport etc.; reviewing visits, writing reports on visits.
Education programmes	When superseded	2 years	Determined on review	The activities in developing curriculum material and resources, including innovative methods to engage young people in the work of the NI Assembly. Includes special education resources.
Enquiries/information requests	End of calendar year	1 year	Destroy	The activities involved in responding to requests for information concerning Education and Outreach services.

Education and outreach publications	On production of publication	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Learning and teaching resources published by Education / Outreach.
Information enquiries through the website	Close when completed	1 month	Destroy	Request for information received via Education site.
Forms / questionnaires received via the website	Extract information required for monitoring purposes	1 month	Destroy	Feedback form; Work experience questionnaires; Education Service feedback form.
Responses to public enquiries / media enquiries	On response	3 months	Destroy	Public / media enquiries.
Youth Parliament				
Meetings	End of calendar year	6 years	Determined on review	
Successful Application Forms	On appointment of youth panel	1 year	Destroy	
Unsuccessful Application Forms	On appointment of youth panel	1 year	Destroy	
Administration	End of mandate	1 year	Determined on review	Administration of appointing Youth Parliament – correspondence regarding appointments, nominations and arrangement of meetings.
Education Resources	When superseded	1 year	Determined on review	Education DVD, curriculum material.
Reference / Guidance Material	When superseded	When superseded	Determined on review	
Contact Details	When superseded	When superseded	Destroy	
Statistics	End of session	6 years	Determined on review	Statistics of visits and attendance.
Student Placements				

Work Experience Student Placements	On completion of placement	1 month	Determined on review	Student details and correspondence regarding placement.
Work experience application forms	End of placement	Retain until the end of the academic year	Destroy	If applicants do not accept placement offer the application form will be destroyed following confirmation from applicant.
Bursary Student Education Programme	On approval of programme	1 year	Determined on review	Includes course key milestones.
Bursary Student Administration of appointment	On completion of placement	6 months	Determined on review	
Indemnity forms	On receipt	3 years	Destroy	Retained for insurance purposes
Work experience feedback questionnaire	On receipt	1 year	Determined on review	No personal details held. Forms retained for monitoring of the work experience programme only.
Events				
Events	End of event	6 years	Determined on review	Records consisting of event plans, guest lists, and briefs. Records concerning significant* events should be offered to PRONI. *significant events include events attended by political leaders, Heads of State, global figures and events involving Education and Outreach – will require judgment from Events and Education staff. Note: the Finance Office retention schedule should be referred to for original finance records.

Event Administration	End of event	2 years	Destroy	The activities involved in organising events include: determining dates and times; arranging venues, catering security etc.; planning programmes; designing publicity materials (e.g. Brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; reviewing events; writing reports on events.
Declined Events	End of mandate	1 year	Determined on review	Documentation supporting decisions.
Exhibitions	When superseded	When superseded	Destroy	The activities involved in organising exhibitions held by the NI Assembly.
Guest details	Date of the event	1 day	Destroy	Guest names and vehicle details.
Event feedback form	Receipt of form	2 weeks	Destroy	This includes Tour, Function, Event and Business Trust feedback forms. Information is gathered for monitoring purposes and service rating information only extracted.
External Liaison				
Official visits and events	End of visit	6 years	Destroy	Records consist of programmes, briefings and correspondence concerning visits by officials from the NI Assembly and visits to the NI Assembly. Visit programmes concerning *significant visitors/visits e.g. VIP visits should be offered to PRONI.

Significant Visitors including Political leaders, heads of state and global figures	End of visit	6 years	Determined on review	<p>These records will require a judgement from External Liaison Unit staff</p> <p>Visit programmes and visit reports concerning significant* visits by the Clerk/Chief Executive should also be offered to PRONI.</p> <p>*Significant visits include parliaments and high profile venues and events. Includes visits by Assembly Business Trust, Commonwealth Parliamentary Association, British Irish Parliamentary Association.</p>
Meetings	End of session	6 years	Determined on review	Minutes of meetings including Assembly and Business Trust (includes AGM), Commonwealth Parliamentary Association (CPA), British-Irish Parliamentary Association (BIPA).
Meeting Administration	Date of meeting	2 years	Destroy	Information necessary for the organisation of Committee Meetings & events.
Publications and leaflets	When superseded	When superseded	Destroy	

Research & Library

Requests & Responses
Seminars

Examples	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Requests & Responses				
Members' queries and response	Close when completed	10 years	Determined on review	
Committee requests and response	Close when completed	6 years	Determined on review	
Secretariat requests and response	Close when completed	6 years	Determined on review	
Research Publications	Close at the end of financial year	10 years	Determined on review	
Briefing Notes	End of session	10 years	Determined on review	
Seminars				
Planning and materials	Close when completed	10 years	Destroy	Includes, for example, Inter-parliamentary research and information network.

Financial Management

Asset Management
 Budget
 Statutory Accounting
 Book-Keeping
 Members' Financial Services

Records	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Asset Management				
Fixed Asset Records	End of financial year	6 years	Destroy	Records documenting the value of the NI Assembly capital assets.
Records documenting decisions (and authorisation) to dispose of capital assets	End of financial year	6 years	Destroy	
Asset Management Project files	Completion of project	6 years	Destroy	Closed at end of project.
Budget				
Records – for preparation of budget	On approval of budget	2 years	Destroy	
Actual v budget reports – monthly expenditure reports	On approval of budget	4 years	Destroy	

Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances	End of financial year (on completion of audit)	2 years	Destroy	
Statutory Accounting				
Final copy of accounts	On approval of budget	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	
Accounting schedules & working papers	On approval of budget	6 years	Determined on review	
Book-keeping				
Gifts & Hospitality records	On receipt	6 years	Destroy	Details of official engagements both attended and declined by the Secretariat – held centrally by Finance Office.
Journals	On approval at end of financial year	6 years	Destroy	Closed at the end of financial year.
Banking Records	On approval at end of financial year	6 years	Destroy	Paid cheques, lodgements, stop notices, cancelled cheques, BACS reports, queries and correspondence.
Suspense Account Records	On approval at end of financial year	6 years	Destroy	
Outstanding Invoices Reports	On approval by audit	On approval by audit	Destroy	
Creditor Payment Statistics	On approval by audit	On approval by audit	Destroy	

VAT Returns	On approval at end of financial year	6 years	Destroy	
Pay run Reports (BACS payments including payroll and cheque payments)	On approval at end of financial year	6 years	Destroy	
Creditors payments – Invoices	On approval at end of financial year	6 years	Destroy	
Creditor (supplier) set ups	On approval at end of financial year	6years	Destroy	
Secretariat expense claims	On approval at end of financial year	6 years	Destroy	
Secretariat travel claims	On approval at end of financial year	6 years	Destroy	
Bank reconciliations	On approval at end of financial year	6 years	Destroy	
Reconciliation of Salaries	On approval at end of financial year	6 Years	Destroy	
Procurement card statements	On approval at end of financial year	6 years	Destroy	

Procurement card Transaction Reports	On approval at end of financial year	6 years	Destroy	
Procurement card Application Forms	On receipt of application form	Until card expires	Destroy	
Members' Financial Services				
Members' Travel Claim Forms	On approval at end of financial year	6 years / 1 complete mandate (whichever is later)	Destroy	
Members' OCA Claim Forms	On approval at end of financial year	6 years / 1 complete mandate (whichever is later)	Destroy	(Including PIID forms).
Party Allowance Claim Forms	On approval (Closed 2 years after last entry)	6 years / 1 complete mandate (whichever is later)	Destroy	
Whips Allowance Claim Forms	On approval (Closed 2 years after last entry)	6 years / 1 complete mandate (whichever is later)	Destroy	
Constituency Office Rent agreements	On vacation of premises	6 years / 1 complete mandate (whichever is later)	Destroy	

Reconciliation of Salaries	On approval	6 years / 1 complete mandate (whichever is later)	Destroy	
Details of Salary payments & Commitments	On approval / completion of audit	1 year	Destroy	Includes labour cost reports.
Travel Details MMA 1	When MLA ceases to be an MLA or moves address	2 years	Destroy	
Telephone Details (MLA contact details i.e. constituency office addresses, phone numbers etc.)	When MLA ceases to be an MLA or moves address	2 Years	Determined on review	Telephone details – necessary for authorisation of telephone bills.
Insurance documents	On receipt of record	10 years	Determined on review	

Legal Services

Legal Advice Outputs
 Contracts
 Conveyance
 Constitutional advice and advice on the operation of the NI Assembly
 Employment matters
 Litigation
 Management

Record	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
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Legal advice output				
Legal advice output	Creation	24 years	Determine upon review	All legal advice output on all Legal Services' professional files.
Contracts				
Contracts	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger	Determine upon review and in consultation with procurement	The legal activities in managing the processes associated with negotiation, establishment, maintenance and review of contracts.
Contracts - agreement	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger	Determine upon review and in consultation with procurement	The legal process of agreeing terms between organisations e.g. Service level agreements.

Contracts - pre contracts advice	On completion	Until end of successive contract and in any case no less than 6 years from trigger	Determine upon review and in consultation with procurement	The legal process of calling for expressions of interest.
Conveyance				
Conveyance - purchase	On completion	12 years	Determine upon review	The process of changing ownership of land or property – purchase.
Conveyance - sale	On completion	12 years	Determine upon review	The process of changing ownership of land or property – sale.
Conveyance - title deeds	On completion	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	The process of changing ownership of land or property - title deeds.
Constitutional advice and advice on the operation of the NI Assembly				
Legal interpretation and advice	On completion	24 years	Determined on review	The activities associated with interpreting legal provisions that apply to the NI Assembly Secretariat and providing opinions and advice on legal matters to the NI Assembly and Committees. Records documenting advice requested by, and provided to, the NI Assembly concerning: <ul style="list-style-type: none"> ■ interpretation of legislation affecting the NI Assembly Secretariat's legal framework, governance, responsibilities or operations ■ proposals for new legislation affecting the NI Assembly Secretariat's legal framework, governance, responsibilities or operations ■ the NI Assembly Secretariat's relationship with external bodies.
Advices on Legislation	On completion	24 years	Determined on review	Advice concerning legislation: Bills, Legislative competence, Statutory Instruments.

Employment matters				
Advices on human resources matters – non litigation	On completion	6 years	Determine on review	Advice on human resources and industrial relations matters.
Advices on employment litigation	On completion	6 years	Determine upon review	Litigated employment matters.
Litigation (Corporate Matters)				
Litigation	On completion	6 years	Determined on review	The process of managing, undertaking or defending for or against litigation (eg. Damages claim, judicial review, breach of contract, freedom of information as well as any records which have been prepared in response to litigation) on behalf of the NI Assembly Secretariat which does not set legal precedents.
Litigation - legal claims	Completion and determination of matter whether date of settlement or formal withdrawal of complaint	6 years	Determined on review	The activities involved in handling claims by or against the NI Assembly Secretariat which do not proceed to litigation or settlement by an agreement.
Litigation - legal precedents	On completion	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Records documenting litigation between the NI Assembly Secretariat and third parties where legal precedents are set.
Management				
Internal management files	As per Secretariat Records Management Policy	As per Secretariat Records Management Policy	Determined on review	
Operational and strategic management files	As per Secretariat policy	As per Secretariat policy	Determined on review	

	Intra Secretariat liaison	As per Secretariat policy	As per Secretariat policy	Determined on review	
	External liaison files	As per Secretariat policy	As per Secretariat policy	Determined on review	

Information Systems

IT Systems Management & Development
 IT Systems User Support
 Secretariat Request Forms
 Data Management
 Contract Management
 ICT projects
 Inventory

Records	Trigger (event that prompts start of Retention period)	Retention Period	Final Action	Notes
IT Systems management & development				
3 rd Party Systems (Operational documentation)	Last action	6 years	Destroy	
In-house applications	On production of record	Lifetime of application	Destroy	
Manuals	Lifetime of application	1 year	Destroy	
Operations Logs	Closed daily	6 months	Destroy	Log of activity on the network, including Internet and email, log on and log off details.
Records of the operational management of IT systems	Decommission of system	1 year	Destroy	Includes change controls, requests for change, modifications and maintenance of the IT system.
New IT account requests	Completion of account creation	2 years	Destroy	
Tracking Logs	On production of log	1 year	Destroy	

Software development	On receipt of record	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Software lifecycle documentation.
Records of the routine testing and monitoring of the operation of IT systems, and action taken to rectify problems and optimise performance	Used on rolling year basis	1 year	Destroy	Systems log.
Records of software licences for live IT systems	End of licence	6 years	Destroy	
IT Systems User Support				
Records of faults reported by users of IT systems and action taken to investigate and resolve faults (help desk transaction records)	Lifetime of equipment used	1 year	Determined on review	The activities involved in handling fault reports from IT users and the action taken to resolve reported faults and includes retrieval of information requests.
Secretariat Accounts	On creation of account	When superseded	Destroy	
Party Support Accounts	Close at end of mandate	End of mandate	Destroy	At the end of a mandate all Party Support accounts are closed. The party whip reviews this information following election and advises accounts to be reactivated.
Secretariat Request Forms				Includes access authorisation.
Requests for access to sensitive information	On receipt of request form	Lifetime of application	Destroy	E.g. CINTRA system etc.
Routine request forms	Close when completed	2 years	Destroy	Information not of a sensitive nature – this could be confirmed by authoriser.

Members' / Party Support Requests	Close at end of mandate	2 year	Destroy	
Data Management				
Back-up tapes				
Daily back-up tapes	End of current day	1 week	Destroy	Tapes are overwritten when reused.
Weekly back-up tapes	End of current week	1 month	Destroy	Tapes are overwritten when reused.
Monthly back-up tapes	End of current month	6 months	Destroy	Tapes are overwritten when reused.
Operation of data back up and archiving routines	From date of record	1 year	Destroy	Recorded daily.
Email tracking / monitoring log	On production of log	1 year * (please see notes section)	Destroy	As noted in update for Info Assurance Policy. *In the event of an investigation within the NIA in regards to e.g. unauthorised disclosure, email tracking /monitoring log should NOT be disposed until the investigation or inquiry is complete.
SharePoint audit log	On production of log	1 year	Destroy	*In the event of an investigation within the NIA in regards to e.g. unauthorised disclosure, email tracking /monitoring log should NOT be disposed until the investigation or inquiry is complete.

Contract Management	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	The activities involved in recording the performance of contractors throughout the lifetime of the contract. Additional contract information held by the Contract Manager i.e. copy contracts etc. should be destroyed at the end of the contract. The Procurement Office is responsible for maintaining original contract records. See Procurement for further information regarding Contract Management.
ICT Projects				
Project Documentation (PIDs, briefs, plans, framework documents etc)	Close on completion	6 years or 1 year past life of system (whichever is greater)	Determined on Review	Includes installation and testing, specifications.
Inventory				
Record of Loss/Disposal	Loss / disposal of item	6 years	Determined on Review	
AIMS System	On production of record	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	Assembly Information Management System (AIMS) Information on MLAs and the procedural business of the Assembly; lists of Members' parliamentary or constituency office contact details based on name, party, constituency or Committee; Register of Interests for Members; All Plenary Business from 1998; Plenary Business can be reported on through 14 reports, i.e. Division Voting by Party/Member, Plenary Business tabled by Party/Member, Motions tabled, Adjournment Debates etc.

SharePoint Pilot - Audit log for particularly sensitive information (as identified by the Committee)	On production of record	1 year	Destroy	*In the event of an investigation within the NIA in regards to e.g. unauthorised disclosure, SharePoint tracking /monitoring log should NOT be disposed until the investigation or inquiry is complete.
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Procurement

Initial Proposal
 Selection of suppliers
 Monitoring of supplier performance

Record	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Contract Documentation	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Determine upon review and in consultation with Legal Services	Business case/requisition, Contract advertisement, Draft specification, Agreed specification (Pre-qualification questionnaire; includes evaluation), Evaluation criteria, Invitation to tender, Non-competitive action, Contracts under SLA, Ordinary contracts, Successful tenders, Final contract award, Award letter, signed contract and any other additional documents forming part of the contract, Successful statements of interest, final award contract, Contract management documents (SLA), Amendments to contracts.
Unsuccessful Statements of interest	Contract award	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	Pre-qualification questionnaire; Note: includes evaluation.

	Unsuccessful tenders	Contract award	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	
	Evaluation meetings and forms	End of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	Interview panel report and notes of proceedings, including commissioning letter.
Monitoring of supplier performance					
	Reports from contractors	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	
	Schedules of work	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	
	Surveys and inspections:				

Equipment and supplies	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	
Buildings	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Review	
Complaints	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	
Payment disputes	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	
Final accounts	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	

	Minutes and papers of meetings	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Determined on Review	
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It is important that a record of all contracts and related transactions is kept. The files must contain a complete and accurate record of all internal and external documentation so that the stages and reasoning of the transactions are apparent.

Health & Safety

Accidents
Monitoring of working environment
Risk assessment
Fire Safety

Record	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Accidents, incidents and dangerous occurrences	Last action	6 years (if claim made – 6 years after claim settled)	Determined on review	The activities involved in recording and investigating near-misses, injuries, diseases and dangerous occurrences.
Monitoring of working environment	Last action	6 years	Destroy	
Risk assessments	Last action	6 years	Destroy	Risk assessments conducted by NI Assembly and /or contractors.
Inspection and audit reports	After issue	6 years	NI Assembly Permanent Preservation	The activities involved in inspecting common areas and offices. Includes audit reports.
Fire safety risk assessments	Date of issue	6 years	NI Assembly Permanent Preservation	Records of significant findings of fire assessments and action taken to remove or reduce risk.
Fire safety log	Last action	6 years	Destroy	Records of statutory fire alarm tests and other fire alarm activities.
Fire safety equipment information	Last action	6 years	Destroy	Records concerning fire safety facilities, equipment and devices.
Fire safety evacuation plans	On production of record	When superseded	Destroy	Evacuation plans for Assembly buildings.

Security

Control of access to premises
 Control of removal of property
 CCTV
 Visitor Management System
 Information required for Assembly Pass

Record	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Security Passes, application and photograph	When no longer employed (end of employment / contract)	-	Destroy	Records of security passes issued and actual pass and photograph; parking permits issued.
Media Pass records	When no longer employed (end of employment / contract)	-	Destroy	
Emergency Evacuation Command and Control	On production of record	When superseded	Destroy	Includes procedure for evacuation of Stormont Estate.
Clearance for contractors / consultants	End of clearance and work contract	1 year	Destroy	Records concerning contractor staff and consultants employed.
Theft reports and investigations	End of investigation	6 years	Destroy	
Retained items record including indemnity section	Last action	6 years	Destroy	Record of items found and not claimed. Details are retained for 1 year.
Security reviews and inspections	Last action	6 years	Destroy	
Security advice and guidance	Last action	6 years	Determined on review	

Security incidents & control room logs	End of calendar year	1 year	Destroy	Recording documenting the conduct of routine incidents requiring the attention of Security staff e.g. thefts and action taken and the process of Control room incident logging – including records arising from requests for security assistance and the deployment and management of security resources: <ul style="list-style-type: none"> - Telephone calls - Messages from internal personnel - Messages from external services/agencies - Radio & Telephone calls to/from Security control rooms Note: Incident reports used in investigations should be kept until proceedings have been completed.
Visitor Names	On production of record	3 years	Destroy	Report listing visitor names will be produced every 2 weeks and retained for insurance purposes. Sign-in sheets are used for some events and names are therefore not stored on the VMS. These sheets will be retained by Security Office.
Internal Postal Duties	Completion of rota	1 year	Destroy	Details of rota.
Routine security surveillance	Creation	Maximum 30 days	Destroy	The process of recording moving images (CCTV) for the purpose of security. Note: Recordings used in investigations should be kept until proceedings have been completed.
Non routine surveillance	Request for images/ date of incident	1 year	Destroy	
Access NI forms and certificates	On issue of Access NI certificate	-	Destroy	Certificate provided to individual and only application reference number retained.

Access NI Validation form	On completion of form	1 year	Destroy	On advice from Access NI and to allow NIA to verify on their behalf we must hold this information 1 year. Copy of identification required; Form noting name of individual and name of NIA staff who countersigned the Access NI application and verified identification
Employee Clearance Review panel documentation	On completion of review process	3 months	Destroy	
Contractor clearance review process	On completion of review process	3 Months	Destroy	Management decision not granting contractor pass
Visitor Management System (VMS):				In the event of a request for images or any investigation within the NIA in regards to images, the relevant images should not be disposed until the investigation or inquiry is complete.
Data recorded in Visitor management system as staff and permanent pass holders swipe in and out of the building i.e. time of entry and exit	On collection as individual swipes through the VMS	Until the end of working day	Destroy	
Information required for Assembly pass				
Staff Information	On collection	For duration of employment	Destroy	
Regular Visitor Information (NICS Staff, Press)	On collection	End of mandate	Destroy	
NICS visitors (not regular)	On collection	28 days	Destroy	
One-off visitors inc. Members of the public, non-approved contractors.	On collection	28 days	Destroy	

<p>Information retained for Insurance purposes:</p> <p>Name of all visitors to the building, time of entry to and exit from the building.</p> <p>For functions /events, the name and sponsor details will be retained.</p> <p>This information will be held for regular visitors, contractors, visitors attending function /event /tour/visit)</p>	From date of entry to the building	3 years	Destroy	A report listing visitor names will be produced every 2 weeks and retained for insurance purposes.
Upper car Park requests (one-off requests)	Date of request	6 months	Destroy	
Upper Car Park applications (permit holders)	On production of record	End of employment	Destroy	Application destroyed and details purged from database.
Members' Details for car parking etc.	On production of record	End of Mandate / End of employment		Vehicle details, staff details and information relating to issuing and sponsorship of passes.
Lost passes form	Following receipt of a new pass	3 months	Destroy	
Security Industry Authority (SIA) Licensing	Following receipt of Licence	3 months	Destroy	
Key Logs	On production of record	End of mandate	Destroy	Key allocation and room access database should be purged at the end of a mandate.

	Uniform Details	When superseded	When superseded / until end of employment	Destroy	
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Building Management

Ownership and occupancy
 Building Plans
 Surveys and inspections
 Project reports
 Sustainable Development
 Waste Disposal

Record	Trigger (event that prompts start of retention period)	Retention Period	Final Action	Notes
Ownership and occupancy				
Inventory of Artefacts	On production of record	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	
Art collection	Lifetime of art work / loan period	6 years	Destroy	The activities involved in managing the NI Assembly's art collection. Including correspondence, minutes, papers and loan agreement if necessary.
Fixed Asset Records	On approval	7 years	Destroy	Records documenting the value of the NI Assembly assets. Records of capital assets are held by Finance.
Records documenting decisions (and authorisation) to dispose of assets	End of financial year (of disposal)	7 years	Destroy	Record of disposal of capital assets held by Finance.
Asset Management Project files	Closed at project	NI Assembly Permanent Preservation	NI Assembly Permanent Preservation	

	Contract Management	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	The activities involved in recording the performance of contractors throughout the lifetime of the contract. Additional contract information held by the Contract Manager i.e copy contracts etc should be destroyed at the end of the contract – the Procurement Office is responsible for maintaining original contract records.
	Maintenance Contract Management	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	
	Contractor training	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	Fire and health safety records concerning contractors working at Assembly buildings.
Building Plans					
	Building plans and drawings	Last action	25 years	NI Assembly Permanent Preservation	Plans including working copies, consultants' and contractors' drawings and associated records and manuals.

Surveys and inspections				
Building maintenance and inspections	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Determined on Review	Records concerning maintenance schedules, diaries or logs, installation surveys, programmes, operational manuals and forward maintenance registers. Records include gas safety; lifting equipment; work equipment; pressure systems; fixed electrical installations and portable appliances.
Project reports – Please refer to Project Governance				
Maintenance				
Maintenance Log	Final entry	12 years	Destroy	
Maintenance schedule	When superseded	6 years	Determined on review	
Maintenance programme	When superseded	6 years	Determined on review	
Payment disputes	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	
Final accounts	Award of contract	Until end of successive contract and in any case no less than 6 years from trigger.	Destroy	
Sustainable Development				The function of managing the impact of the NI Assembly and its business on the environment, and ensuring compliance with environmental legislation.

Environmental Management System	Last action – elimination of risk or updating the risk assessment	6 years	Determined on review	Records documenting identified environmental aspects of the Assembly, including Environmental Records and procedures regarding waste management and energy.
Records documenting the recording of environmental incidents in the NI Assembly or caused by its operations	Last action	40 years	Destroy	The activities involved in recording and investigating environmental incidents in the NI Assembly or caused by its operations, and the reporting of reportable incidents to the enforcing authorities.
Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities	Last action	6 years	Destroy	
Environmental performance data	Last action	6 years	Destroy	The activities involved in monitoring and controlling the NI Assembly’s environmental performance; the conduct and result of formal reviews of the NI Assembly’s environmental performance; and action taken to address issues raised.
Waste Disposal				Legal document.
General Waste (WTN)	Last action	2 years	Destroy	The activities involved in collecting, storing and disposing of NI Assembly waste. Includes: office waste, catering waste; redundant equipment and consumables.
Hazardous Waste	Last action	3 years	Destroy	The activities involved in collecting, storing and disposing of NI Assembly special waste. Includes: batteries and fluorescent bulbs.
Contractor Licence	End of contract	6 years	Destroy	Licences that expire during the contract should be destroyed on receipt of a valid licence.

Section 6 - Signatories



The Northern Ireland Assembly Disposal and Retention Schedule

Prepared as required by the Public Records Act (Northern Ireland), 1923 and in accordance with the Rules made pursuant thereto, approved by Order in Council dated 20th January 1925.

Martina Dalton

_____ date: 15.1.15

Martina Dalton
Information Standards Officer
Northern Ireland Assembly

Hugh Widdis

_____ date: 15.1.15

Mr Hugh Widdis
Director of Legal & Governance Services
Northern Ireland Assembly

Trevor Reaney
_____date: 15.1.15

Mr Trevor Reaney
Clerk/Chief Executive
Northern Ireland Assembly

David Huddleston
_____date: 22.2.15

David Huddleston
Head of Records Management, Cataloguing and Access Section
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Maggie Smith
_____date: 23.1.15

Maggie Smith
Deputy Keeper of the Records
Public Record Office of Northern Ireland

Cynthia Smith
_____date: 29.1.15

Cynthia Smith
Acting Permanent Secretary
Department of Culture, Arts & Leisure

Appendix A

Addendum for any new areas of work/new classes of records created.

These must be approved by PRONI before being added and when schedule is reviewed the updated document laid before the Northern Ireland Assembly for approval.