



Department for
Communities
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An Roinn
Pobal

Department für
Commonities

DEPARTMENT FOR COMMUNITIES
Records Retention and Disposal Schedule

Version 1

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Contents

Section 1	Legislative and Regulatory Environment & Retention & Disposal Policy Statement and Definition of Records held by the Department.	Page 3
Section 2	About the Department	Page 11
Section 3	Operation of Disposal of Records Schedule	Page 15
Section 4	Signatories	Page 23
Section 5	Disposal Schedules 1. Accommodation & Services 2. Audit and Accountability 3. Financial Management 4. Human Resources 5. Information and Communication 6. Strategic Management 7. Technology & Telecommunications 8. Arts, Culture and Sport 9. Managing Archives and Records (PRONI) 10. Child Support 11. Community Development 12. Debt Management 13. Employment 14. Fraud Management 15. Historic Environment 16. Housing 17. Local Government 18. Social Security 19. Statistics and Research Management 20. Urban Regeneration 21. Universal Credit 22. Climate Change	Page 24 Page 25 Page 29 Page 34 Page 37 Page 40 Page 45 Page 50 Page 52 Page 55 Page 60 Page 61 Page 63 Page 65 Page 70 Page 72 Page 76 Page 81 Page 85 Page 90 Page 92 Page 94 Page 97

Section 1 Introduction

1.1 Legislative and Regulatory Environment

The key legislation and regulations that influence the Schedule are:

- Public Records Act (NI) 1923
- Disposal of Documents Order (S.R. & O. 1925 No 167)
- Public Records (Imperial Records) Order 1925 SR 170
- UKGDPR and Data Protection Act 2018
- Environmental Information Regulations 2004
- Freedom of Information Act 2000
- Limitation Act 1980

1.2 Retention & Disposal Policy Statement

Understanding what information to retain, and disposing of information that is no longer required, is an important part of effective information management. Retention & disposal is something that public authorities are required to do under legislation such as the Public Records Act (NI) 1923 and the Data Protection Act 2018. In addition, the Freedom of Information (FOI) Code of Practice on the management of records, s12 states that:

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

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

1.3 Definition of Records Held by the Department

The types of records held by the Department are categorised as either Corporate or Operational. The Department for Communities has 7 corporate functions and 18 operational functions. In addition, it retains one Legacy Archive from the former Department of Culture, Arts and Leisure from when the Department of Communities formed in 2016. These are all outlined below.

1.4 Corporate Functions

These are records that can apply to any Department throughout NICS, although each Department has its own separate file plan. They reflect the activities to do with the actual running of the Department from accommodation and supply of resources to Department financial management and the strategic direction of the Department.

1. Accommodation and Services

The function of managing accommodation and the provision of related services. Refers to the acquisition, allocation and disposal of premises owned or leased by the Department, as well as supplies and equipment essential to the operation of the department. Includes activities associated with the acquisition, construction and upgrading of departmental premises. Also refers to the provision of support services, such as postage and reception.

2. Audit and Accountability

The function of examining and reviewing operational and financial records to ensure they correctly record events, decisions, processes, transactions and activities undertaken during the course of business. Also includes ensuring that records meet organisational and legislative requirements.

3. Financial Management

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

4. Human Resources Management

This category relates to the function of controlling, monitoring and managing employees including working conditions, salaries, resourcing requirements and employee development and performance management. NICS HR and HR connect hold Human Resource records and are subject to the same Retention and Disposal Schedules.

5. Information and Communication

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

6. Strategic Management

This category relates to the function of planning, managing and monitoring the medium and long-term corporate objectives, performance and structure of the Department. It includes activities associated with business planning, quality assurance, business continuity and improved processes. It will largely reflect the activities of the Senior Civil Service within the Department.

7. Technology and Telecommunication

This category relates to the function of acquiring, developing and managing electronic information systems and communication technology including maintaining hardware and software, the implementation of new systems, and managing the technical aspects of communication systems such as video conferencing, voice call, telephones and websites.

1.5 Operational Functions

These functions reflect the business activities within the Department at the operational level. Each operational level will be associated with a number of Grade 5 led business units and the records reflect the activities within those business areas from Grade 5 to Administrative Assistant (AA). These local decisions and actions ensure the efficient running of the operational areas of the department.

8. Arts, Culture and Sport

This business area has responsibility for policy development and delivery on languages including Irish, Ulster Scots and Sign Language. It also manages our work in the Arts & Creativity and Sporting sector and with Museums & Libraries, as well as the Ministerial Advisory Group for Architecture and the Built Environment in Northern Ireland.

9. Managing Archives and Records

The Public Record Office (PRONI) receives, catalogues and preserves the public records of Government Departments, courts of law, public bodies and non-Departmental Public Bodies. It also records material deposited by private individuals, churches, businesses and institutions.

10. Child Support

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

11. Community Development

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

12. Debt Management

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

13. Employment

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

14. Fraud Management

This function relates to the function of managing and maintaining internal and external investigations of suspected social security fraud.

15. Historic Environment Division

The function of recording, managing, regulating, protecting and conserving our historic monuments, historic buildings, historic designed landscapes and our industrial, defence and maritime heritage to contribute to a quality historic environment.

The Historic Environment Record of Northern Ireland (HERoNI) (formerly the Monuments & Buildings Record) holds significant records and collections of national importance relating to all aspects of the historic environment. This includes all surviving physical remains of past human activity, whether visible, buried, submerged or landscaped. It is made available to everyone to enable the management and protection of heritage assets for the public benefit.

Driving legislation are :

- the Ancients Monuments Advisory Council Order (NI) 1937;
- Venice Charter 1964;
- Historic Monuments (NI) Act 1971;
- Historic Monuments & Archaeological Objects (NI) Order 1995; and
- the Planning Act (NI) 2011. European Convention on Protection of the Archaeological Heritage of Europe 1992;
- Convention for the Protection of the Architectural Heritage of Europe (Granada, 1985);

- The Historic Monuments and Archaeological Objects (NI) Order 1995 (Article 26);
- Section 80 of the Planning Act (NI) 2011;
- The Protection of the Architectural Heritage, Granada (1985) (Article 14);
- The Protection of the Archaeological Heritage (revised) Valetta (1992), Article 2 and Article 7
- The Florence Charter 1981 (International Council on Monuments and Sites)

16. Housing

The function of managing and monitoring the provision of social housing and residential building safety in Northern Ireland. Includes providing the financial, legislative and policy framework in which the Housing Executive, registered housing associations and certain voluntary housing bodies operate. Also includes the monitoring of the private rented sector and the regulation and inspection of registered housing associations

The function of developing new policy and Primary and Secondary Legislation to reform the current residential building safety legislative framework. the division is part of the Housing & Sustainability Group and will have linkages and synergies with central and local government and Arm's Length Bodies such as the NIHE.

17. Local Government

The function of supporting and overseeing local government in order to ensure the needs to residents, ratepayers and users of council facilities and services are met and managed. Includes the formulation of policy and legislation, as well as liaising with district councils and relevant external bodies.

Development of appropriate policies, promoting new legislation and maintaining the existing law in relation to liquor licensing, gambling, drinking in

public, Sunday trading, entertainment licensing, pavement cafés, unauthorised encampments, licensing of sex establishments, acupuncture, ear piercing, and tattoos, and street trading.

18. Social Security

The function of supporting and overseeing the payment of social security benefits and child support payments to people resident in Northern Ireland. Includes the development and implementation of legislation and policy in relation to working age benefits, pensions, disability benefits and carers allowances. Also includes the development and implementation of initiatives aimed at improving the management of benefits.

19. Statistical and Research Management

The function of collecting, collating and validating statistical and economic data. Includes the management of surveys conducted on a weekly, monthly, quarterly or yearly basis. Also refers to the management of policies and procedures produced in relation to the collection and analysis of statistical information.

20. Urban Regeneration

The function of developing and implementing social, economic and physical regeneration strategies across Northern Ireland. Includes working with business, the community and partners in government to regenerate and promote urban and regional areas. Also includes the Ministerial Advisory Group for Architecture & The Built Environment and the provision of grants and funding to take forward regeneration initiatives.

21. Universal Credit

The function of developing and implementing Universal credit, which is a benefit for working-age people, replacing six benefits, (Income Support, income-based Jobseekers Allowance, income-related Employment and Support Allowance, Housing Benefit, Child Tax Credits and Working Tax Credits) and merging them into one payment: income support, income-based

jobseeker's allowance, income-related employment and support allowance and housing benefit.

22. Climate Change

The function of managing Northern Ireland's internal climate change duties, and externally for reducing carbon emissions in the residential housing sector. Records concerning developing a longer-term Departmental Climate Change and Sustainability Strategy and raising awareness and improving climate literacy in the Department.

Section 2

2.1 About the Department

In May 2016 the Department for Communities was established following the restructuring of Northern Ireland Departments. It is the largest of the nine NICS Departments and works with 14 Arm's Length Bodies and number of Advisory Councils and Groups. The Departmental has a staff compliment of approximately 11,000¹ staff (8,746 within the Core Department). The annual gross expenditure for the Department is £8.8 billion, of which approximately £7.5 billion is spent on benefits².

2.2 Departmental Structure

The Department is headed by a Minister who has overall political responsibility and accountability for the Department's activities. The Permanent Secretary is the Minister's principal adviser on all aspects of the Department's responsibilities. The work of the Department is co-ordinated and monitored by the Departmental Management Board. The Board provides leadership to the organisation as a whole, takes responsibility for the Department's performance, provides support for the Department's Principal Accounting Officer (i.e. Permanent Secretary) and provides advice to the Minister.

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

2.3 Housing and Sustainability,

The Housing and Sustainability Group consists of 4 Directorates with responsibility for the delivery of the Department for Communities' common purpose of supporting people, building communities and shaping places. Key priorities for the Group's area include ensuring the provision of decent, affordable and sustainable homes. Providing housing support and improving safety in residential buildings in Northern Ireland. Leading on the Department's climate change agenda.

¹ Figures correct as of August 2024

² Figures from DfC Annual Report 2024

2.4 Corporate Services

Consists of 6 Directorates with responsibility for a range of governance and professional functions including Corporate Portfolio Management, finance, contract management, business planning, risk management, governance, office estate, statistical and functions, economist, Corporate Services also leads the Department's response to the Covid-19 Inquiry and analytical services.

The Group leads the Department's people development and engagement work. The Group provides corporate support and Machinery of Government functions including support to Minister, Permanent Secretary, the Top Leadership Team and Corporate Communications. The group plays an enabling role, ensuring business areas have access to timely high-quality advice, guidance and information and promoting a collaborative approach across the Department. It is responsible for supporting evidence-based, outcome-focused, policy making across the Department and has a governance role, exercising a challenge and reporting function to ensure the effective use of resources, to achieve Programme for Government priorities.

2.5 Work & Health Group

The Work & Health Group consists of four Directorates with the primary aim of delivering an accessible, supportive social security system and the promotion of work, wellbeing and fairness.

The Group has responsibility for providing financial stability; to build people's confidence; and the provision of pathways and programmes to help, support and encourage people to get closer to work, back to work, stay in work and to progress in work.

2.6 Communities, Place and Local Government (CPLG)

The CPLG Group consists of 6 Directorates, its key role is to tackle area-based deprivation and create urban centres which help bring divided communities together. CPLG has a key role in the Department's objectives to support people, strengthen communities and improve lives. CPLG regeneration schemes allow us to transform areas, remove eye sores and create more sustainable town centres. Aligning this work with what we do through our work on housing and community programmes and

in partnership with the wider Department and our stakeholders provides a real opportunity support the creation of more vibrant and sustainable communities. Many of our stakeholders, delivery partners and customers are shared and this brings us joint engagement opportunities and will allow us to respond to issues which people face in our communities in a joined-up way with aligned priorities and a single strategic direction.

2.7 Operational Delivery

The Operational Delivery Group consists of 4 Directorates and is responsible for Pensions, Disability & Carers Service, Child Maintenance Service (NI and GB), Benefit Uptake, Debt Management, Fraud & Error, Digital, Security & Information Services, and is responsible for the delivery of services under a Service Level Agreement for the Department for Work and Pensions.

The Group plays an important role in contributing to the Department's work and in delivering an outcome-based approach as part of the Programme for Government (PfG). This presents the opportunity to not only enhance the services we currently deliver but also to think differently in designing services that meet the needs of citizens.

2.8 Engaged Communities

The Engaged Communities Group consists of 5 Directorates and is centrally placed to help deliver the overall vision of the Department in supporting people and helping to deliver substantial and lasting change across all communities.

The role of the Group is to:

- recognise diversity, tackle poverty, encourage participation in society and promote social inclusion to create a society of respect and acceptance.
- identify, protect, conserve, promote and provide access to our historic environment and records of historical, social, and cultural importance to inform and encourage understanding of how our rich and diverse cultural heritage shapes us now and in the future.

- support our creative industries and arts sector, promote our language and cultural sectors, and foster knowledge including within our libraries and museums, to break down barriers, connect people and communities, shape our places, and deliver economic and social value.
- provide strategic direction for our sports and physical activity sectors to encourage increased and diverse participation and high-quality facilities, delivering an active, healthy, resilient and inclusive society which recognises and values both participation and excellence.

Section 3

Operation of the Retention and Disposal Schedule

3.1 Closing of Records

Records should be closed as soon as they cease to be of active use. As a rule, files (whether paper or electronic containers) should be closed 5 years (at the maximum) after creation.

However, there may be circumstances where files/containers need to remain open for an extended period, but this can only be with the express authorisation of Information Asset Owners (IAOs) and the Information Management Branch (IMB).

Some examples are below:

- Legislative requirement
- The project/case/contract is ongoing;
- The employment is ongoing;
- The legislation or policy is still in use;
- The asset is still operational.

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

When a record is due to be closed, IMB will, in consultation with the business area, complete the applicable administrative procedures for closure. Closing a record means that no documents can be edited, and no further documents can be added. The record has now entered into its retention period, but can continue to be used for reference purposes, known as 'read-only'.

3.2 Retention Period

The retention period for each record is calculated from the point that the record is closed. For example, if the retention period, as recorded on the Schedule is 5 years and the action is *destroy*, then a record closed on 10 April 2020 should be retained until 10 April 2025 at which point it can be legally destroyed.

3.3 Business Area Review

On notification from IMB that a file has reached its disposal date files and containers should be reviewed by the business area to ensure that no records are likely to be required for business continuity reasons. Where the business area confirms there is no longer an enduring business need for the record, the final action should be triggered accordingly. If the file is marked for destruction the business area IAO will be required to authorise that action.

As noted in point 3.1 If there remains an administrative need to retain the record, the reviewer should agree a further retention period with IMB, after which the final action will be triggered.

3.4 Categories of Disposal

The four categories of disposal that relate to records are:

- **Destroy**

The records are disposed of securely and in line with departmental policies and procedures. The only exception to destruction is if the information is subject to an ongoing legal, audit or FOI case. Destruction must be approved by IAOs.

- **PRONI Appraisal**

The long-term historical and evidential value of the records cannot be confirmed and therefore requires appraisal by PRONI.

- First PRONI Review

PRONI will carry out a first review to determine if the files which no longer have administrative value have the potential to be of long term historical interest. If PRONI declare an interest the file must be retained by the Department until it reaches the relevant date for a further review by PRONI. If it is deemed by PRONI that there is no long-term value, the records can be destroyed however the process at 3.2 should be repeated at this stage to ensure any files which may be

required for business purposes are not destroyed. If files are no longer required they can be destroyed only following authorisation by the relevant IAO

- Second PRONI Review

Files which were identified at first review stage to have the potential for long term historical interest should be brought forward for a second review by PRONI by the time they reach 20 years old.

Those files selected by PRONI for permanent preservation can be transferred to PRONI on receipt of a warrant and must be accompanied by a PR 14H Sensitivity Review Form detailing the Department's Access Decision.

If it is deemed by PRONI that there is no long-term value at second review stage, the records can be destroyed however the process at 3.2 should be repeated to ensure any files which may be required for business purposes are not destroyed. If files are no longer required they can be destroyed only following authorisation by the relevant IAO

- **Permanent Retention by DFC**

The records are permanently retained in the Department for administrative or legislative purposes and will be physically or digitally managed in an accessible format within accredited record keeping systems.

This action should be used by exception. It will be rare that a public authority will have a business need to retain records beyond 20 years. This category should not be used for records which are required for reference purposes. It should relate to files that are actively in everyday business use. It is important to note that there is no legal basis to subsequently destroy records in this category. The public authority therefore must take adequate steps to ensure the ongoing preservation of these records. If the authority

subsequently decides to dispose of records in this category, it may only do so following a revision to the retention and disposal schedule.

- **PRONI Permanent Preservation**

The records will be transferred to PRONI under warrant and must be accompanied by a PR 14H Sensitivity Review Form detailing the Department's Access Decision.

Records identified for PRONI Permanent Preservation will normally transfer under warrant of certified imperial letter once they have reached 20 years old (as calculated from the date of the last paper). They are therefore considered to have become Historical Records (as defined within the FOI Act 2000, Part 6), and must be accompanied by clear FOIA access recommendations.

Implementation of the *20 Year Rule* commenced in 2013 with the Protection of Freedoms Act 2012 bringing Northern Ireland into line with the legislative changes introduced in the Constitutional Reform and Governance Act 2010. The full extent of the reduction from 30 Years to 20 has been phased in over a 10-year period and will be completed in 2025. This was slightly delayed due to the impact of the Covid-19 Pandemic of 2020 and the considerable knock-on effect this had on the working of public services.

The Public Records Act (NI) 1923 permits certain record classes to be designated by, the Public Authority, for 'early transfer', usually because the record class is open and the information is already available in the public domain. In rare circumstances (for example, if the creating organisation is facing imminent dissolution, or a Public Inquiry wishes to transfer the complete record urgently), PRONI can accept early transfer.

3.5 New/Changed Functions

If any functions or classes of records are created or changed during the life of the Schedule, and are not reflected in the current Schedule, advice must be taken from

PRONI on whether there is a requirement for the Department to re-draft and resubmit the Schedule to the NI Assembly.

3.6 Recording Disposal Actions

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

3.7 Roles and Responsibilities

The roles and responsibilities in the Department are outlined below:

3.8 Permanent Secretary / Principal Accounting Officer

The primary role of the Permanent Secretary is to ensure the effective management of the department's operations and to provide strategic advice to the Minister on departmental policy making and implementation activities. The Permanent Secretary is also the Principal Accounting Officer for the Department which carries with it responsibility for ensuring the regularity and propriety of departmental expenditure, for promoting value for money and for ensuring there are robust systems of corporate governance and financial control within the Department

3.9 Senior Information Risk Owner (SIRO)

The SIRO (the Deputy Secretary for Operational Delivery Group) is a member of the Departmental Management Board. The SIRO chairs The Departmental Information Assurance Committee (DIAC) and reports to the Principal Accounting Officer on matters relating to effective information use and assurance. He/she will report quarterly to the Departmental Board to verify that data is being effectively used and standards are being maintained and will report any adverse incidents. The SIRO is responsible for ensuring that funding is available for specialised training of staff with information assurance responsibilities, and for the production and maintenance of corporate information management and security policy.

3.10 Departmental Information Manager (DIM)

The DIM is also the designated Departmental Records Officer under the Public Records Act (NI) 1923. He/she works closely with the DPO in reporting to the SIRO on the provision and maintenance of the Department's information management policies, procedures and practices to enable staff to comply with all statutory requirements. In consultation with PRONI, the DIM, as the officer especially conversant under section 5-6 of the Act, will provide guidance on the principles of retention and on the preparation of disposal schedules and will ensure the Schedule is submitted to PRONI for laying before the Northern Ireland Assembly.

3.11 Departmental Security Officer (DSO)

The DSO (Head of Security Branch) reports to the SIRO on all aspects of day-to-day protective security including physical security (premises etc.), personnel and information. The DSO collaborates, as appropriate, with the DIM and the ITSM / IT Security Officer (ITSO) to ensure that the security of each category of asset – physical (buildings/estates/property), personnel (staff/customers) and information (documents/data systems) – is protected in line with statutory requirements and/or best practice. The DSO, assisted by the Assistant Departmental Security Officers (ADSO), will report to DIAC on actual and potential information losses and breaches.

3.12 Data Protection Officer (DPO)

The DPO (also Head of Information Management Branch) is the cornerstone of accountability for Data Protection in the Department. He/she facilitates compliance with data protection legislation as the subject specific expert, including assisting with or carrying out Data Protection Impact Assessments and audits. The DPO acts as an intermediary between relevant stakeholders e.g. the ICO, data subjects, business units within the department and the wider public sector and provides a vital role in the Departmental data governance system. The DPO will work in conjunction with the DSO/ADSO with regards breaches of personal data and provide advice on whether breaches should be reported to the ICO/data subjects.

3.13 Departmental Accreditor

The Departmental Accreditor (Director of Digital security & IT Services) is responsible for the accreditation of all line of business systems that operate in the

Department, making decisions on further actions needed (e.g. the timing and frequency of health checks and security reviews) and providing a progress report on the accreditation of systems.

3.14 IT Security Manager (ITSM)

The ITSM advises the Accreditor on the accreditation of line of business information systems and oversees the process within the Department. The ITSM also acts as Incident Response Handler in the event of a major incident affecting information systems in the Department. The ITSM provides advice and guidance to the Department to ensure that it complies with technical information assurance requirements and policies. The ITSM reports directly to the DSO.

3.15 Departmental Head of Technology

The Departmental Head of Technology (Assistant Director of Digital Services) leads the Department's ICT services. The role of ICT Services is to provide IT and telephony solutions, advice and support to the Department.

3.16 Head of Internal Audit

Internal Audit's primary objective is to provide the Principal Accounting Officer with an independent and objective opinion on risk management, control and governance. The Head of Internal Audit attends DIAC to provide advice, comment and opinion from an audit perspective on all aspects of information assurance and as part of their independent role will be free to comment, or challenge how it is administered.

3.17 Senior Information Asset Owner (SIAO)

Each Directorate has a Senior IAO whose role is to report to the SIRO on information security matters, including incident reporting, within their business areas. They are responsible for significant volumes of often sensitive data which is vital to the effective performance of Departmental functions; reflecting the importance of the role each SIAO is a member of DIAC.

3.18 Information Asset Owners (IAOs)

Heads of Branches (at least Grade 7 or equivalent) are the IAOs for their individual business areas and are responsible for the secure and effective management of

information within their business areas on a day-to-day basis. They create and maintain a complete record of the information assets of their business area and ensure that staff adhere to the Department's information assurance policies, procedures and practices. They report to the SIRO, through their SIAO on information security matters, including incident reporting.

3.19 All Staff

All members of staff are responsible for documenting their actions and decisions by creating records and for maintaining official records in accordance with records management best practice.

3.20 Commitment to Preserving Records

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

These measures will include:

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

The Department is committed to ensuring that the records it receives/creates will be physically or digitally well maintained whilst in the custody of the Department. The Department is committed to reviewing the Schedule for submission to the NI Assembly every three years.

Section 4 – Signatories

Department for Communities 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 20 January 1925.

Damian O’Hara
Departmental Information Manager

Iain Greenway
Deputy Secretary
Department for Communities

Emer Morelli
Permanent Secretary
Department for Communities

David Huddleston,
Director and Deputy Keeper
Public Record Office of Northern Ireland

Wesley Geddis
Acting Head of RMCAT
Public Record Office of Northern Ireland

Disposal Schedules

Function: Accommodation & Services

Reference	Sub Function	Record Series	Retention Period	Rationale	Final Action
1.1	Energy Matters	Provision and usage of energy supplies (gas, oil, electric) to the department's premises including compliance with the Carbon Reduction Energy Efficiency Scheme.	5 years	To meet business need	Destroy
1.2	e-PIMS	Electronic Property Information Mapping Service, the central database of Government central civil estate properties and land i.e. the physical occupancy of buildings including office vacancy availability across the department.	7 years	To meet business need	Destroy
1.3	Estate Consolidation & Citizen Contact	Development of an Estate Strategy to ensure provision ensures it meets business need as it develops	7 years	To meet business need	Destroy
1.4	Fleet Management	Acquisition, Authorisation, Insurance & Licensing, maintenance and disposal of any departmental vehicles.	7 years	Financial Audit including HMRC VAT Requirement Limitation (NI) Order 1989	Destroy
1.5	Health & Safety	Accidents investigation reports and logs broken down by year of incident	5 years	RIDDOR; Health and Safety at Work (Northern Ireland) Order 1978; The European Communities Act 1972; The Health and Safety (First-Aid) (Amendment) Regulations (Northern Ireland) 2017	Destroy
1.6	Health & Safety	Public Liability Claims submitted by members of the public and all documentation associated with the claim	15 years	The Limitation (Northern Ireland) Order 1989; Fatal Accidents (NI) Order 1977	Destroy
1.7	Health & Safety	First Aid Logs for first aiders within the department, renewal of training and events when first aid required. Recorded annually.	5 years	To meet business need	Destroy
1.8	Health & Safety	Initiatives, Inspections & Audits, Risk Assessments	5 years	The Health and Safety at Work (Northern Ireland) Order 1978; Management of Health and Safety at Work Regulations 1999; The Management of Health and Safety at Work (NI) Regulations 2000	Destroy

Reference	Sub Function	Record Series	Retention Period	Rationale	Final Action
1.9	Health & Safety	Control of Asbestos to ensure a safe working environment; ensure the safety of buildings; the safety of construction sites; and implementation of preventative measures	40 years	Control of Asbestos at Work Regulations (NI) 2003	Destroy
1.10	Health & Safety	Fire safety and fire prevention measures	12 years	The Fire and Rescue Services (Northern Ireland) Order 2006; The Fire Safety Regulations (Northern Ireland) 2010	Destroy
1.11	Health & Safety	Individual Fire Safety incident reports	12 years	The Fire and Rescue Services (Northern Ireland) Order 2006; The Fire Safety Regulations (Northern Ireland) 2010	Destroy
1.12	Health & Safety	Incidents & Near Misses, records logs of incidents and near misses annually.	3 years	The Health and Safety at Work (Northern Ireland) Order 1978; Management of Health and Safety at Work Regulations 1999; The Management of Health and Safety at Work (NI) Regulations 2000	Destroy
1.13	Health & Safety	Databases, papers associated with the maintenance of Health & Safety databases	5 years	To The Health and Safety at Work (Northern Ireland) Order 1978; Management of Health and Safety at Work Regulations 1999; The Management of Health and Safety at Work (NI) Regulations 2000 meet business need	Destroy
1.14	Legislation	Development and implementation of primary or secondary legislation in relation to the provision of corporate accommodation, vehicles and support services.	5 years	To meet business need	PRONI Appraisal
1.15	Legislation	Original sealed copy of any legislation in the related to the provision of corporate accommodation and support services which the Department is responsible for bringing forward	5 years	To meet business need	PRONI Permanent Preservation

Reference	Sub Function	Record Series	Retention Period	Rationale	Final Action
1.16	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
1.17	Meetings	Agendas, minutes and associated reports relating to the management of premises, services, equipment etc for which the Department has responsibility	5 years	To meet business need	Destroy
1.18	Meetings	Strategic and Senior management meetings relating to the provision and safety of premises, services and other areas related to the areas for which the Department has responsibility	5 years	To meet business need	PRONI Appraisal
1.19	Policy	Developing government policy in relation to estate management, health and safety, Departmental Security, fleet management and all areas related to the provision of corporate accommodation and support services	5 years	To meet business need	PRONI Appraisal
1.20	Premises & Accommodation Services	Acquisition, Construction, Contracting & Insurance of premises for which the Department has responsibility	7 years	To meet business need	Destroy
1.21	Premises & Accommodation Services	Maintenance, Moving, Utilities & refurbishment of premises for which the Department has responsibility to ensure a safe working environment	3 years	To meet business need	Destroy
1.22	Procedures and Guidance Material	Development and update of guidance in relation to management of accommodation; land; use of equipment; maintenance of supplies; collection and analysis of statistical data; accident, incident and near miss investigations; and operational manuals	5 years	To meet business need	Destroy
1.23	Procedures and Guidance Material	Development and publication of guidance and procedural material for Departmental staff in relation to physical security, cyber security, and other issues in relation to the provision and use of accommodation and support services	5 years	To meet business need	Destroy
1.24	Procurement, Tendering & Contracts	Management and monitoring of procured contracts including assessing tenders; awarding contracts; monitoring of contract performance. Contracts relate to cleaning, security, dry and recyclable waste, facilities management, provision of office machinery and equipment, postal services and disposal of confidential waste.	7 years	Limitation (NI) Order 1989	Destroy
1.25	Project Administration	Management of projects related to accommodation and associated support services including research; planning; implementation; monitoring; project plans; project evaluation; economic appraisals; minutes of project meetings; and post project evaluation	5 years	To meet business need	Destroy

Reference	Sub Function	Record Series	Retention Period	Rationale	Final Action
1.26	Project Finance	Project financial records including funding and expenditure	7 years	Limitation (NI) Order 1989	Destroy
1.27	Property Management	Maintenance of all properties for which the Department has responsibility	10 years	To meet business need	Destroy
1.28	Property Management	Management of office security including clear desk audits; workstations; laptops/tablets; record storage; Multi-functional Devices; safes; confidential waste etc	5 years	To meet business need	Destroy
1.29	Reporting	Financial reporting including formal statements or findings of financial performance; branch level financial reports; divisional and departmental level reports; and input into Annual Reports/Departmental discussion reports, the provision of input into Annual Reports and Discussion Papers in relation to the Management of departmental finances and funds.	5 years	To meet business need	Destroy
1.30	Reporting	Input provided to high level meetings including the Departmental Management Board, DIAC, and DARAC.	5 years	To meet business need	Destroy
1.31	Security	Protection of departmental buildings, equipment and vehicles from unauthorised access or damage. Use of surveillance equipment, alarm systems and access controls. Roles and responsibilities of departmental security guards or officers.	5 years	To meet business need	Destroy
1.32	Sustainable Development	Ensuring the Department manages its premises and services in line with NICS green policies	5 years	To meet business need	Destroy

Function: Audit and Accountability

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
2.1	Committees	Audit Committee meetings including Agendas, Minutes, Reports and outworkings of the Audit Committees for which the Department has responsibility. Input to those Audit Committees which fall to other organisations but which the Department contributes to.	5 years	To meet business need	Destroy
2.2	Committees	Public Accounts Committee (PAC) engagement including agendas, minutes reports or other required input, monitoring to ensure compliance with any decision which affect the Department and reporting of the same	7 years	Section 60(3) of the Northern Ireland Act 1998; and Assembly Standing Order 56	Destroy
2.3	Corporate Governance	Management, development and monitoring of compliance with the Corporate Governance Framework including establishing standards of good practice in relation to board leadership, effectiveness and standards in relation to relationships between the Department and all partners both internal and external.	5 years	Northern Ireland Act 1998	PRONI Appraisal
2.4	Corporate Governance	Management of engagement with the Corporate Governance Forum which agrees the framework including agendas, minutes, reports and all associated papers	5 years	To meet business need	PRONI Appraisal
2.5	European Union Programmes	The production and receipt of guidelines and directives in relation to the European Peace IV programme. Projects and programmes cover areas such as: regional & urban development; employment & social inclusion; agriculture & rural development; maritime & fisheries policies; research & innovation; humanitarian aid	PEACE IV Programme: All records, financial or otherwise will be retained until 31/12/2029 to comply with European Regulations. Destroy 01/01/2030	PEACE IV: Article 140 EU 1303/2013	PRONI Appraisal
2.6	European Union Programmes	The production and receipt of guidelines and directives in relation to European Union PEACEPLUS programme. Projects and programmes cover areas such as:	PEACEPLUS Programme:	PEACEPLUS: Article 82 of Regulation (EU) 2021/1060	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
		regional & urban development; employment & social inclusion; agriculture & rural development; maritime & fisheries policies; research & innovation; humanitarian aid.	All records, financial or otherwise will be retained until 31/12/2036 to comply with European Regulations. Destroy 01/01/2037		
2.7	External Audit	Evaluation and appraisal of Departmental business areas, conducted by an outside agency or organisation in relation to the department's finances, operations and systems. Includes audit activities undertaken by the Northern Ireland Audit Office (NIAO) and Public Accounts Committee (PAC).	7 years	The Audit (Northern Ireland) Order 1987; Northern Ireland Act 1998; Government Resources & Accounts Act (NI) 2001; Audit & Accountability (NI) Order 2003	Destroy
2.8	External Service Agreements	Service level Agreements / Memoranda of Understanding between the Department and external audit partners	5 years	To meet business need	Destroy
2.9	Fraud Management	Management of engagement with the Department of Finance and the Comptroller and Auditor General on cases of suspected fraud including those affecting Agencies and NDPBs sponsored by the Department	7 years	Audit (Northern Ireland) Order 1987; Government Resources and Accounts Act (Northern Ireland) 2001; Audit and Accountability (Northern Ireland) Order 2003	Destroy
2.10	Fraud Management	Management of individual investigations in to suspected fraud which affect the Department its Arms Length Bodies, Non Departmental Public Bodies and Executive Agencies	7 years	To meet business need	PRONI Appraisal
2.11	Governance of Partner Organisations	Arms Length Bodies (ALBs). Management of the Department's relationship with its ALBs including establishing and documenting governance arrangements; agreeing	7 years	To meet business need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
		objectives/targets; ensuring appropriate financial and management controls; and managing strategic direction			
2.12	Governance of Partner Organisations	Non Departmental Public Bodies (NDPBs). Management of the Department's relationship with its NDPBs including establishing and documenting governance arrangements; agreeing objectives/targets; ensuring appropriate financial and management controls; and managing strategic direction	7 years	To meet business need	PRONI Appraisal
2.13	Internal Audit	Audit Reports, post audit reports including evaluations and appraisals and all other information related to coordinating and managing information which enable internal auditors to carry out the audit work programme.	7 years	The Audit (Northern Ireland) Order 1987	Destroy
2.14	Internal Audit	Compliance with EU Audit Consultancy requirements, including reports produced after the evaluation and appraisal. The management of information designed to assist EU auditors and in carrying out the audit work programme for the PEACE IV programme	PEACE IV Programme: Destroy 01/01/2030	PEACE IV: Article 140 EU 1303/2013	PRONI appraisal
2.15	Internal Audit	Compliance with EU Audit Consultancy requirements, including reports produced after the evaluation and appraisal. The management of information designed to assist EU auditors and in carrying out the audit work programme for the PEACEPLUS programme	PEACEPLUS Programme: Destroy 01/01/2037	PEACEPLUS: Article 82 of Regulation (EU) 2021/1060	PRONI appraisal
2.16	Internal Control Statement	Preparation of statements appended to Resource Accounts in relation to the internal controls in place throughout the Department.	7 years	To meet business need	Destroy
2.17	Legislation	Development and implementation of primary or secondary legislation in relation to audit and governance arrangements	5 years	To meet business need	PRONI appraisal
2.18	Legislation	Original sealed copy of any legislation in the related to the provision to audit and governance requirements	5 years	To meet business need	PRONI Permanent Preservation
2.19	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
2.20	Meetings	Strategic and/or Senior Management meetings including agendas; minutes; reports presented at meetings; and action point. Meetings at this level would typically cover issues like the Programmes of Work; direct engagement with external partners such as the NI Audit Office; and high level Departmental audit	5 years	To meet business need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
2.21	Meetings	Business area meetings below Grade 5 level with operational/business areas throughout the Department to ensure records and business area functions are managed in a manner appropriate to any perceived risks. Includes agenda's; minutes; reports; recommendations as a result of the audit; and records of compliance with those recommendations	5 years	To meet business need	Destroy
2.22	Partnership Working Governance Support	Ensuring the Department manages its relationship with all partners in the interests of N.Ireland citizens by ensuring transparency in public spending, compliance with the law and effective use of all resources financial and otherwise to deliver efficiencies and drive both service improvement and economic growth.	5 years	To meet business need	Destroy
2.23	Policy	Developing policy in relation to all the functions related to auditing Departmental operation and compliance with all standards	5 years	To meet business need	Destroy
2.24	Procedures and Guidance material	Development and update of guidance material for those staff involved directly in auditing the Department's standards; and procedures and guidance advice to business areas to enable them to meet their requirement to meet all standards	5 years	To meet business need	Destroy
2.25	Risk Management	Resources designed to help business areas to identify and manage potential risks; implement practices and measures designed to reduce wastage and/ or economic loss; and to ensure effective reporting. Risk management must control identified risks to help the department achieve its performance and targets, prevent loss of resources, ensure reliable financial reporting, and ensure compliance with laws and regulations, avoiding damage to its reputation and other consequences.	7 years	To meet business need	Destroy
2.26	Risk Management	Investigation of specific incidents resulting in wastage or economic loss to the Department resulting from ineffective risk management	7 years	To meet business need	Destroy
2.27	Standards Compliance Audits	Reviews of operational and financial records to ensure proper records of operational and financial records, decisions, processes, transactions and activities are conducted in accordance with the provisions of applicable laws and regulations.	5 years	To meet business need	Destroy
2.28	UK's Exit from the European Union	Verification of compliance with the EU Settlement Scheme which permitted citizens of the EU, EEA states, and Switzerland to retain residency post the UKs decision to leave the European Union	12 years	EU Settlement Scheme (settled and pre-settled status) 2020	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
2.29	UK's Exit from the European Union	Ensuring operational and financial records; and updated or new legislation record and reflect the impact of the UK's exit from the European Union in areas for which the Department has primary responsibility.	12 years	The Northern Ireland Protocol	PRONI Appraisal

Function: Financial Management

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
3.1	Allowances	Management of records related to allowances including travel, hospitality and subsistence	7 years	National Audit Requirement	Destroy
3.2	Asset Management	The function of managing financial resources including resource acquisition, accounting, budget allocations and submissions, allowances, asset management, funding and business cases.	7 years	Financial Audit including HMRC VAT Requirement	Destroy
3.3	Budgeting	Core Departmental budgeting. Bids, planning, monitoring and allocation of the Department's financial resources through spending reviews, budget reviews, in year monitoring rounds.	7 years	National Audit Requirement Financial Audit including HMRC VAT Requirement	Destroy
3.4	Budgeting	Branch level budgeting. Bids, planning, monitoring and agreement of individual business area's financial resources through spending reviews, budget reviews, in year monitoring rounds, and financial returns	7 years	National Audit Requirement Financial Audit including HMRC VAT Requirement	Destroy
3.5	Budgeting	NDPB & ALB budgeting. Bids, planning, monitoring and allocation of the Department's business partners financial resources through spending reviews, budget reviews, in year monitoring rounds and financial returns	7 years	National Audit Requirement Financial Audit including HMRC VAT Requirement	Destroy
3.6	Business Area Financial Management	Management of all financial records maintained by business areas including budgeting, monthly and year end financial returns, asset management and reporting	7 years	National Audit Requirement	Destroy
3.7	Business Cases	Development, assessment and approval/disapproval of business cases submitted by individual business areas. Includes the business case, correspondence, and final decisions.	7 years	Financial Audit including HMRC VAT Requirement	Destroy
3.8	Central Investment Fund for Charities	Management of the Northern Ireland Charities Investment Fund.	7 years	Charities Act (NI) 1964 Financial Audit including HMRC VAT Requirement	Destroy
3.9	Central Investment Fund for Charities	Administration of the Charities Advisory Committee which is responsible for guiding the Department's investment policy for the Northern Ireland Central Investment Fund for Charities.	7 years	Charities Act (NI) 1964 Financial Audit including HMRC VAT Requirement	PRONI Appraisal
3.10	Consolidation Finance	Whole of Government Accounts (WGA), which consolidates the audited accounts across the public sector in order to produce a comprehensive, accounts based picture of the financial position of the department based on International Financial Reporting Standards (IFRS)	7 years	Financial Audit including HMRC VAT Requirement	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
3.11	Economic Appraisals	Economic appraisals developed in relation to Departmental policies, projects, programmes and other service delivery to ensure they meet all legislative and statutory requirement prior to implementation or approval.	7 years	To meet business need	Destroy
3.12	EU Funding	Management of funding received from the European Union including recording and analysing financial transactions and thoe department's financial position in relation to monies from the EU	10 years	Financial Audit including HMRC VAT Requirement	Destroy
3.13	Financial Governance	Management and evaluation of financial systems used by the Department to ensure they meet all statutory and sector specific requirements	7 years	Financial Audit including HMRC VAT Requirement	Destroy
3.14	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's financial management arrangements	5 years	To meet business need	PRONI appraisal
3.15	Legislation	Original sealed copy of any legislation related to the Department's financial management arrangements and obligations	5 years	To meet business need	PRONI Permanent Preservation
3.16	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
3.17	Meetings	Strategic and/or Senior Management meetings including agendas; minutes; reports presented at meetings; and action point. Meetings at this level would typically cover issues like budgeting, bids and financial planning	5 years	To meet business need	PRONI Appraisal
3.18	Meetings	Business area meetings below Grade 5 level with operational/business areas throughout the Department to ensure records and business area functions are managed in a manner appropriate to any perceived risks. Includes agenda's; minutes; reports; recommendations as a result of the audit; and records of compliance with those recommendations	5 years	To meet business need	Destroy
3.19	Policy	Developing policy in relation to all the Department's management of financial resources	5 years	To meet business need	PRONI Appraisal
3.20	Procedures and Guidance material	Development and update of guidance material for those staff involved directly in managing the Department's financial resources; and procedures and guidance advice to business areas to enable them to meet their requirement and to meet all standards	5 years	To meet business need	Destroy
3.21	Procurement & Contracts	Management and monitoring of procured contracts including assessing tenders; awarding contracts; monitoring of contract performance.	7 years	Financial Audit including HMRC VAT Requirement Limitation (NI) Order 1989	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
3.22	Project Administration	Management of projects related to management of the Departments finances including the introduction of new systems or methods	10 years	To meet business need	Destroy
3.23	Project Finance	Project financial records including funding and expenditure	7 years	Limitation (NI) Order 1989	Destroy
3.24	Resource Accounts	Management of accounts, monthly accounts, VAT, General Ledger, Annual accounts and statements appended to the Department's published Resource Accounts	7 years	Financial Audit including HMRC VAT Requirement	Destroy
3.25	Reporting	Financial reporting including formal statements or findings of financial performance; branch level financial reports; divisional and departmental level reports; and input into Annual Reports/Departmental discussion reports, the provision of input into Annual Reports and Discussion Papers in relation to the Management of departmental finances and funds.	5 years	To meet business need	Destroy
3.26	Reporting	Input provided to high level meetings including the Departmental Management Board, DIAC, and DARAC.	5 years	To meet business need	Destroy
3.27	Special Payments	Management of claims for special payments, ex-gratia payments and write-offs received by the Department including all correspondence and background to decisions	10 years	To meet business need	Destroy
3.28	Statistics	Input to Departmental statistical exercises at both branch and Departmental level	7 years	To meet business need	Destroy

Function: Human Resource Management

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
4.1	Branch Administration	Maintenance of records such as flexi sheets, home style working agreements, attendance records/leave charts etc which are required for branch management purposes	1 year	Business need	Destroy
4.2	Business Area staffing	Administration of branch level staffing including Expression of interests, vacancy management temporary promotions and designation.	5 years	To meet business need	Destroy
4.3	Business Travel	Management of requests for business travel including completed applications, approvals, invoices and payments	7 years	Financial Audit including HMRC VAT Requirement	Destroy
4.4	Employee Relations	Employee engagement events at all levels. Organisation and administration of employee engagement events including long service commemorations, senior management meeting with directorates/branches etc	5 years	To meet business need	Destroy
4.5	Employee Relations	Management of Industrial Relations issues including liaison with Trade Unions, participation in Whitley Council and management of disagreements	5 years	To meet business need	Destroy
4.6	Employee Relations	Management of individual grievance cases	5 years	To meet business need	Destroy
4.7	Employee Relations	Measurement of Departmental compliance with managing attendance issues.	5 years	To meet business need	Destroy
4.8	Employee Relations	Management of cases involving injury or illness at work	5 years	To meet business need	Destroy
4.9	Financial Management	Management of financial records related to HR issues e.g. business travel	7 years	To meet business need	Destroy
4.10	Managing Attendance	Branch level records of managing attendance issues including sickness absence records, phased returns and other associated documentation	3 months	To meet business need	Destroy
4.11	Meetings	Meetings to discuss HR issues at branch and directorate level	5 years	To meet business need	Destroy
4.12	Procedures and Guidance Material	Development and update of Departmental guidance in relation to HR Issues including staffing, managing attendance, grievances, discipline, information circulars etc	5 years	To meet business need	Destroy
4.13	Pay & Reward	Management of reward and recognition schemes operated by the Department including allowances, the bonus scheme, director's recognition scheme	7 years (This may need extended on a case by case basis due to specific legal, financial or	Financial Audit including HMRC VAT Requirement Overpayment cases may span longer than 7 years so there may be a legal requirement to retain records	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
			personnel reasons)		
4.14	Pay & Reward	Management of pay related issues including management of Departmental overtime expenditure, recovery of overpayments,	7 years (This may need extended on a case by case basis due to specific legal, financial or personnel reasons)	Financial Audit including HMRC VAT Requirement Overpayment cases may span longer than 7 years so there may be a legal requirement to retain records	Destroy
4.15	Policy	Development and promotion of Departmental policy and input into NICS policy in relation to HR Issues including safeguarding	5 years	To meet business need	PRONI Appraisal
4.16	Reporting	Input provided to high level meetings including the Departmental Management Board, DIAC, and DARAC on HR Issues	5 years	To meet business need	Destroy
4.17	Staffing	Management of recruitment and competitions exercises including development of interest circulars, job descriptions and other related documentation	5 years	To meet business need	Destroy
4.18	Staffing	Management of Departmental structural re-organisation	5 years	To meet business need	Destroy
4.19	Strategic Planning & Performance	Development, review and implementation of strategy related to HR functions within the Department	5 years	To meet business need	Destroy
4.20	Training, Learning & Development	Administration and organisation of in-house and external training provision organised by the Department including, Induction, Training, Accreditation, summer school, leadership training	5 years	To meet business need	Destroy
4.21	Training, Learning & Development	Financial records related to the organisation of in-house and external training organised by the Department including the purchase of training specific merchandise	7 years	Financial Audit including HMRC VAT Requirement	Destroy
4.22	Training, Learning & Development	Development of Departmental and individual learning and development plans and subsequent reporting of progress	5 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
4.23	Training, Learning & Development	Development of programmes designed to encourage the development of staff and to promoted the attainment of relevant professional qualifications	5 years	To meet business need	Destroy
4.24	Workforce Planning	Management of staffing resources to ensure the Department can deliver its core functions and prepare for future development including Manpower Figures, Workforce Planning Clinics and the DFC Workforce Strategy	10 years	To meet business need	Destroy

Function: Information and Communication

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
5.1	Branch Management	Administrative information regarding branch management	5 years	To meet business need	Destroy
5.2	Committees	Strategic and Senior Management Committees including the Departmental Information Assurance Committee (DIAC); Departmental Audit Risk & Assurance Committee (DARAC); People & Resources Sub Committee; Policy and Strategy Sub Committee; Operations & Resource Sub-Committee; Performance & Resourcing Sub-Committee; and PfG Sub-Committee	5 years	To meet business need	PRONI Permanent Preservation
5.3	Committees	Management of operational committees for which the Department has responsibility or management of the Department's attendance at such meetings	5 years	To meet business need	Destroy
5.4	Committees	Strategic/Senior Management (Grade 5 and above) Committees specific to the work of the Department at the Assembly	5 years	To meet business need	PRONI Appraisal
5.5	Communication Plans	Development of communication plans to highlight upcoming Departmental programmes, initiatives, or internal changes	5 years	To meet business need	Destroy
5.6	Customer Relations and Engagement	Includes complaints, compliments and customer queries, managing Departmental interactions with the general community. Includes the management of customer complaints and compliments, as well as responding to queries received from the public in relation to the services and information provided by the Department.	3 years	To meet business need	Destroy
5.7	Customer Relations and Engagement	Management of external and Internal contacts. Includes the provision of internal and external directories as well as Christmas card lists and after hours support contact details.	3 years	To meet business need	Destroy
5.8	Customer Relations and Engagement	Management of customer surveys designed to inform Departmental decisions or gauge customer satisfaction	3 years	To meet business need	Destroy
5.9	Data Protection Officer	Management of the Data Protection Officers responsibilities to ensure compliance with Data Protection Legislation	5 years	Data Protection Act 2018	Destroy
5.10	Departmental Management Board	Final Minutes of DMB Meetings including any reports or papers submitted to the Board for consideration	5 years	To meet business need	PRONI Permanent Preservation
5.11	Government Liaison	Management of Assembly Questions; Parliamentary Questions; briefing requests; Assembly and Executive Committees; Minister and Permanent Secretary Cases; Ministerial Submissions, cross-parliamentary business and other functions associated with the role of the Department in the political process	5 years	To meet business need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
5.12	Government Liaison	Management and maintenance of the support team which administers business on behalf of the Minister	5 years	To meet business need	Destroy
5.13	Government Liaison	Minister's Diary	Length of Mandate	To meet business need	PRONI Permanent Preservation
5.14	Government Liaison	Management and maintenance of the support team which administers business on behalf of the Permanent Secretary	5 years	To meet business need	Destroy
5.15	Government Liaison	Permanent Secretary's Diary	Until end of posting	To meet business need	PRONI Permanent Preservation
5.16	Honours	Management of Departmental nominations for crown honours	5 years	To meet business need	PRONI Appraisal
5.17	Information Assurance	Management of information and management of risks related to the use, processing, storage and transmission of information or data and the systems and processes used for these purposes. Maintenance and monitoring of the Information Asset owner network and ongoing update of the electronic Information Asset Register	5 years	To meet business need	Destroy
5.18	Formal Inquiries	Administration of requests for inputs to formal inquiries e.g. the Renewable Heat Inquiry	10 years	To meet business need	PRONI Appraisal
5.19	Legislative Requests for Information	Management of requests (for information under the Freedom of Information Act or the Environmental Information Regulations	3 years	Freedom of Information Act 2000; Environmental Information Regulations 2004	Destroy
5.20	Legislative Requests for Information	Management of Right of access request made under the Data Protection Act 2018	3 years	Data Protection Act 2018	Destroy
5.21	Legislative Requests for Information	Management of related complaints through internal review or the Information Commissioner's Office	3 years	Freedom of Information Act 2000; Environmental Information Regulations 2004 Data Protection Act 2018	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
5.22	Legislative Requests for Information to the Public Records Office of Northern Ireland (PRONI)	Management of FOI requests made for access to records which have been transferred to PRONI	3 years	Section 15 Freedom of Information Act 2000	Destroy
5.23	Legislative Requests for Information to the Public Records Office of Northern Ireland (PRONI)	Management of Right of access request made under the Data Protection Act 2018 to records which have been transferred to PRONI	3 years	Data Protection Act 2018	Destroy
5.24	Legislative Requests for Information to the Public Records Office of Northern Ireland (PRONI)	Management of related complaints through internal review or the Information Commissioner's Office	3 years	Freedom of Information Act 2000; Environmental Information Regulations 2004 Data Protection Act 2018	Destroy
5.25	Legislative Requests for Information to the Public Records Office of Northern Ireland (PRONI)	Management of requests for information made under the access rights contained within the Public Records Act	15 years	Public Records Act 1923	Permanent Retention by DFC
5.26	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's information management functions	5 years	To meet Business Need	PRONI appraisal
5.27	Legislation	Original sealed copy of any legislation related to the Department's information management functions	5 years	To meet Business Need	PRONI Permanent Preservation
5.28	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet Business Need	Destroy
5.29	Marketing and Media Relations	Management of events, exhibitions, media releases, news cuttings and other related activities such as jobfairs and market research undertaken to assess both customer needs and services provided by the department	5 years	To meet Business Need	Destroy
5.30	Marketing and Media Relations	Management of the Department's relationships with the media, such as the issuing press releases and briefings, the organisation of interviews and the provision of access to media outlets.	5 years	To meet Business Need	Destroy
5.31	Marketing and Media Relations	Financial records in relation to marketing the Department's services	7 years	To meet Business Need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
5.32	Marketing and Media Relations	Maintenance of an archive of photographs produced by the Departments to record its activities including marketing events, staff engagement, internet/intranet articles etc	Departmental Retention	To meet Business Need	Permanent Retention by DFC
5.33	Marketing and Media Relations	Press book & Clippings, these clippings are held under a contractual agreement and must be disposed of once the records reach 28 days.	28 days from date of publication	Newspaper Licensing Agreement	Destroy
5.34	Meetings	Management of business area meetings below Grade 5 level	5 years	To meet Business Need	Destroy
5.35	Policy	Development and promotion of Departmental policy and input into NICS policy in relation to information management, marketing, government liaison, safeguarding etc	5 years	To meet Business Need	PRONI Appraisal
5.36	Procedures and guidance	Development and update of Departmental guidance in relation to, information management, data protection, FOI Act and EIRs, marketing, government liaison etc	5 years	To meet Business need	Destroy
5.37	Project Administration	Management of business area projects designed to consider and implement changes to how the Department delivers its services.	5 years	To meet Business need	Destroy
5.38	Project Finance	Project funding and expenditure	7 years	To meet Business need	Destroy
5.39	Public Appointments	Management of public appointment competitions for those organisations and roles which fall within the Department's area of responsibility and returns to consultation from other Departments	5 years	To meet Business need	Destroy
5.40	Publications	Production, design and publication of electronic and hard copy Departmental documentation including, publications, brochures, forms, newsletters, corporate identity, presentations etc for internal and external dissemination	5 years	To meet Business need	Destroy
5.41	Publications	Annual Reports and Accounts; and Corporate Plan	5 years	To meet Business Need	PRONI Permanent Preservation
5.42	Record Management	Includes RecordsNI Administration, information Audits, records storage etc. managing the maintenance, transfer, storage and disposition of departmental records. Includes the overall management of the departmental file plan and retention schedules, as well as the development of long-term strategies to manage departmental records.	5 years	The Public Records Act (NI) 1923; Disposal of Documents Order 1925; The Imperial Records Order 1925; Lord Chancellor's Code of Practice 2000	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
5.43	Record Management	Retention Scheduling, Disposal Lists and Inventories including records of the disposal action applied to both records held in any format.	5 years	1923 Public Records Act	Permanent Retention by DFC
5.44	Reporting	Declarations of conflicts of interest, gifts and hospitality registers and declarations of interest by staff.	7 years	To meet business need Financial Audit including HMRC VAT Requirement	Destroy
5.45	Reporting	Creating and providing formal statements or findings of financial performance over a defined period. Financial reports produced at branch, divisional and departmental level, the provision of input into Annual Reports and Discussion Papers in relation to the Management of departmental finances and funds.	7 years	To meet business need Financial Audit including HMRC VAT Requirement	Destroy
5.46	Reporting	Managing information and communication resources, liaisons and interactions with other areas of government and the community, the maintenance of departmental records and publications, the handling of enquiries received from the public, and audit mechanisms.	5 years	To meet business need Financial Audit including HMRC VAT Requirement	Destroy
5.47	Security	Management of security concerns by the Departmental Security Unit	5 years	To meet business need	Destroy
5.48	Standards	Management of compliance with customer and legislative standards	5 years	To meet business need	Destroy
5.49	Web Management	Management of the Department's online presence including the Departmental website, intranet; social media and other online resources	5 years	To meet business need	Destroy

Function: Strategic Management

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
6.1	Business Performance	Monitoring and assessing the overall performance and development of the Department in relation to defined goals and objectives. Also refers to the department's management and assessment of the performance of executive bodies. Includes the management of targets and measures as defined by Service Level Agreements, as well as the monitoring of programmes and initiatives implemented across the Northern Ireland Civil Service (NICS) aimed at improving the performance of government departments and executive agencies. Also includes the administration and monitoring of departmental Ideas Scheme.	5 years	To meet business need	Destroy
6.2	Business Planning	Planning the long-term direction of the department and executive agencies, which fall under its responsibility. Includes the development of strategies to meet departmental goals and objectives as defined by the Programme for Government, Public Service Agreement and Service Delivery Agreements. Also includes the management of resources and funding required to meet departmental goals and objectives.	5 years	To meet business need Civil Service (Management Functions) (Northern Ireland) Order 1994	PRONI Appraisal
6.3	Change Management	Management of change to the Department's structure or direction including records engagement events and communications to inform staff about those changes	5 years	To meet business need	Destroy
6.4	Committees	Senior Management Committees chaired at Grade 5 level or above convened to progress Departmental strategic aims and direction.	5 years	To meet business need	PRONI Appraisal
6.5	Committees	Operational committees chaired below Grade 5 level to address business area contribution to Departmental strategic aims and direction	5 years	To meet business need	Destroy
6.6	Covid 19 Pandemic	Management of the Departmental COVID-19 Operations Centre including development of key messages and Guidance	5 years	To meet business need	PRONI Appraisal
6.7	Covid 19 Inquiry	Management of the Department's engagement with the Covid 19 Inquiry	5 years	Covid-19 and the Inquiries Act 2005	PRONI Appraisal
6.8	Covid 19 Inquiry	Administrative documentation including procedural guides, media releases and input to CORRs, Submissions etc	5 years	To meet business need	Destroy
6.9	Covid 19 Inquiry	Financial records related to engagement with the Covid 19 Inquiry including expenditure on legal costs, publications etc	7 years	To meet business need	Destroy
6.10	Covid 19 Inquiry	Management and Departmental input to Taskforce and Oversight Meetings	5 years	To meet business need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
6.11	Emergency Planning	Management of measures designed to minimise risks and effects of either natural or man-made disasters. Includes activities associated with the development of plans to secure, recover or save assets should a disaster occur, as well as the establishment of preventative measures and recovery techniques.	5 years	To meet business need	PRONI Appraisal
6.12	Equality Promotion & Implementation	Management of the Department's obligations to establish, promote and monitor equality of opportunity and good community relations as defined by Section 75 of the Northern Ireland Act. This class of records includes Equality Impact Assessments, public consultation; publication of assessment results; the development and monitoring of Equality Schemes and associated activities designed to ensure the Department meets its obligations	5 years	To meet business need Section 75 of the Northern Ireland Act	PRONI Appraisal
6.13	EU Exit Preparations and impact	Financial records related to the Department's activities around the UK Exit from the EU	7 years	The Social Security (Amendment) (EU Exit) Regulations (NI) 2019; The Allocation of Housing and Homelessness (Eligibility) (Amendment) (NI) (EU Exit) Regulations 2019; The Pension Protection Fund (State Aid) (Amendment) EU Exit) Regulations 2019; The Social Security (Income-related Benefits) (Updating and Amendment No 2) (EU Exit) Regulations (NI) 2019	Destroy
6.14	EU Exit Preparations and impact	Records related to the impact on staffing and workforce planning impacted by the exit from the EU	3 years	The Social Security (Amendment) (EU Exit) Regulations (NI) 2019; The Allocation of Housing and Homelessness (Eligibility) (Amendment) (NI) (EU Exit) Regulations 2019;	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
				The Pension Protection Fund (State Aid) (Amendment) EU Exit) Regulations 2019; The Social Security (Income-related Benefits) (Updating and Amendment No 2) (EU Exit) Regulations (NI) 2019	
6.15	EU Exit Preparations and impact	Departmental Communications related to the exit from the EU	5 years	The Social Security (Amendment) (EU Exit) Regulations (NI) 2019; The Allocation of Housing and Homelessness (Eligibility) (Amendment) (NI) (EU Exit) Regulations 2019; The Pension Protection Fund (State Aid) (Amendment) EU Exit) Regulations 2019; The Social Security (Income-related Benefits) (Updating and Amendment No 2) (EU Exit) Regulations (NI) 2019	PRONI Appraisal
6.16	EU Exit Preparations and impact	Management of the impact and liaison with sector contacts in relation to the UK exit from the EU in relation to Housing, Advisory Services, Voluntary and Community sector and other areas for which the Department has responsibility	5 years	The Social Security (Amendment) (EU Exit) Regulations (NI) 2019; The Allocation of Housing and Homelessness (Eligibility) (Amendment) (NI) (EU Exit) Regulations 2019; The Pension Protection Fund (State Aid) (Amendment) EU Exit) Regulations 2019;	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
				The Social Security (Income-related Benefits) (Updating and Amendment No 2) (EU Exit) Regulations (NI) 2019	
6.17	EU Exit Preparations and impact	Management of the impact of the UK exit from the EU in respect of benefit entitlement and delivery	7 years	The Social Security (Amendment) (EU Exit) Regulations (NI) 2019; The Allocation of Housing and Homelessness (Eligibility) (Amendment) (NI) (EU Exit) Regulations 2019; The Pension Protection Fund (State Aid) (Amendment) EU Exit) Regulations 2019; The Social Security (Income-related Benefits) (Updating and Amendment No 2) (EU Exit) Regulations (NI) 2019	PRONI Appraisal
6.18	Inclusion & Social Change	Management of the Department's responsibility to tackle issues such as poverty, social exclusion Active Ageing, Disability, Gender equality, Sexual Orientation and other associated activities	5 years	To meet Business Need	PRONI Appraisal
6.19	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's strategic aims related to active aging	5 years	To meet Business Need	PRONI Appraisal
6.20	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's strategic aims related to disability	5 years	To meet Business Need	PRONI Appraisal
6.21	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's strategic aims related to gender equality	5 years	To meet Business Need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
6.22	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's strategic aims related to sexual orientation	5 years	To meet Business Need	PRONI Appraisal
6.23	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's strategic aims related to poverty	5 years	To meet Business Need	PRONI Appraisal
6.24	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's strategic aims related to diversity	5 years	To meet Business Need	PRONI Appraisal
6.25	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's strategic aims related to mental health	5 years	To meet Business Need	PRONI Appraisal
6.26	Legislation	Original sealed copy of any legislation related to the Department's strategic aims	5 years	Business Need	PRONI Permanent Preservation
6.27	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
6.28	Meetings	Strategic and Senior Management Committees	5 years	To meet business need	PRONI Permanent Preservation
6.29	Meetings	Operational meetings at business area or divisional level	5 years	To meet business need	Destroy
6.30	Policy	Development and implementation of policy in relation to the Department's strategic aims including those related to active aging, disability, gender equality, sexual orientation, poverty, diversity, mental health and any other associated activities	5 years	To meet business need	PRONI Appraisal
6.31	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department addresses its strategic aims	5 years	To meet business need	Destroy
6.32	Programmes	Management of programmes aimed at progressing the Department's strategic aims including Together Better : Building a United Community (TBUC); Urban Villages; the Ukrainian resettlement Scheme. This class contains administrative records including management of Programme Board Meetings and post programme evaluation	5 years	To meet business need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
6.33	Programmes	Management of Capital programmes designed to meet the Department's strategic aims	5 years	To meet business need	PRONI Appraisal
6.34	Programmes	Management of Individual projects under the strategic programmes umbrella	5 years	To meet business need	PRONI Appraisal
6.35	Programmes	Financial records related to the management of the programmes and the individual projects which fall within the strategic programmes umbrella	7 years	To meet business need	Destroy
6.36	Programmes	High level strategic regionally focussed programmes such as the Reform of Public Administration or major Capital Programmes.	5 years	To meet business need	PRONI Appraisal
6.37	Programmes	Reform of Public Administration	5 years	To meet business need	PRONI Appraisal
6.38	Programmes	Departmental input to cross governmental programmes	5 years	To meet business need	PRONI Appraisal
6.39	Project Finance	Project financial records	7 years	To meet business need	Destroy
6.40	Project Administration	Administration of Departmental strategic projects including the Syrian Refugee Project; the Appeal Service Transformation Project	5 years	To meet business need	PRONI Appraisal
6.41	Risk Management	Management and mitigation of risk including maintenance of Departmental and branch level risk registers; and corporate and branch level governance arrangements	5 years	To meet business need	Destroy
6.42	Senior Management Support	Administrative records generated by Senior Management office support staff at Grade 5 to Grade 3 level. Records will be maintained by the business areas responsible for specific activities	5 years	To meet business need	Destroy
6.43	Senior Management Support	Administrative records generated by the Permanent Secretary's support team. Substantive records will be maintained by the business areas responsible for specific activities	5 years	To meet business need	Destroy
6.44	Staff networks	Administration of staff networks including the LGBTQ+ network	5 years	To meet business need	Destroy
6.45	Statistics and Research	Statistical and research carried out to inform the Department's strategic direction	5 years	To meet business need	Destroy
6.46	Transfer of Functions	Administration of the transfer of The Appeal Service from DFC to DOJ	5 years	To meet business need	PRONI Appraisal

Function: Technology and Telecommunications

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
7.1	Account Management	Provision of equipment and establishment of sites to host digital services	5 years	To meet business need	Destroy
7.2	Application & System Support	Management and support of the department's information technology infrastructure. Includes Help Desk Services and Account Management.	5 years	To meet business need	Destroy
7.3	Application Development	Enhancement and development of external and internal computer applications utilised within the department both in house and through third parties	5 years	To meet business need	Destroy
7.4	Client Management System	Maintenance and management of CMS including data cleansing exercises, correspondence, change requests etc	5 years	To meet business need	Destroy
7.5	Financial Management	Management of financial resources related to the applications and associated support for systems used by the Department	7 years	Financial Audit including HMRC VAT Requirement	Destroy
7.6	ICT Support	Management of requests for information about the technology used by the Department	2 years	To meet business need	Destroy
7.7	Infrastructure Management	Management and allocation of desktop and laptop computers to Departmental staff	2 years	To meet business need	Destroy
7.8	Infrastructure Management	Management of telephony provision used by Departmental staff including allocation of mobile phones	2 years	To meet business need	Destroy
7.9	Infrastructure Management	Management of messaging services used by Departmental staff	2 years	To meet business need	Destroy
7.10	Meetings	Administration and records of meetings to discuss the technology used by the Department and to address any issues identified	5 years	To meet business need	Destroy
7.11	Meetings	Technical meeting to discuss the development of systems utilised by the Department but provided by DWP and IT Assist	5 years	To meet business need	Destroy
7.12	Policy	Development of policy and strategy in regard to the technology used by the Department	5 years	To meet business need	Destroy
7.13	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department utilises and provides technology used by it	5 years	To meet business need	Destroy
7.14	Procurement	Contract Management, management and monitoring of the procurement process. Includes activities associated with the assessment of tenders, the awarding of contracts and their ongoing monitoring. Refers to the management of departmental contracts, as well as contracts managed by the Social Security Agency with third party suppliers.	25 years	Financial Audit including HMRC VAT Requirement	Destroy
7.15	Project Finance	Project financial records	7 years	Financial Audit including HMRC VAT Requirement	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
7.16	Project Administration	Administration of Departmental projects related to the provision or review of technology used by the Department	5 years	To meet business need	Destroy
7.17	Resources	Acquisition of systems, hardware and software used by the Department	7 years	To meet business need	Destroy
7.18	Resources	Allocation of resources throughout the Department & and management of Disposal at end of life	3 years	To meet business need	Destroy
7.19	Resources	Management of contracts related to the hardware, software or support services for the technology used by the Department	7 years	Financial Audit including HMRC VAT Requirement	Destroy
7.20	Resources	Installation of technology used by the Department	5 years	To meet business need	Destroy
7.21	Resources	Maintenance of Inventory and Asset Registers relating to technology used by the Department	5 years	To meet business need	Destroy
7.22	Resources	Maintenance records of technology used by the Department	3 years	To meet business need	Destroy
7.23	Security	Management of the security of technology used by the Department and investigations of potential breaches	5 years	To meet business need	Destroy
7.24	Security	Cyber Security Incidents	5 years	To meet business need	Destroy
7.25	Systems Management	Technical maintenance of systems for which the Department is responsible including Departmental intranets, line of business applications, shared drives etc	5 years	To meet business need	Destroy
7.26	Systems Management	Accreditation Records	5 years	To meet business need	Destroy

Function: Arts, Culture and Sport

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
8.1	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Management of the Department's relationship with ALBs and NDPBs including Sport NI, The Arts Council, Libraries NI, Museums NI, N. Ireland Screen, language bodies, Armagh Planetarium and Observatory etc	5 years	To meet business need	PRONI Appraisal
8.2	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Asset Management including managing financial resources including resource acquisition, accounting, budget allocations and submissions, allowances, business cases e.g. permanent land, property, mobile libraries, Homecall and stock delivery vehicles,	7 years	Libraries Act (NI) 2008 Financial Audit including HMRC VAT Requirement	PRONI Appraisal
8.3	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Audit and Accountability, records relating to ensuring compliance with statutory & administrative requirements for the use of Public Funds.	7 years	Financial Audit including HMRC VAT Requirement	Destroy
8.4	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Business planning records to address the long-term direction of the Arts, Culture and Sport ALBs/NDPBs including development of strategies to meet departmental and ALB goals and objectives	7 years	To meet business need	PRONI Appraisal
8.5	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Governance and monitoring of ALB/NDPB activities to ensure accountability and value for money	7 years	Financial Audit including HMRC VAT Requirement	Destroy
8.6	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Management of records to ensure that collections are available to the public through exhibitions, effective interpretation & availability for research & study.	7 years	To meet business need	Destroy
8.7	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Management of objects of historical or cultural interest held by ALBs/NDPBs in collections and ensuring where appropriate their availability to the public	5 years	To meet business need	Destroy
8.8	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Staffing of ALBs/NDPBs including appraisal of staff structure, pay grading & recruitment etc	5 years	To meet business need	Destroy
8.9	Committees	Administration and attendance at formal committees designed to promote and develop the Arts, Culture and Sports Sector including formal Board, Committee and Accountability meetings e.g. in relation to the NMNI Oral History Programme	5 years	To meet business need The Museums & Galleries (NI) Order 1998	PRONI Appraisal
8.10	Community Engagement	Liaison with internal and external stakeholders, including the public, about the Arts, Culture and Sports Sector	5 years	To meet business need The Recreation & Youth Service (NI) Order 1986	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
8.11	Community Engagement	Customer Relations records encouraging people engage more fully with the Arts, Culture and Sports Sector and answering queries or complaints	3 years	To meet business need	Destroy
8.12	Fraud Investigations	Management of investigations of alleged fraud e.g. Education and Library Boards Fraud Investigation,	10 years	To meet business need	Destroy
8.13	Grants and Funding	Provision of grants and funding to support the and develop the Arts, Culture and Sports Sector	7 years	Financial Audit including HMRC VAT Requirement	Destroy
8.14	Legislation	Development and implementation of primary or secondary legislation in relation to the Arts, Culture and Sports Sector.	5 years	To meet business need	PRONI Appraisal
8.15	Legislation	Original sealed copy of any legislation related to the Arts, Culture and Sports Sector	5 years	To meet business need	PRONI Permanent Preservation
8.16	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
8.17	Lottery Funding	Testing, fault analysis.	10 years	To meet business need	Destroy
8.18	Lottery Funding	Development, Analysis, Documentation, Support	20 years	To meet business need	Destroy
8.19	Lottery Funding	Publishing	15 years	To meet business need	Destroy
8.20	Marketing and media relations	Management of events, exhibitions, media releases designed to promote and support the Arts, Culture and Sports Sector	5 years	To meet business need	Destroy
8.21	Marketing and media relations	Management of the Department's relationships with the media, such as the issuing press releases and briefings, the organisation of interviews and the provision of access to media outlets in regard to the Arts, Culture and Sports Sector	5 years	To meet business need	Destroy
8.22	Marketing and media relations	Coordination – Circulars and returns, finance and payments, records relating to Branch communications with internal and external agencies in respect of a range of returns ,administration and payments	7 years	To meet business need	Destroy
8.23	Policy	Development, review and implementation of policy related to the Arts, Culture and Sports Sector	5 years	To meet business need	PRONI Appraisal
8.24	Policy	Development, review of policies within Arts, Culture and Sports ALBs and NDPBs	5 years	To meet business need	PRONI Appraisal
8.25	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department manages its relationship with and supports the development of the Arts Culture and Sports Sector	5 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
8.26	Programmes	Development and Administration of programmes designed to support and develop the Arts, Culture and Sport Sector including post programme evaluation e.g. the N. Ireland Football Fund; Oral History Programme etc	5 years	To meet business need	PRONI Appraisal
8.27	Programmes	Programme finance records including payments made in relation to programmes designed to support and develop the Arts, Culture and Sports Sector	7 years	Financial Audit including HMRC VAT Requirement	Destroy
8.28	Project Administration	Administration and approvals of projects designed to support and develop the Arts, Culture and Support Sector including post project evaluation	5 years	To meet business need	Destroy
8.29	Project Finance	Project finance records including payments made in relation to programmes designed to support and develop the Arts, Culture and Sports Sector	7 years	Financial Audit including HMRC VAT Requirement	Destroy
8.30	Strategy	Development, review and implementation of strategy for the development of the Art, Culture and Sports Sector e.g. Language Strategy,	5 years	To meet business need	PRONI Appraisal

Function: Managing Archives and Records (PRONI)

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
9.1	Access Management	Managing access to the records and items of historical interest held in PRONI	7 years	The Public Records Act (NI) 1923; Disposal of Documents Order 1925; The Imperial Records Order 1925; Data Protection Act 2018; Environmental Information Regulations 2004; Freedom of Information Act 2000; Lord Chancellor's Code of Practice 2000; The Public Use of Records (Management & Fees) Rules (NI) 2016; The Court Files Privileged Access Rules (NI) 2016.	PRONI Appraisal
9.2	Appraisal of records	eCATNI Project, records relating to the infrastructure of the eCatalogue.	5 years	To meet business need	Permanent Retention by DFC
9.3	Appraisal of records	eCATNI Batch Process, records relating to part of the electronic catalogue processing.	5 years	To meet business need	Destroy
9.4	Appraisal of records	eCATNI Software, records relating to the introduction of an electronic catalogue by PRONI	5 years	To meet business need	Destroy
9.5	Appraisal of records	Cataloguing, records relating to the cataloguing of archives by PRONI.	10 years	To meet business need	PRONI Appraisal
9.6	Appraisal of records	Digitisation, records relating to the digitisation of records by PRONI for preservation & access.	5 years	To meet business need	Permanent Retention by DFC

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
9.7	Appraisal of records	Internal Limbo Storage, records relating to ILS that was used before files were accessioned & catalogued.	15 years	To meet business need	Destroy
9.8	Appraisal of records	Management Document Production, records relating to repository locations management including preservation storage forms.	5 years	To meet business need	Destroy
9.9	Appraisal of records	Queries, records relating to queries from members of the public.	3 years	To meet business need	Destroy
9.10	Appraisal of records	Relationship with Depositors, records relating to ongoing relationship with depositors of documents to PRONI.	5 years	To meet business need	Permanent Retention by DFC
9.11	Appraisal of records	Sensitivity Review Process, records relating to the management of the Annual Sensitivity Review process under the 30 year and 20 year rule	10 years	Data Protection Act 2018; Environmental Information Regulations 2004; Freedom of Information Act 2000;	PRONI Appraisal
9.12	Appraisal of records	Acceptance in Lieu, records relating to the Acceptance in Lieu scheme for PRONI.	5 years	To meet business need	Permanent Retention by DFC
9.13	Appraisal of records	Store Management, records relating to repository management including PRONI out-storage.	5 years	To meet business need	Destroy
9.14	Appraisal of records	CALM Management, reporting from the document ordering & locations management system.	20 years	To meet business need	Destroy
9.15	Appraisal of records	PRONI Cataloguing System	20 years	To meet business need	Destroy
9.16	Appraisal of records	Digitisation of Street Directories, records relating to third party contractor who currently hosts the street directories application.	10 years	To meet business need	Permanent Retention by DFC
9.17	Appraisal of records	External Funding Bids	5 years	To meet business need	Destroy
9.18	Appraisal of records	Collections Management, management of collections including locations mapping and outsourcing.	5 years	To meet business need	Destroy
9.19	Appraisal of records	Digitisation of Valuation Revision Books	10 years	To meet business need	Destroy
9.20	Appraisal of records	Policy, records relating to PRONI policy	5 years	The Public Records Act (NI) 1923; Disposal of Documents Order 1925;	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
				The Imperial Records Order 1925; Data Protection Act 2018; Environmental Information Regulations 2004; Freedom of Information Act 2000; Lord Chancellor's Code of Practice 2000; The Public Use of Records (Management & Fees) Rules (NI) 2016; The Court Files Privileged Access Rules (NI) 2016.	
9.21	Appraisal of records	Public Service Management, records relating to the management of the PRONI public service	7 years	To meet business need	Destroy
9.22	Appraisal of records	Leaflets, research queries and guides, <i>copies of PRONI publications.</i>	5 years	To meet business need	Permanent Retention by DFC
9.23	Appraisal of records	Managing Readers <i>Signed copies of visitor registration.</i>	10 years	To meet business need	PRONI Appraisal
9.24	Appraisal of records	Digital Preservation, PRONI engagement with the Digital Preservation Coalition.	5 years	To meet business need	PRONI Appraisal
9.25	Archives and Records	Managing the archives and records held in PRONI	15 years	To meet business need	Permanent Retention by DFC
9.26	Cataloguing System	Accessioning, records relating to accessioning that show terms of deposit & depositor details for the archives in PRONI.	15 years	To meet business need	Permanent Retention by DFC
9.27	Cataloguing System	Archival Training	5 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
9.28	Customer Management	Conservation Records of conservation treatments, advice & guidance.	5 years	To meet business need	Permanent Retention by DFC
9.29	Cataloguing System	Digital Plan Recovery PRONI emergency planning.	10 years	To meet business need	PRONI Appraisal
9.30	Digital Archive Management	Records relating to the oral history archive that formed part of the Stormont House Agreement	7 years	To meet business need	Destroy
9.31	Preservation Management	Managing reprographics, monitoring of PRONI stores	5 years	To meet business need	Destroy
9.32	Preservation Management	Provision of advice and guidance and upgrading	5 years	To meet business need	PRONI Appraisal
9.33	Preservation Management	Decant Preparations, records relating to the decant of records from Balmoral Avenue to Titanic Quarter	5 years	To meet business need	Permanent Retention by DFC
9.34	Preservation Management	Participation, records relating to arrangement with external partner bodies	5 years	To meet business need	Permanent Retention by DFC
9.35	Preservation Management	Article Production, Conferences and workshops, surveys and sector council skills, records relating to draft articles & participation at sectoral events	5 years	To meet business need	Permanent Retention by DFC
9.36	Preservation Management	Publishing	15 years	To meet business need	Permanent Retention by DFC
9.37	Professional Networking	Media relations, marketing campaigns, educational outreach and customer research, copies of published articles about PRONI	5 years	To meet business need	Destroy
		E-Learning, records relating to PRONI e-learning resources	10 years	To meet business need	Destroy
9.38	Promoting Archive Value	Public Outreach, records of talks & lectures delivered by PRONI staff	5 years	To meet business need	PRONI Appraisal
9.39	Promoting Archive Value	Partnerships, liaison, events, volunteering and research, records relating to PRONI archives as cultural capital	5 years	To meet business need	Destroy
9.40	Promoting Archive Value	Conference Management, organisation of records management events including Civil Servants Weeks	5 years	To meet business need	Destroy
9.41	Promoting Archive Value	Training and developing Best Practice Standards	7 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
9.42	Promoting Cultural Capital	Liaison, liaison with NI Public Authorities about records management	3 years	To meet business need	Destroy
9.43	Records Management	Reviewing, responding to requests from public authorities for Records Management reviews & related administration	10 years	To meet business need	Destroy
9.44	Records Management	Web archiving & digital preservation	5 years	To meet business need	Permanent Retention by DFC
9.45	Records Management	Records relating to building infrastructure, legal & contractual arrangements	7 years	To meet business need	Permanent Retention by DFC

Function: Child Support

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
10.1	Legislation	Development and implementation of primary or secondary legislation related to the delivery of Child Support Services	5 years	To meet business need	PRONI Appraisal
10.2	Legislation	Original sealed copy of any legislation related to the delivery of Child Support Services	5 years	To meet business need	PRONI Permanent Preservation
10.3	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
10.4	Policy	Development, review and implementation of policy related to delivery of Child Support Services	5 years	To meet business need	PRONI Appraisal

Function: Community Development

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
11.1	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Management of the Department's relationship with ALBs and NDPBs including the Charities Commission for Northern Ireland (CCNI)	5 years	To meet business need	PRONI Appraisal
11.2	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Asset Management including managing financial resources including resource acquisition, accounting, budget allocations and submissions, allowances, business cases	7 years	To meet business need	PRONI Appraisal
11.3	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Audit and Accountability, records relating to ensuring compliance with statutory & administrative requirements for the use of Public Funds.	7 years	Financial Audit including HMRC VAT Requirement	Destroy
11.4	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Business planning records to address the long-term direction of the voluntary and community ALBs and NDPBs including development of strategies to meet departmental and ALB/NDPB goals and objectives	7 years	To meet business need	PRONI Appraisal
11.5	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Governance and monitoring of ALB/NDPB activities to ensure accountability and value for money	7 years	Financial Audit including HMRC VAT Requirement	Destroy
11.6	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Staffing of ALBs/NDPBs including appraisal of staff structure, pay grading & recruitment etc	5 years	To meet business need	Destroy
11.7	Charities	Management and administration of the Charities Act Scheme	10 years	Charities Act (NI) 1964 Scheme Administration, Charities Act (NI) 1964 Applications	PRONI Appraisal
11.8	Charities	Management and administration of applications to the Charities Act Scheme	10 years	Charities Act (NI) 1964 Scheme Administration, Charities Act (NI) 1964 Applications	PRONI Appraisal
11.9	Community Engagement	Liaison with internal and external stakeholders, including the public, about the voluntary and community sector	5 years	To meet business need The Recreation & Youth Service (NI) Order 1986	Destroy
11.10	Community Engagement	Customer Relations records encouraging people engage more fully with the voluntary and community Sector and answering queries or complaints	3 years	To meet business need	Destroy
11.11	Legislation	Development and implementation of primary or secondary legislation in relation to the community and voluntary sector.	5 years	To meet business need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
11.12	Legislation	Original sealed copy of any legislation related to the community and voluntary sector.	5 years	To meet business need	PRONI Permanent Preservation
11.13	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
11.14	Policy	Development, review and implementation of policy related to the working in partnership with the community and voluntary sector.	5 years	To meet business need	PRONI Appraisal
11.15	Policy	Development, review of policies related to working in partnership with the community and voluntary sector.	5 years	To meet business need	PRONI Appraisal
11.16	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department works in partnership with the community and voluntary sector.	5 years	To meet business need	Destroy
11.17	Project Finance	Project financial records	7 years	Financial Audit including HMRC VAT Requirement	Destroy
11.18	Project Administration	Administration and management of projects related to the community and voluntary sector.	5 years	To meet business need	PRONI Appraisal
11.19	Programmes	Development management and Administration of programmes to support the community and voluntary sector including post programme evaluation e.g. the innovation fund	5 years	To meet business need The Social Need (NI) Order 1986	PRONI Appraisal
11.20	Programme Finance	Programme finance records including payments made in relation to programmes designed to support the community and voluntary sector	7 years	Financial Audit including HMRC VAT Requirement	Destroy

Function: Debt Management

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
12.1	Banking Services	Banking service and direct debit solutions used by the Department to manage debt	10 years	To meet business need	Destroy
12.2	Business & Governance Strategy	Development of strategy for tackling fraud and error, the recovery of debt, continuous improvement and modernisation of our services through a number of digital projects.	5 years	To meet business need	Destroy
12.3	Debt Case Files	Management of individual debt management claims against individuals	7 years	Financial Audit including HMRC VAT Requirement	Destroy
12.4	Change Control	System Management Governance activities to effectively manage requests for change, impacting of both DWP and NI system changes and the management and introduction of change into business as usual.	10 years	To meet business need	Destroy
12.5	Committees	Management and attendance at formal committees established to address the Debt Management, Debt Control and associated functions e.g. the Debt Board, Debt Management Change Control Board	5 years	To meet business need	Destroy
12.6	Community and Customer Engagement	Liaison with internal and external stakeholders, including the public, about the debt management functions	5 years	To meet business need	Destroy
12.7	Community and Customer Engagement	Customer Relations records detailing engagement with the public including answering queries or complaints	3 years	To meet business need	Destroy
12.8	Financial Management	Management of financial resources related to the delivery of debt management functions by the Department	7 years	Financial Audit including HMRC VAT Requirement	Destroy
12.9	Procedures and Guidance	Guidance Development of guidance and process maps to support staff across Debt Management business areas in the recovery of Benefit overpayments, loans and the Compensation Recovery Scheme.	5 years	To meet business need	Destroy
12.10	Policy	Development, review and implementation of policy related to complying with Managing Public Money Principles and the Departments strategy and objective to maximise the recovery of government debt.	5 years	The Social Security (Recovery of Benefits) (NI) Order 1997 The Recovery of Health Service Charges (NI) Order 2006 The Social Security (Payments on account, Overpayments and Recovery) Regulations (NI) 1988 The Social Security Administration (NI) Act 1992	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
				<p>The Social Security (Overpayments and Recovery) Regulations (NI) 2016</p> <p>Welfare Reform (Northern Ireland) Order 2015</p> <p>The Discretionary Support Regulations (NI) 2016</p> <p>The Proceeds of Crime (Northern Ireland) Order 1996</p> <p>The Proceeds of Crime Act 2002</p> <p>The Administration of Estates Act (Northern Ireland) 1955</p> <p>The Welfare Supplementary Payment (Amendment) Regulations (NI) 2017</p> <p>The Loans for Mortgage Interest Regulations (NI) 2017</p> <p>The Social Security (Claims and Payments) Regulations (NI) 1987</p>	
12.11	Project Finance	Project financial records	7 years	Financial Audit including HMRC VAT Requirement	Destroy
12.12	Project Administration	Administration and management of projects designed to modernise the Department's debt management function particularly in relation to digitisation	5 years	To meet business need	PRONI Appraisal

Function: Employment

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
13.1	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Management of the Department's relationship with ALBs and NDPBs including USEL and Enterprise Ulster (now defunct) etc	5 years	To meet business need Disabled Persons (Employment) Act (Northern Ireland) 1945 Disability Discrimination Act 1995 (DDA 1995)	PRONI Appraisal
13.2	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Asset Management including managing financial resources including resource acquisition, accounting, budget allocations and submissions, allowances, business cases	7 years	Financial Audit including HMRC VAT Requirement	PRONI Appraisal
13.3	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Audit and Accountability, records relating to ensuring compliance with statutory & administrative requirements for the use of Public Funds.	7 years	Financial Audit including HMRC VAT Requirement	Destroy
13.4	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Business planning records to address the long-term development of ALBs/NDPBs including development of strategies to meet departmental and ALB/NDPB goals and objectives	7 years	To meet business need	PRONI Appraisal
13.5	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Governance and monitoring of ALB/NDPB activities to ensure accountability and value for money	7 years	Financial Audit including HMRC VAT Requirement	Destroy
13.6	Claims Processing Programmes	Administrative processing of payment claims submitted by providers and participants on the Departments initiatives which are designed to help people to find and maintain employment	7 years	The Employment & Training Act (NI) 1950 Financial Audit including HMRC VAT Requirement	Destroy
13.7	Community and Customer Engagement	Liaison with internal and external stakeholders, including the public and employers, about the services available to help customers to find or maintain employment	5 years	To meet business need	Destroy
13.8	Community and Customer Engagement	Liaison with internal and external stakeholders, including the public and employers, about the services available to employers through the employment service	5 years	To meet business need	Destroy
13.9	Community and Customer Engagement	Customer Relations records detailing engagement with the public including answering queries or complaints	3 years	To meet business need	Destroy
13.10	Community and Customer Engagement	Creation, maintenance and update of agreement with delivery partners including memorandum of understanding, Data Sharing Agreements and Service Level Agreements	5 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
13.11	EURES Services	Delivery of services to assist European Jobseekers to seek employment in Northern Ireland and for Northern Ireland people to seek employment within Europe	5 years	To meet business Need	Destroy
13.12	EURES Services	Delivery of services to connect European employers with N. Ireland jobseekers and N. Ireland employers with European jobseekers	5 years	To meet business need	PRONI Appraisal
13.13	EURES Services	Maintenance of financial records relate to delivery of the Eures service	7 years	Financial Audit including HMRC VAT Requirement	PRONI Appraisal
13.14	EURES Services	Marketing and media relations to publicise the options available through the Eures service	5 years	To meet business need	PRONI Appraisal
13.15	EURES Services	Engagement with partners in Europe and particularly with those in the Republic of Ireland	5 years	To meet business need	PRONI Appraisal
13.16	European Social Fund Projects	Case files from projects funded through the European Union.	7 years	Article 38 of Commission Regulation 1260/1999 Financial Audit including HMRC VAT Requirement	PRONI Appraisal
13.17	Financial Management	Management of financial resources related to the applications and associated support for systems used by the Department to help people find and maintain employment	7 years	Financial Audit including HMRC VAT Requirement	Destroy
13.18	Grants and funding	Development and administration of grants, funds and other financial measures put in place to assist people to find and maintain employment .e.g Adviser Discretion Fund in Northern Ireland.	5 years	To meet business need	Destroy
13.19	Grants and funding	Financial records including payments and monitoring to ensure grants and awards provided are used to help individuals find or maintain employment	7 years	Financial Audit including HMRC VAT Requirement	Destroy
13.20	Legislation	Development and implementation of primary or secondary legislation in relation to the provision corporate accommodation and support services.	5 years	To meet business need	PRONI Appraisal
13.21	Legislation	Original sealed copy of any legislation in the related to the provision of corporate accommodation and support services which the Department is responsible for bringing forward	5 years	To meet business need	PRONI Permanent Preservation
13.22	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
13.23	Marketing and Media Relations	Management of events, exhibitions, media releases, news cuttings and other related activities such as jobfairs and market research undertaken to assess both	5 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
		customer needs and services provided by the department to employees, employers and jobseekers			
13.24	Marketing and Media Relations	Management of the Department's relationships with the media, such as the issuing press releases and briefings, the organisation of interviews and the provision of access to media outlets.	5 years	To meet business need	Destroy
13.25	Marketing and Media Relations	Financial records in relation to marketing the Department's services to employees, employers and jobseekers	7 years	To meet business need	Destroy
13.26	Occupational/Work Psychology Services	Administration and delivery of the Occupational Psychology service to help people address disabilities of mental health barriers to gaining or maintaining employment	5 years	To meet business need	Destroy
13.27	Occupational/Work Psychology Services	Individual client records detailing applications for assistance and the interventions provided by the service to help customers gain or maintain employment	3 years	The Equality Act 2010	Destroy
13.28	Occupational/Work Psychology Services	Administration and delivery of the Well Being Service to Departmental staff to enable them to look after their own wellbeing through promotion and provision of events and guidance; and signposting of additional resources	3 years	To meet business need	Destroy
13.29	People with Disabilities	Design, administration and implementation of programmes and initiatives designed to support customers with a disability to gain or maintain employment	7 years	The Equality Act 2010	PRONI Appraisal
13.30	People with Disabilities	Engagement with community stakeholders to assist in identifying and addressing issues affecting those customers seeking or in employment e.g. HWSB Disability Stakeholder Forum	5 years	Disabled Persons (Employment) Act (Northern Ireland) 1945 The Employment & Training Act (NI) 1950 Disability Discrimination Act 1995	Destroy
13.31	People with Disabilities	Assisting both customers with disabilities and employers to meet the requirement to provide reasonable adjustments to enable customers with disabilities to gain, maintain and development employment options	5 years	Disability Discrimination Act 1995; Equality Act 2010 (NI); Special Educational Needs & Disability (NI) Order 2005	Destroy
13.32	Policy	Development, review and implementation of policy related to assist both able-bodied customers and those with Disabilities or other barriers to find and maintain employment	5 years	To meet business need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
13.33	Policy	Development, review of policies related to working with partners to assisting both able-bodied customers and those with Disabilities or other barriers to find and maintain employment	5 years	To meet business need	PRONI Appraisal
13.34	Policy	Development, review and implementation of policy related to the assistance the Department can provide to employers	5 years	To meet business need	PRONI Appraisal
13.35	Procedures and Guidance	Development and update of Departmental guidance in relation to delivery of services designed to help people to find and maintain employment.	5 years	To meet business need	Destroy
13.36	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department works in partners who deliver services designed to help people to find or maintain employment	5 years	To meet business need	Destroy
13.37	Procurement, Tendering & Contracts	Management and monitoring of procured contracts including assessing tenders; awarding contracts; monitoring of contract performance. Contracts relate to services delivered by partners to help people to find and maintain employment and if appropriate with employers	7 years	Financial Audit including HMRC VAT Requirement Limitation (NI) Order 1989 The Equality Act 2010	Destroy
13.38	Programmes	Development management and Administration of programmes to designed to help people to find or maintain employment e.g. Access to Work, Workable NI, Jobstart	5 years	To meet business need The Social Need (NI) Order 1986 Employment and Training Act Welfare Reform Act (2012)	PRONI Appraisal
13.39	Programmes	Internal Departmental management checks designed to ensure programmes are proceeding as expected	3 years	To meet business need	Destroy
13.40	Programmes	Management of individual case files for those people who participate on the programmes provided by the Department	7 years	The Employment & Training Act (NI) 1950 Financial Audit including HMRC VAT Requirement	Destroy
13.41	Programmes	Programme finance records including payments made in relation to programmes designed to help people to find or maintain employment. Including financial memorandum of understanding, financial Service level agreements and payments to both partners, employers and individual programme participants	7 years	Financial Audit including HMRC VAT Requirement	Destroy
13.42	Regional Network Support	Administrative support to the Department's network of Jobs and Benefits offices	5 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
13.43	Targeted Initiatives	Management of individual projects financed through the Targeted Initiatives programme	7 years	To meet business need	PRONI Appraisal
13.44	Translation Service	Delivery of a translation service to customers whose first language is not English to enable them to avail of the opportunities provided through the employment service	5 years	To meet business need	Destroy
13.45	Translation Service	Payment records for delivery of services by translation partners	7 years	Financial Audit including HMRC VAT Requirement	Destroy
13.46	Vacancy Records	Vacancy management records	5 years	To meet business need	Destroy
13.47	Strategy	Development, review and implementation of both long and short term strategy to assist both able-bodied customers and those with Disabilities or other barriers to find and maintain employment and to modernise service delivery	5 years	To meet business need	PRONI Appraisal

Function: Fraud Management

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
14.1	Counter-Fraud, Raising Concerns and Complaints	Allegations, investigations for cases that did not result in prosecution, inspections, reports and returns	7 years	Business Need	Destroy
14.2	Counter-Fraud, Raising Concerns and Complaints	Investigations of cases that resulted in prosecution	10 years	Business Need	PRONI Appraisal
14.3	Investigations	Management and monitoring of investigations carried out in relation to suspected cases of benefit fraud.	5 years unless additional action is required on the case	Social Security Administration (Northern Ireland) Act 1992 Social Security Fraud Act (Northern Ireland) 2001 Covert surveillance code of practice (RIPA) https://www.gov.uk/government/publications/covert-surveillance-and-covert-human-intelligence-sources-codes-of-practice Communications data code of practice (IPA) https://www.gov.uk/government/publications/communications-data-code-of-practice Regulation of Investigatory Powers Act 2000; Proceeds of Crime Act (POCA) 2002.	Destroy
14.4	Legislation	Development and implementation of primary or secondary legislation related to investigation, prevention or detection of benefit fraud	5 years	Social Security Administration (Northern Ireland) Act 1992 Social Security Fraud Act (Northern Ireland) 2001 Covert surveillance code of practice (RIPA) https://www.gov.uk/government/publications/covert-surveillance-and-covert-human-intelligence-sources-codes-of-practice Communications data code of practice (IPA) https://www.gov.uk/government/publications/communications-data-code-of-practice Regulation of Investigatory Powers Act 2000; Proceeds of Crime Act (POCA) 2002	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
14.5	Legislation	Original sealed copy of any legislation related to investigation, prevention or detection of benefit fraud	5 years	To meet business need	PRONI Permanent Preservation
14.6	Legislation	Input to the development of legislation related to investigation, prevention or detection of benefit fraud for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
14.7	Meetings	Agendas, minutes and associated reports related to investigation, prevention or detection of benefit fraud	5 years	To meet business need	Destroy
14.8	Policy	Development, review and implementation of policy related to investigation, prevention or detection of benefit fraud	5 years	To meet business need	PRONI Appraisal
14.9	Procedures and Guidance	Development, implementation and update of Departmental guidance related to investigation, prevention or detection of benefit fraud	5 years	Social Security Administration (Northern Ireland) Act 1992 Social Security Fraud Act (Northern Ireland) 2001 Covert surveillance code of practice (RIPA) https://www.gov.uk/government/publications/covert-surveillance-and-covert-human-intelligence-sources-codes-of-practice Communications data code of practice (IPA) https://www.gov.uk/government/publications/communications-data-code-of-practice Proceeds of Crime Act (POCA) 2002 Regulation of Investigatory Powers Act 2000	Destroy
14.10	Procedures and Guidance	Development, implementation and update of procedures and guidance developed by external stakeholders related to investigation, prevention or detection of benefit fraud	5 years	To meet business need	Destroy
14.11	Reporting	Creating and providing formal statements of findings regarding the management and monitoring of fraud. Includes management information and the submission of annual fraud returns.	5 years	To meet business need Data Protection Act 2018 (DPA) UK GDPR Article 5(1)(e)	PRONI Appraisal

Function: Historic Environment

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
15.1	Applications	Funding : Applications from organisations and individuals for funding towards the conservation, preservation and protection of monuments and listed buildings	7 years	To meet business need	Permanent Retention by DFC
15.2	Applications	Licences : applications to permit archaeological excavation or similar works at historical sites	5 years	To meet business need	Permanent Retention by DFC
15.3	Applications	Permits : applications for consents, licences and permissions to carry out work, grant aid towards the repair and restoration of monuments and buildings	5 years	Food and Environment Protection Act 1985	Permanent Retention by DFC
15.4	Applications	HMRC Conditional Exemption : applications for exemption from inheritance tax and capital gains tax related to historical buildings	5 years	To meet business need	Permanent Retention by DFC
15.5	Archive & Library	Maintenance and development of a physical and digital collection of historic buildings and monument material.	5 years	To meet business need	Permanent Retention by DFC
15.6	Climate Change	Records relating to the impact of climate change on monuments, buildings etc within the historic environment	5 years	To meet business need	Destroy
15.7	Education	Provision of information about the availability of educational opportunities with regard to historic monuments and buildings. Examples include the development of resource packs for historic monuments and buildings, such as Carrickfergus Castle. Also refers to the promotion of Built Environment and the holding of special events such as European Heritage Open Days.	5 years	Historic Monuments & Archaeological Objects (NI) Order 1995 Section 80 of the Planning Act (NI) 2011	Destroy
15.8	Enforcement – No Action	Execution of enforcement procedures in relation to the protection and conservation of historic monuments and buildings. Includes the issuing of penalties for unauthorised work to an historic building or monument, searching for archaeological objects without a licence, failing to report a find.	1 year	Historic Monuments & Archaeological Objects (NI) Order 1995 Planning Act (NI) 2011	Permanent Retention by DFC
15.9	Enforcement – Major Cases	Execution of enforcement procedures in relation to the protection and conservation of historic monuments and buildings. Includes the issuing of penalties for unauthorised work to an historic building or monument, searching for archaeological objects without a licence, failing to report a find.	5 Years	Historic Monuments & Archaeological Objects (NI) Order 1995 Planning Act (NI) 2011	Permanent Retention by DFC

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
15.10	Historic Environment Record of Northern Ireland (HERONI)	Records relating to the development of HERONI including databases of information and outreach activities.	5 years	To meet business need	Permanent Retention by DFC
15.11	Legislation	Development and implementation of primary or secondary legislation related to the historic environment	5 years	To meet business need	PRONI Appraisal
15.12	Legislation	Original sealed copy of any legislation related to the historic environment	5 years	To meet business need	PRONI Permanent Preservation
15.13	Legislation	Input to the development of legislation related to the historic environment	5 years	To meet business need	Destroy
15.14	Liaison	Liaison with stakeholders concerned with the Historic Environment including provision of advice, establishment of links and communications with Departments and Organisations.	3 years	To meet business need	Permanent Retention by DFC
15.15	Liaison	Development of Partnership arrangements with bodies concerned with the preservation, conservation and upkeep of the historic environment.	3 years	To meet business need	Permanent Retention by DFC
15.16	Meetings	Meetings with internal and external stakeholders to address issues related to the historic environment	5 years	To meet business need	Destroy
15.17	Policy	Development, review and implementation of policy related to the ongoing support of the historic environment	5 years	To meet business need	PRONI Appraisal
15.18	Policy	Development, review of policies related to working in partnership with bodies involved in the support of the historic environment	5 years	To meet business need	PRONI Appraisal
15.19	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department manages and support the historic environment	5 years	To meet business need	Destroy
15.20	Project Finance	Project financial records	7 years	Financial Audit including HMRC VAT Requirement	Destroy
15.21	Project Administration	Administration and management of projects related to the conservation, preservation and protection of monuments and listed buildings	5 years	To meet business need	PRONI Appraisal
15.22	Protection and Identification of historical sites	Historic Buildings protection and identification	10 years	Planning Act (NI) 2011	Permanent Retention by DFC

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
15.23	Protection and Identification of historical sites	Historic Monuments protection and identification	10 years	Historic Monuments & Archaeological Objects (NI) Order 1995	Permanent Retention by DFC
15.24	Protection and Identification of historical sites	Archaeological Sites protection and identification	10 years	Historic Monuments & Archaeological Objects (NI) Order 1995	Permanent Retention by DFC
15.25	Protection and Identification of historical sites	Treasure Cases & Metal Detecting at historic sites	5 years	Historic Monuments & Archaeological Objects (NI) Order 1995 Treasuries Act 1996	Permanent Retention by DFC
15.26	Protection and Identification of historical sites	Agri-Environment Schemes protection and identification	10 years	Historic Monuments & Archaeological Objects (NI) Order 1995	Permanent Retention by DFC
15.27	Protection and Identification of historical sites	Listing Queries - activities associated with scheduling monuments, listing buildings and designating conservation areas	5 years	Planning Act (NI) 2011	PRONI Appraisal
15.28	Recording	Identification of potential Archaeological Sites & Monuments including initial investigation and assessment resource implications	5 years	Historic Monuments & Archaeological Objects (NI) Order 1995	Permanent Retention by DFC
15.29	Recording	Historic Buildings, Ordnance Survey Maps of Historic Buildings, which are listed.	5 years	Planning Act (Northern Ireland) 2011	Permanent Retention by DFC
15.30	Recording	Spatial Planning & Land Use Change, records relating to archaeological evaluations of sites where changes to land use are proposed.	5 years	Planning Act (Northern Ireland) 2011	Permanent Retention by DFC
15.31	Recording	Field Monument Wardens : field monument reports and records of visits to sites	5 years	Historic Monuments & Archaeological Objects (NI) Order 1995	Permanent Retention by DFC
15.32	State Care Operational Management	Maintenance, preservation and conservation of Monuments in State Care.	5 years	Historic Monuments & Archaeological Objects (NI) Order 1995	Permanent Retention by DFC

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
15.33	State Care Investment Programme (SCIP)	Governance of the State Care Investment Programme	10 years	To meet business need	Destroy
15.34	Statutory Advisory Bodies	Historic Buildings Council : Record of the advice given to the Department on the listings of special architectural or historic interest, designating of Conservation Areas and the general state of the preservation of listed buildings	5 years	Planning Act (Northern Ireland) 2011	PRONI Appraisal
15.35	Statutory Advisory Bodies	Historic Monuments Council : Record of the advice given to the Department on the scheduling and rescheduling of historic monuments and the designating of areas of special archaeological interest.	5 years	Historic Monuments & Archaeological Objects (NI) Order 1995	Permanent Retention by DFC

Function: Housing

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
16.1	Affordability	Monitoring the provision of social housing in Northern Ireland including the private rented sector.	10 years	To meet business need	Destroy
16.2	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Management of the Department's relationship with ALBs/NDPBs including the Northern Ireland Housing Executive (NIHE)	5 years	To meet business need	PRONI Appraisal
16.3	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Asset Management including managing financial resources including resource acquisition, accounting, budget allocations and submissions, allowances, business cases	7 years	Financial Audit including HMRC VAT Requirement	PRONI Appraisal
16.4	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Audit and Accountability, records relating to ensuring compliance with statutory & administrative requirements for the use of Public Funds.	7 years	Financial Audit including HMRC VAT Requirement	Destroy
16.5	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Business planning records to address the long-term development of ALBs/NDPBs including development of strategies to meet departmental and ALB/NDPB goals and objectives	7 years	To meet business need	PRONI Appraisal
16.6	Arms Length Bodies (ALBs) and Non Departmental Public Bodies (NDPBs)	Governance and monitoring of ALB/NDPB activities to ensure accountability and value for money	7 years	Financial Audit including HMRC VAT Requirement	Destroy
16.7	Asset Management	Management of financial resources including resource acquisition, accounting, budget allocations and submissions, allowances, asset management, funding and business cases.	7 years	Financial Audit including HMRC VAT Requirement	Destroy
16.8	Committees	Management, attendance or submissions to formal committees including the Public Accounts Committee (PAC), the British Irish Council, cross NICS committees and any others with a Housing related element	5 years	The Northern Ireland Act 1998 <i>Assembly Standing Order 56</i>	PRONI Appraisal
16.9	Customer and Community Engagement	Liaison with internal and external stakeholders, including the public, about issues related to the Department's housing functions	5 years	To meet business need Data Protection Act 2018	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
16.10	Customer and Community Engagement	Customer Relations answering queries or complaints about issues related to the Department's housing functions	3 years	To meet business need	Destroy
16.11	Financial Management	Management of financial resources related to the delivery of the Department's housing related functions	7 years	Financial Audit including HMRC VAT Requirement	Destroy
16.12	Governance	Financial governance : Management and evaluation of financial systems used by the Department to ensure they meet all statutory and sector specific requirements	7 years	Financial Audit including HMRC VAT Requirement	Destroy
16.13	Governance	Corporate Governance : Management, development and monitoring of compliance with the Corporate Governance Framework including establishing standards of good practice in relation to board leadership, effectiveness and standards in relation to relationships between the Department and all partners both internal and external.	5 years	To meet business need	PRONI Appraisal
16.14	Housing Associations	Governance of Registered Housing Associations including Judgement reports, Key performance reports; notifiable events etc	5 years	To meet business need	Destroy
16.15	Housing Associations	Records detailing the advice and guidance issued to RHAs both in response to specific queries and at sector specific level	5 years	To meet business need	Destroy
16.16	Housing Associations	Inspection Programme : Development inspections, post inspection action, inspection manual & special exercises delivered by the Department in its role as the Regulatory Authority for Registered Housing Associations (RHAs) in Northern Ireland	5 years	The Housing (NI) Order 1983, 1986, 1988, 1992, 2003; The Housing (Amendment) (NI) Order 2006; The Housing (Amendment) Act (NI) 2010, 2011.	Destroy
16.17	Housing Associations	Annual Inspections & Management Information	5 years	To meet business need	Destroy
16.18	Housing Associations	Archive copies of the Housing Association Guide Master Copy covering 2003 to 2009; 2009/2010; and 2010/2011	10 years	To meet business need	PRONI Appraisal
16.19	Housing Associations	Provision and update of The Housing Association Guide to ensure RHAs are aware of their responsibilities, able to meet the conditions for receipt of capital grants from NIHE and have robust policy and procedures in place and deliver services in an equitable manner.	5 years	To meet business need	Destroy
16.20	Housing Investment	Business Support, Social Housing Development Programme	5 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
		Papers relating to the Social Housing Development Programme – a three year rolling programme of planned social housing construction and provision			
16.21	Housing Investment	Social Clauses, Housing Quality Indicators, Community Assets Transfer, Shared Communities. Papers relating to Social Clauses, Housing Quality Indicators, Community Assets Transfer, Shared Communities	10 years	To meet business need	Destroy
16.22	Landlord Registration	Management and publicising of the Landlord Registration Scheme	5 years	Data Protection Act 2018 The Landlord Registration Scheme Regulations (Northern Ireland) 2014	Destroy
16.23	Legislation	Development and implementation of primary or secondary legislation in relation to the Department's functions in regard to Housing.	5 years	To meet business need	PRONI Appraisal
16.24	Legislation	Original sealed copy of any legislation in relation to the Department's functions in regard to Housing which the Department is responsible for bringing forward	5 years	To meet business need	PRONI Permanent Preservation
16.25	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
16.26	NIHE Operations	Vestings & NIHE Rent Increase	5 years	To meet business need	PRONI Appraisal
16.27	NIHE Operations	Housing Demolitions, Extinguishments	10 years	Financial Audit including HMRC VAT Requirement	PRONI Appraisal
16.28	NIHE Operations	NIHE Review, Statistics & Maintenance	10 years	Financial Audit including HMRC VAT Requirement	Destroy
16.29	NIHE Operations	Inspections of NIHE rented properties prior to 2022/23.when the inspections ended	5 years	To meet business need	Destroy
16.30	NIHE Operations	Special payments made by NIHE e.g. Public Liability Claims	7 years	To meet business need	Destroy
16.31	Policy	Development, review and implementation of policy related delivery of the Department's responsibilities for housing e.g. Social Housing Policy, Social Housing Reform, TBUC, Residential Safety, Housing Associations etc	5 years	To meet business need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
16.32	Policy	Development, review and implementation of policies of stakeholders in the housing sector e.g. NIHE, Housing Associations etc	5 years	To meet business need	PRONI Appraisal
16.33	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department works with partners in the housing sector.	5 years	To meet business need	Destroy
16.34	Procedures and Guidance	Development and updated of internal procedures and guidance for staff involved in the delivery of housing related functions e.g. Social Housing Policy, Social Housing Reform, TBUC, Residential Safety, Housing Associations etc	5 years	To meet business need	Destroy
16.35	Procurement, Tendering & Contracts	Management and monitoring of procured contracts including assessing tenders; awarding contracts; monitoring of contract performance. Contracts relate to the delivery of the Department's housing functions including services provided by partners and others in the sector	7 years	Financial Audit including HMRC VAT Requirement Limitation (NI) Order 1989	Destroy
16.36	Project Finance	Project financial records	7 years	Financial Audit including HMRC VAT Requirement	Destroy
16.37	Project Administration	Administration and management of projects related to the Departments delivery of its housing function.	5 years	To meet business need	PRONI Appraisal
16.38	Programmes	Development management and Administration of programmes to support the development of the housing sector e.g. Social Housing Reform Programme, Building Successful Communities Together Building United Communities & Economic Pact	5 years	To meet business need Together: Building a United Community Strategy	PRONI Appraisal
16.39	Programmes	Programme finance records including payments made in relation to programmes designed to support the community and voluntary sector	7 years	Financial Audit including HMRC VAT Requirement	Destroy
16.40	Programmes	Financial records related repayments made in regard to the Loan to Acquire Move on Accommodation (LAMA) programme which can encompass 25 year loans	25 years	Financial Audit including HMRC VAT Requirement	Destroy
16.41	Rent Officer for NI	Finance, relating to the function of the Rent Officer whose role is to determine an appropriate rent for protected/statutory tenancies and for those where the property was built pre 1945 and found to be unfit for human habitation	7 years	The Private Tenancies (NI) Order 2006; The Rent Order (NI) 1978	Destroy
16.42	Rent Officer for NI	Administrative support to the Rent Officer in delivering their statutory functions	10 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
16.43	Research	Departmental and commissioned research from sectoral partners into the housing sector e.g. Social Inclusion & Support for People, NIHE Research Programme, Residential building safety etc	5 years	To meet business need	Permanent Retention by DFC
16.44	Research	Housing Markets & Supply, Standards & Sustainability, Supporting Documentation, Policy Evaluation	10 years	To meet business need	Destroy
16.45	Research	Affordability : research related to social housing in Northern Ireland including the private rented sector.	5 years	To meet business need	Destroy
16.46	Research	Research financial records detailing payment and associated expenditure related to research activities	7 years	Financial Audit including HMRC VAT Requirement	Destroy
16.47	Residential Building Safety	Information, records and activity associated with the setup of the division and work of the Interim Team as per Recommendation 1 and 2 of the Expert Panel Report on residential building safety in NI.	5 years	To meet business need	Destroy
16.48	Residential Building Safety	Observer Status Committees / Groups / Forums / meetings : Information relating to participation on Committees / Groups / Forums / meetings with other UK devolved nations for knowledge sharing and learning purposes.	5 years	To meet business need	Destroy
16.49	Residential Building Safety RBSD General	Management of the division such as workshops, away days, action learning, leave, other staff miscellaneous interests outside the division.	5 years	To meet business need	Destroy
16.50	Residential Building Safety	Cladding Safety Scheme : Information and records associated with the Cladding Safety Scheme administered by Homes England on behalf of MHCLG and particular to NI applications.	7 years (funding) 5 years (other)	Cladding and the Building Safety Act 2022	PRONI Appraisal
16.51	Residential Building Safety	Construction Products : Information related to construction products and particular to residential buildings.	5 years	To meet business need	Destroy
16.52	Social Inclusion & Support for People	Management of housing issues relating to defined social need including Active Ageing, Anti Poverty, Disability, Gender, Inclusion and Social change and Sexual Orientation.	5 years	16.52	PRONI Appraisal
16.53	Staff and Team Development	Management and engagement with divisional staff including workshops, away days, action learning, leave, other staff interests outside the division.	5 years	16.53	Destroy
16.54	Strategy	Development, review and implementation of strategy for the development of all aspect of the housing sector	5 years	To meet business need	PRONI Appraisal

Function: Local Government

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
17.1	Application Administration (Minor)	Management of applications received from the public for the exhumation of human remains from Council owned burial grounds which do not result in any legal action	7 years	The Burial Grounds Regulations (NI) 1992	Destroy
17.2	Application Administration (Minor)	Management of applications received from Councils for ministerial approval to dispose of land, transfer land between public authorities, acquire land through vesting or otherwise manage or obtain land which do not result in any legal action	7 years	Section 96 (1) & (2), Section 134 (4) Local Government Act (NI) 1972	Destroy
17.3	Application Administration (Major – attracting significant public interest)	Management of applications received from the public for the exhumation of human remains from Council owned burial grounds	7 years	The Burial Grounds Regulations (NI) 1992	PRONI Permanent Preservation
17.4	Application Administration (Major – attracting significant public interest)	Management of applications received from Councils for ministerial approval to dispose of land, transfer land between public authorities, acquire land through vesting or otherwise manage or obtain land	7 years	Section 96 (1) & (2), Section 134 (4) Local Government Act (NI) 1972	PRONI Permanent Preservation
17.5	Applications Finance (Minor)	Management of applications from district councils for support from the Department regarding the Capital Fund, the Renewal and Repair Fund and Sale of Capital Assets. Applications from District Councils for Departmental approval, under, for the Department's approval to borrow monies to finance capital schemes.	7 years	Article 19 of LG Order (NI) 2005 Section 61 of the Local Government Act (NI) 1972	Destroy
17.6	Applications Finance (Minor)	Loan Sanctions, applications from District Councils for Departmental approval, under Section 61 of the Act, for the Department's approval to borrow monies to finance capital schemes.	7 years	Local Government Act (NI) 1972	Destroy
17.7	Applications Finance (Minor)	Management of applications from district councils for departmental approval regarding Capitalisation Direction. Includes process documents, liaison with DFP for approval of application, record of decisions and monitoring information, dispute meeting arrangements etc	7 years	Local Government Finance Act (NI) 2011	Destroy
17.8	Applications Finance (Major – attracting significant public interest)	Management of applications from district councils for support from the Department regarding the Capital Fund, the Renewal and Repair Fund and Sale of Capital Assets. Applications from District Councils for Departmental approval, under, for the Department's approval to borrow monies to finance capital schemes.	7 years	Article 19 of LG Order (NI) 2005 Section 61 of the Local Government Act (NI) 1972	PRONI Permanent Preservation

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
17.9	Applications Finance (Major – attracting significant public interest)	Loan Sanctions, applications from District Councils for Departmental approval, under Section 61 of the Act, for the Department's approval to borrow monies to finance capital schemes.	7 years	Local Government Act (NI) 1972	PRONI Appraisal
17.10	Applications Finance (Major – attracting significant public interest)	Management of applications from district councils for departmental approval regarding Capitalisation Direction. Includes process documents, liaison with DFP for approval of application, record of decisions and monitoring information, dispute meeting arrangements etc	7 years	Local Government Finance Act (NI) 2011	PRONI Permanent Preservation
17.11	Committees	Administration and attendance at formal committees designed to address issues related to local government	5 years	To meet business need	PRONI Appraisal
17.12	Community Engagement	Liaison with internal and external stakeholders, including the public, about the local government sector including	5 years	To meet business need	Destroy
17.13	Community Engagement	Customer Relations records encouraging people engage more fully with the Arts, Culture and Sports Sector and answering queries or complaints	3 years	To meet business need	Destroy
17.14	Grants	Administration, management and payment of grants to Councils including Construction, General Grant, Emergency Financial Assistance Schemes, Rates Support, Derating and Transferred Functions Grant	7 years	Local Government Finance Act (NI) 2011 (Section 26 and 27) Local Government Act (NI) 2014 (Section 114) The Local Government (Rates Support Grant) Regulations (NI) 2011 The Local Government (Transferred Functions Grant) Regulations (NI) 2015	Destroy
17.15	Grants (Major – attracting significant public interest)	Administration, management and payment of grants to Councils including Construction, General Grant, Emergency Financial Assistance Schemes, Rates Support, Derating and Transferred Functions Grant	7 years	Local Government Finance Act (NI) 2011 (Section 26 and 27) Local Government Act (NI) 2014 (Section 114) The Local Government (Rates Support Grant) Regulations (NI) 2011	PRONI Permanent Preservation

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
				The Local Government (Transferred Functions Grant) Regulations (NI) 2015	
17.16	Grants	Emergency Planning Grant including payment of Emergency Planning Grants in accordance with Article 29 of the Local Government (Northern Ireland) Order 2005.	7 years	Local Government (NI) Order 2005	Destroy
17.17	Grants (Major – attracting significant public interest)	Emergency Planning Grant including payment of Emergency Planning Grants in accordance with Article 29 of the Local Government (Northern Ireland) Order 2005.	7 years	Local Government (NI) Order 2005	PRONI Permanent Preservation
17.18	Liaison	Working in partnership with internal and external partners including District Councils; GB and International equivalents; DOF and other NICS Departments; and other stakeholders to ensure delivery of the Departments function in regard to the local government sector	3 years	To meet business need	Destroy
17.19	Legislation	Development and implementation of primary or secondary legislation in relation to the local government sector and in relation to the areas covered by Social Policy e.g. liquor licensing, registered clubs, gambling, drinking in public, Sunday trading	5 years	To meet business need	PRONI Appraisal
17.20	Legislation	Original sealed copy of any legislation related to the local government sector and in relation to the areas covered by Social Policy e.g. liquor licensing, registered clubs, gambling, drinking in public, Sunday trading	5 years	To meet business need	PRONI Permanent Preservation
17.21	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
17.22	Policy	Development, review and implementation of policy related to the local government sector e.g. Local Government modernisation and RPA	5 years	To meet business need	PRONI Appraisal
17.23	Policy	Development, implementation and review of policies related to working in partnership with the local government sector	5 years	To meet business need	PRONI Appraisal
17.24	Policy	Development of policies for liquor licensing, registered clubs, gambling, drinking in public, Sunday trading, entertainment licensing, street trading, pavement cafés, unauthorised encampments, licensing of sex establishments, acupuncture, ear piercing, and tattoo.	5 years	To meet business need	PRONI Appraisal
17.25	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department works in partnership with local government sector.	5 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
17.26	Project Management	Project financial records	7 years	Financial Audit including HMRC VAT Requirement	Destroy
17.27	Project Administration	Administration and management of projects related to the local government sector including those related to modernising and reforming the sector.	5 years	To meet business need	PRONI Appraisal
17.28	Programmes	Development management and Administration of programmes related to the local government sector including those related to modernising and reforming the sector.	5 years	To meet business need The Social Need (NI) Order 1986	PRONI Appraisal
17.29	Programmes	Programme finance records including payments made in relation to the local government sector	7 years	Financial Audit including HMRC VAT Requirement	Destroy
17.30	Meetings	Administration and attendance at meetings related to the local government sector including Finance Working Group, TASS Steering Group, Senior Management Team	5 years	To meet business need	Destroy
17.31	Payment to Councillors	Documentation relating to the determination of basic, attendance and special responsibility allowances payable to councillors, Chairs and Deputy Chairs including monitoring of same including Allowances, Travel & Subsistence etc	7 years	Local Government (Payments) Regulations (Northern Ireland) 1999 Local Government (Travel and subsistence to Councillors) (No 2) Regulations (Northern Ireland) 1973	Destroy
17.32	Review & Evaluation Programme	Records relating to the review of various aspects of the administration and governance of the new councils one year after reorganisation.	5 years	To meet business need	Destroy
17.33	Reporting	Reporting to Senior Management about the delivery of the Department's function in regard to the local government sector and in relation to the development and implementation of social policy issues	5 years	To meet business need	PRONI Appraisal

Function: Social Security

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
18.1	Administrative Penalty Cases (ADPEN)	Individual case files	2 years	Criminal Procedures and Investigations Act 1996	Destroy
18.2	Appeals	Commissioners	10 years	To meet business need	Destroy
18.3	Appeals	Courts	10 years	To meet business need	Destroy
18.4	Appeals	Dectrans	40 years	To meet business need	Destroy
18.5	Appeals	Housing Benefit	10 years	To meet business need	Destroy
18.6	Benefit Fraud Investigations	Criminal investigation file	5 years	Social Security Administration (Northern Ireland) Act 1992 Social Security Fraud Act (Northern Ireland) 2001 Criminal Procedures and Investigations Act 1996 Code of Practice 5.8 Regulation of Investigatory Powers Act Communications Data Code of Practice – Investigatory Powers Act 2016	Destroy
18.7	Benefit Fraud Investigations	Prosecution File From date of sentence. If custodial sentence retain for 2 years from date of conviction or until customer's release (whichever is longer).	Minimum 2 years	Criminal Procedures and Investigations Act 1996 Code of Practice Paragraph 5.8 refers	Destroy
18.8	Benefit Fraud Investigations	Criminal Investigation File (Appeal outstanding)	Retain until decision on appeal against conviction is determined	Criminal Procedures and Investigations Act 1996 Code of Practice Paragraph 5.10 refers	Destroy
18.9	Benefit Fraud Investigations	Disclosure requests from 3 rd parties / customers HMRC / NIHE requests	18 calendar months from date of request	Criminal Procedures and Investigations Act 1996 Code of Practice Paragraph 5.9 refers	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
18.10	Benefit Fraud Investigations	Criminal Investigation File with FIU Interest	6 years from the date of the confiscation order	Proceeds of Crime Act 2002 Section 171	Destroy
18.11	Closed Customer Claims	Benefit claims (excluding UC) which have closed because there is not entitlement to benefit or entitlement to benefit or credit ends	2 years	Data Protection Act 2018 / UKGDPR	Destroy
18.12	Closed Customer Claims	Carers Allowance claims which have closed because there is not entitlement to benefit or entitlement to benefit or credit ends	26 months	Data Protection Act 2018 / UKGDPR	Destroy
18.13	Closed Customer Claims	Industrial Injuries Benefits claims which have closed because there is not entitlement to benefit or entitlement to benefit or credit ends	2 years	Data Protection Act 2018 / UKGDPR	Destroy
18.14	Confiscation Investigations	Defendant convicted and Confiscation Order made	6 years from date of conviction	To meet business need	Destroy
18.15	Confiscation Investigations	Defendant Convicted, no order made	6 years from date of conviction	Proceeds of Crime Act 2002 Section 172	Destroy
18.16	Confiscation Investigations	Defendant not convicted or not prosecuted	2 years from date of FIU closure	Proceeds of Crime Act 2002 Section 169 & 170	Destroy
18.17	Customer Complaints	Benefit related customer complaints	3 years	To meet business need	Destroy
18.18	Elected Representative Correspondence	Correspondence from elected representatives (MP, MLA and Councillor) related to benefit delivery or customer claims	3 years	To meet business need	Destroy
18.19	European Refugee Fund claims	Claims by Gateway Protection Programme refugees	5 years	Data Protection Act 2018 / UKGDPR	Destroy
18.20	Health Advice	Complaints, Monitoring, Auditing & Reporting	5 years	To meet business need	Destroy
18.21	Legislation	Development, review, update and implementation of primary or secondary legislation in relation to the delivery of social security services Income linked, Blue Volumes, commencement orders and other legislation	10 years	To meet business need	PRONI Appraisal
18.22	Legislation	Original sealed copy of any legislation related to the delivery of social security services.	5 years	To meet business need	PRONI Permanent Preservation

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
18.23	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	10 years	To meet business need	Destroy
18.24	Partnership Working	Development and ongoing management of arrangements for working in partnership with partners such as DWP, HMRC; NICS Departments; equivalents in other GB administrations; and other sectoral partners. Includes the development, implementation and review of data sharing agreements, MOUs etc	5 years	To meet business need	PRONI Appraisal
18.25	Policy	Development, review and implementation of policy related to the delivery of Social Security support including various Credits; Discretionary Support; relations with HMRC; agreements with sectoral partners; welfare reform; appeals reform; welfare mitigations; European and overseas issues; and legal aid	10 years	To meet business need	Permanent Retention by DFC
18.26	Policy	Development, review and implementation of policy related to the delivery of Social Security support including income linked benefits	5 years	To meet business need	Permanent Retention by DFC
18.27	Policy	Special Rules for Terminal Illness, papers, correspondence and documents relating to policy change	25 years	To meet business need	Permanent Retention by DFC
18.28	Policy	Common Provisions (Compensation Payment Schemes, Claims & Payments related Judicial Reviews & Deductions from Benefits & Legislation Review), Devolution of Social Security to Scotland	5 years	To meet business need	Permanent Retention by DFC
18.29	Policy	Common Provisions (Debt Management, Appeals Queries, Policy Lines, Recovery of Overpayments, Decisions & Appeals, Third Party Deductions), Disability & Incapacity, Pensions, Private Pensions	10 years	To meet business need	Permanent Retention by DFC
18.30	Procedures	Development of guidance and guidance material (process maps, lines to take, bulletins, draft letters, forms, leaflets, etc) to support procedural staff across benefit and pensions business areas in processing those benefits and pensions.	5 years	To meet business needs.	Destroy
18.31	Project Finance	Project financial records	7 years	Financial Audit including HMRC VAT Requirement	Destroy
18.32	Project Administration	Administration and management of projects related to the provision of benefits and pensions	5 years	To meet business need	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
18.33	Programmes	Development management and Administration related to the provision of benefits and pensions	5 years	To meet business need The Social Need (NI) Order 1986	PRONI Appraisal
18.34	Programmes	Programme finance records including payments made in relation to programmes designed to support the community and voluntary sector	7 years	Financial Audit including HMRC VAT Requirement	Destroy
18.35	Programmes	Programme Protection : monitoring and risk assessment documentation	10 years	To meet business need	Permanent Retention by DFC
18.36	Programmes	Method of Payment Reform, APMO Paper Files Scans	25 years	To meet business need	Destroy
18.37	Programmes	Universal Credit Programme, Pensions, Disability & Corporate Services	10 years	To meet business need	Destroy
18.38	RIPA Investigations	RIPA forms (non sanctioned cases / applications refused)	3 years	Regulation of Investigatory Powers Act 2000; RIP 1-4 Covert Surveillance Code of Practice Paragraph 2.14	Destroy
18.39	RIPA Investigations	RIPA forms (sanctioned cases)	5 years	To meet business need	Destroy
18.40	RIPA Investigations	Official Notebook, <i>from date of last entry or 6 months after expiry of appeal against conviction.</i>	5 years	To meet business need	Destroy
18.41	RIPA Investigations	Investigators Journals	28 months	To meet business need	Destroy
18.42	RIPA Investigations	Fraud Act Papers	2 years	To meet business need	Destroy
18.43	RIPA Investigations	Management Checks/QUAFs	2 years	To meet business need	Destroy
18.44	Senior Management Support	Support to Assistant Director and Directors responsible for delivering the Department's Social Services Function	5 years	To meet business need	Destroy
18.45	Senior Management Support	Input or draft responses to Ministerial queries related to benefit delivery or customer claims	5 years	To meet business need	Destroy
18.46	Senior Management Support	Management of CORs, AQWs, TOFs etc which fall to the senior team responsible for delivery of the Department's social services function	5 years	To meet business need	Destroy
18.47	Service Provision	The function of supporting and overseeing the payment of social security benefits and child support payments across Northern Ireland. Also includes the development and implementation of initiatives aimed at improving the management of benefits.	7 years	Data Protection Act 2018 / UKGDPR	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
18.48	Social Fund Repayments	List of Social Fund repayments received from Treasury Management Branch	7 years	Financial Audit including HMRC VAT Requirement	Destroy
18.49	Standards Assurance Review Cases	Reviews in to suggestions of benefit fraud and/or official error	2 years	Data Protection Act 2018 / UKGDPR	Destroy
18.50	Vaccine Damage Payment (VDP)Cases	Cases recording an award of VDP	2 years	Data Protection Act 2018 / UKGDPR	Destroy
18.51	Vaccine Damage Payment (VDP)Cases	Application for VDP which are subject to an appeal	6 years from the date of appeal notification	Data Protection Act 2018 / UKGDPR	Destroy
18.52	Vaccine Damage Payment (VDP)Cases	Application for VDP which are subject to the Tribunal	2 years from the date of tribunal notification	Data Protection Act 2018 / UKGDPR	Destroy
18.53	Vaccine Damage Payment (VDP)Cases	Application for VDP which are subject to a lay or medial rejections	Death of the Customer to allow for appeals	Data Protection Act 2018 / UKGDPR	Destroy
18.54	Voice Recordings	Recorded telephone calls from claimants in respect of benefit entitlement or advice and guidance	2 years unless an exception is raised	Data Protection Act 2018 / UKGDPR	Destroy

Function: Statistical & Research Management

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
19.1	Business Intelligence (BI)	Business Planning & Training related to the use of BI software to analyse and evaluate large scale data	5 years	To meet business need	Destroy
19.2	Business Intelligence (BI)	Business specific Dashboards and similar analysis created using BI software	10 years	To meet business need	Destroy
19.3	Business Intelligence (BI)	Maintenance of software licences for the BI software	5 years	To meet business need	Destroy
19.4	Community & Customer Engagement	Customer surveys of both internal and external customers	10 years	To meet business need	Destroy
19.5	Community & Customer Engagement	Management of correspondence from customers, internal and external stakeholders and organisations related to the Department's statistical and research activities	5 years	To meet business need	Destroy
19.6	Covid 19	Records detailing and reporting staffing arrangements to meet the challenges presented by the Covid pandemic	5 years	To meet business need	Destroy
19.7	Database Maintenance Team	Data logs and testing to ensure the integrity of research and statistical databases	5 years	To meet business need	Destroy
19.8	Departmental Statistics and Research	Generation of statistics and research in regard to the services provided by the Department through the Engaged Communities Groups e.g support to the voluntary and community sector etc	15 years	To meet business need	Destroy
19.9	Departmental Statistics and Research	Generation of statistics in regard to the services provided by the Department through the Employment Service	15 years	To meet business need	Destroy
19.10	Departmental Statistics and Research	Generation of statistics in regard to the services provided by the Department through the Housing and Sustainability group including Housing Bulletins, NIHE Data etc	10 years	To meet business need	Destroy
19.11	Departmental Statistics and Research	Generation of statistics in regard to the services provided by the Department through the Belfast and regional development teams (UCRDG)	10 years	To meet business need	Destroy
19.12	Policy	Development, review and implementation of policy related to the analyses and generation of statistics, use of technology, and production of research material	5 years	To meet business need	PRONI Appraisal
19.13	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department meets its requirement to generate research and statistical information.	5 years	To meet business need	Destroy
19.14	Publications	Development and publication of Departmental statistics and research	5 years	To meet business need	Destroy

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
19.15	Publications	Financial records related to the development and publication of research and statistical releases	7 years	Financial Audit including HMRC VAT Requirement	Destroy
19.16	Reporting	Copies of returns made on the research and statistical work produced by the Unit to Senior management	15 years	To meet business need	Destroy
19.17	Senior Statistical & Research Management	Collecting, collating and validating statistical and economic data. Includes the management of surveys conducted on a weekly, monthly, quarterly or yearly basis.	5 years	To meet business need	Destroy
19.18	Statistical Analysis	Collection, management and validation of statistical information produced at defined intervals or relating to specific trends. Includes statistical returns produced in relation to the benefit uptake, fraud, housing and income.	15 years	To meet business need	Destroy
19.19	Statistical Data	Collation and validation of statistical and economic data	15 years	To meet business need	Destroy
19.20	Statistical Surveys	Collection, collation and validation of statistical and economic data. Includes the management of surveys	15 years	To meet business need	Destroy
19.21	Strategy	Evaluation of Departmental Strategies including Welfare Reform	10 years	To meet business need	PRONI Appraisal
19.22	Work Programme	Maintenance of Customer lists	5 years	To meet business need	Destroy
19.23	Work Programme	Records detailing and monitoring the Divisional Annual Work Programmes	10 years	To meet business need	Destroy

Function: Urban Regeneration

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
20.1	Architecture and the Built Environment	Record of the work of the Department's Ministerial Advisory Group for Architecture & Built Environment, and the Strategic Design Group, co-Chaired by the MAG and DfI Planning	7 years	Financial Audit including HMRC VAT Requirement	PRONI Appraisal
20.2	Architecture and the Built Environment	Management of the Strategic Design Group relates to the organisation and administration of the aforementioned Strategic Design Group, its meetings, priorities and resulting work	5 years	To meet business need	PRONI Appraisal
20.3	Architecture and the Built Environment	Projects, papers in relation to the development, delivery and monitoring of arts and creativity projects.	5 years	Financial Audit including HMRC VAT Requirement	PRONI Appraisal
20.4	City Centre Regeneration	The activity associated with the development and implementation of initiatives aimed at the regeneration of towns and cities in Northern Ireland and to promote regional centres as places for - business, leisure and shopping.	7 years	'Financial Audit including HMRC VAT Requirement'	PRONI Appraisal
20.5	Community Engagement / Partnerships	Developing relationships and working with internal and external stakeholder by establishing partnerships with other government bodies, business and community groups to take these initiatives forward.	5 years	To meet business need	PRONI Appraisal
20.6	Community Engagement / Partnerships	Management of the Department's relationship with North West Company ILEX in regard to the Peace Bridge	7 years	'Financial Audit including HMRC VAT Requirement'	PRONI Appraisal
20.7	Financial Management	Management of financial resources related to the regeneration of the urban environment	7 years	Financial Audit including HMRC VAT Requirement	Destroy
20.8	Land Acquisition and Disposal	Transfer of land between public sector bodies, acquisition of land (vesting), disposal of surplus land etc.	10 years	Financial Audit including HMRC VAT Requirement	PRONI Appraisal
20.9	Meetings	Meetings and events aimed at internal and external stakeholders to promote and assist in the development of the urban environment including ILEX in relation to the Peace Bridge	7 years	To meet business need	Destroy
20.10	Procedures and Guidance	Development and update of Departmental guidance in relation to how the Department works in partnership to support the development of the urban environment	5 years	To meet business need	Destroy
20.11	Procurement, Tendering & Contracts	Management and monitoring of procured contracts including assessing tenders; awarding contracts; monitoring of contract performance. Contracts relate to public realm and revitalisation projects including Project Execution Plans, the completion	7 years	Financial Audit including HMRC VAT Requirement'	PRONI Appraisal

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
		of project Business Cases, RIBA reports, Project Evaluation Reviews, Post Project Evaluation and other governance material.			
20.12	Project Finance	Project financial records and governance of projects related to the Departments delivery of its urban regeneration aims and responsibilities	7 years	Financial Audit including HMRC VAT Requirement	Destroy
20.13	Project Administration	Administration and management of projects related to the redevelopment, regeneration and support of the urban environment	5 years	To meet business need	PRONI Appraisal
20.14	Programmes	Development management and Administration of programmes to support the regeneration of the urban environment including post programme evaluation. Programmes are designed to assist in improving the social, economic and physical environment of communities across Northern Ireland, the renewal of city centres, the development of public realm sites, Community Wealth Programme etc	7 years	'Financial Audit including HMRC VAT Requirement'	PRONI Appraisal
20.15	Programmes	Programme finance records including payments made in relation to programmes designed to support the development of the urban environment	7 years	Financial Audit including HMRC VAT Requirement	Destroy
20.16	Reporting	Work style agreements, shared island liaisons	7 years	Financial Audit including HMRC VAT Requirement	Destroy
20.17	Strategy	Development of long, medium and short term strategy to meet the Department's aims around the regeneration of the urban environment	5 years	To meet business need	PRONI Appraisal

Function: Universal Credit

Reference	Sub Function	Series - Universal Credit	Retention Period	Rationale	Final Action
21.1	Community Engagement	Engagement with internal and external stakeholders to promote the aims and delivery of the Universal Credit Programme	5 years	To meet business need	Destroy
21.2	Meetings	Programme Meetings, Internal Programme Planning and papers to support	10 years	The Universal Credit Regulations 2013	PRONI Appraisal
21.3	Meetings	Forum Meetings, forum meetings with DWP, Transformation Delivery Groups, Programme Board, Director, Trade Union Side, Working Age Group, Passported Benefits, Housing, Tax Credits, UC Operations, Risk Review, Move to UC and Programme Delivery Executive	10 years	The Universal Credit Regulations 2013	PRONI Appraisal
21.4	Meetings	DWP Meetings, programme Delivery Executive and DWP Complex Needs Steering Group	10 years	The Universal Credit Regulations 2013	PRONI Appraisal
21.5	Programme Implementation	Technical & Process Design. strand supporting documentation - Pre Universal Credit Full Service, UC Full Service Updates, NI IT Requirements, Strand Activities, UC Desk Aids and UC Landlord Portal Project	10 years	The Universal Credit Regulations 2013	Destroy
21.6	Programme Implementation	UC Partner Systems & Delivery Partners, strand supporting documentation detailing all UC Partner Systems and Delivery Partners – Telephony, IT Systems (CIS, DMS, CPS, TMS/RFC, DMACR, HMRC/RTE, CMS) and Operational Control Centre, UC Service Centre Partner System Deployment and Guidance	10 years	The Universal Credit Regulations 2013	Destroy
21.7	Programme Implementation	Organisation Design & Implementation, strand supporting documentation – Front Office implementation, Service Centre implementation, Operating Models, Control Centre Implementation, Welfare Reform, Managed Migration and Passported Benefits	10 years	The Universal Credit Regulations 2013	Destroy
21.8	Programme Implementation	Service Design, claimant Journey – Organisation design, External Stakeholder Engagement, Appeals Transformation Project, Operational Model Review – Claimant Layer, Telephony, Managed A Move and Move to UC	10 years	The Universal Credit Regulations 2013	Destroy
21.9	Programme Management	Governance records containing Planning, Assumptions, Risks, Issues, Decisions, Lessons and Action, Project Initiation Document, End Stage Assessments, Section 75, Programme Evaluation Review and Returns	10 years	The Universal Credit Regulations 2013	PRONI Appraisal
21.10	Programme Management	Product Management, record of all Stakeholder Engagement for Product Management including Product Quality Review, Product Descriptions, Change Requests and Configuration Library	10 years	The Universal Credit Regulations 2013	Destroy

Reference	Sub Function	Series - Universal Credit	Retention Period	Rationale	Final Action
21.11	Programme Management	Assurance, Business Readiness, Gateway Review, Finance and Workforce Planning Assurance, an Assurance for each UC Programme Strand at time of implementation, Grades 5 & 6 and details of DWP led reviews and advisory visits	10 years	The Universal Credit Regulations 2013	Destroy
21.12	Programme Management	Finance & Workforce Planning, Business Case, Finance and Resources	10 years	The Universal Credit Regulations 2013	Destroy
21.13	Programme Management	Benefit Recovery, Benefit Recovery Governance, Framework, Communication, Supporting Papers, Planning, Meetings, Telephony and Risk Management	10 years	The Universal Credit Regulations 2013	Destroy
21.14	Policy	Policy Development, technical & Process Design Strand – Policy Design Specification NI Versions including NI Payment flexibilities, Recoverable Hardship Payments, Fit Notes, JSA (C) new style, Discretionary Housing Payment, Prison Visits and SSPLD updates - UC PDS (NI)	10 years	The Universal Credit Regulations 2013	PRONI Appraisal
21.15	Policy	Managed Migration Policy, universal Credit Managed Migration DWP Policy and Universal Credit Managed Migration NI Policy	10 years	The Universal Credit Regulations 2013	PRONI Appraisal
21.16	Procedures and Guidance	Development and update of Departmental guidance in relation to delivery of the Universal Credit Programme	5 years	To meet business need	Destroy
21.17	Publications	Development, design and publication of leaflets and other material to promote and inform the public about the Universal Credit Programme	5 years	To meet business need	Destroy
21.18	Publications	Financial records related to the development and publication of UC material	7 years	Financial Audit including HMRC VAT Requirement	Destroy
21.19	Transformation	Customer & Business Transformation. Resource Strategy – UC Programme; and Local Office Transformation Programme	10 years	The Universal Credit Regulations 2013	PRONI Appraisal
21.20	Transformation	UC Programme Human Resources selection Tranche 1, 2 & 3, including all data capture, DDA, Welfare, Merit Lists, AWP/FTE, Acceptances and Declines. Customer & Business Transformation	10 years	The Universal Credit Regulations 2013	Destroy
21.21	Transformation	Labour Market & Employers Service Transformation, Labour Market & Employers Service Transformation – UC Operations Employer Engagement Model	10 years	The Universal Credit Regulations 2013	PRONI Appraisal

Reference	Sub Function	Series - Universal Credit	Retention Period	Rationale	Final Action
21.22	UC Operations	Provision of support to UC Operational staff in the delivery of the programme	7 years	The Universal Credit Regulations 2013	Destroy

Function Climate Change

Reference	Sub Function	Series	Retention Period	Rationale	Final Action
22.1	Financial Management	Management of financial resources related to the delivery of the Departments responsibilities in respect of climate change	7 years	Financial Audit including HMRC VAT Requirement	Destroy
22.2	Legislation	Development, revision and implementation of primary or secondary legislation to reduce residential carbon emissions in response to the Climate Change (Northern Ireland) Act 2022. Refers to the process of assessing and reviewing proposed legislation, as well as providing input into the amendment of existing legislation.	5 years	Climate Change Act (Northern Ireland) 2022 The Domestic Energy Efficiency Grants Regulations (Northern Ireland) 2009	PRONI Appraisal
22.3	Legislation	Original sealed copy of any legislation related to the community and voluntary sector.	5 years	To meet business need	PRONI Permanent Preservation
22.4	Legislation	Input to the development of legislation for which other public authorities have primary responsibility	5 years	To meet business need	Destroy
22.5	Policy	Development, review and implementation of policy related to the challenges presented by climate change and the Department's approach to combatting it	5 years	To meet business need	PRONI Appraisal
22.6	Policy	Development, review of policies related to working in partnership with partners in the community to address climate change issues	5 years	To meet business need	PRONI Appraisal
22.7	Stakeholder Engagement	Information and records relating to stakeholder engagement and consultation. This will include some personal information by way of contact details.	5 years	UK GDPR 2018, Data Protection Act 2018	Destroy
22.8	Strategy	Development, implementation and monitoring of the Departmental strategy to address climate changes including Residential Buildings Sector of the Climate Action Plan; Climate Change and Sustainability Strategy; Fuel Poverty Strategy; Fuel Poverty Energy Efficiency Scheme; and Residential Buildings Decarbonisation Strategy	5 years	To meet business need	PRONI Appraisal