



**Northern Ireland
Assembly**

Northern Ireland Assembly Commission

Retention and Disposal Schedule

Information Standards

2024

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Section 1 - Introduction

Function of the Northern Ireland Assembly Commission

The Northern Ireland Assembly Commission ('Assembly Commission') is the corporate body which provides the Northern Ireland Assembly ('the Assembly'), or ensures that the Assembly is provided with the property, staff and services required for the Assembly's purposes. The Assembly Commission is established under section 40 of the Northern Ireland Act 1998.

The Assembly Commission Records Management Policy and Guidance

The Assembly Commission recognises that its administrative records are a unique and irreplaceable resource. The proper management of this resource is necessary to satisfy its internal business processes and to comply with legislation, including the Freedom of Information Act 2000, which provides for access to information held by the Assembly Commission. The Assembly Commission Records Management Policy and Guidance sets out a commitment to the development of an efficient and effective records management system. Crucial to the success of the Policy and Guidance is the development and implementation of a Retention and Disposal Schedule ('the Schedule').

Purpose of the Retention and Disposal Schedule

The Schedule aims to support the development of greater control over the records created by the Assembly Commission. It will enable the Assembly Commission to dispose of records promptly when they cease to be of any continuing administrative, historic or legal value and will identify records that should be transferred to the Public Record Office of Northern Ireland ('PRONI') because of their long-term historical/research value.

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

Section 2 - What is covered by this Retention and Disposal Schedule?

The Schedule identifies the arrangements for all records created by the Assembly Commission. For the purposes of the Schedule, a 'record' is defined as *“recorded information in any form (electronic or paper) created, received or shared by the Assembly Commission.”*

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

- Rough or early drafts where these do not contain evidence of policy development;
- Circulated copies of drafts or unaltered drafts;
- Convenience copies or information retained for reference purposes only (it is not retained to provide evidence of transactions, but only for its informational value);
- Reference or published materials from external sources which are not needed for record purposes, e.g. papers from conferences and seminars, policy briefings, sales catalogues, brochures, “junk-mail”;
- CC'd emails;
- Emails that are not the primary record of decisions or transactions (e.g. the information is recorded in some other way following the email exchange);
- Personal records and emails, e.g. social arrangements, personal copies of performance reviews;
- Stocks of publications that have been superseded;
- Bookings for internal services (e.g. rooms, equipment) where no charges are made;
- Notes taken during meetings where formal notes/minutes have been prepared;
- Meeting requests, acceptances and apologies;
- Corporate notices and circulars (circulated copies, i.e. not the original);
- Superseded circulation/contact lists;
- Covering/transmission documents such as covering letters, compliments slip or emails accompanying attachments, that do not provide additional information to the main document and where evidence of date and time of receipt or dispatch, are not required; and
- Reservations and confirmations of arrangements with third parties, such as joining instructions for conferences, training, etc. when invoices have been received.

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

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

Electronic Documents

The Assembly Commission does not currently have an Electronic Document and Records Management System ('EDRMS') which would enable the control, retention and transfer of records in electronic format. The Assembly Commission, therefore, operates a print to paper policy, and electronic documents which form part of the official record should be printed out and placed on the appropriate file.

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

Email

Emails potentially form part of the Assembly Commission's corporate record, as such all staff should review emails to decide whether they are subject to its Records Management Policy and Guidance.

As with other electronic documents and material, where an email message forms part of the corporate record, staff should retain the record in line with the Records Management Policy and Guidance in addition to the Schedule.

Section 3 - Categories of Retention/Disposal

There are four broad categories of disposal

Destroy

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

PRONI Appraisal

Where the action is PRONI Appraisal, the long term historical and evidential value of the records cannot be confirmed and therefore requires appraisal by PRONI. This takes place after the prescribed retention period.

If PRONI deem that there is no long-term value, the records can be destroyed; otherwise, they are transferred to PRONI, in line with policies and procedures.

PRONI Permanent Preservation

These are records which PRONI has determined to be of long-term historical or research value. These records are held until they are twenty years old and are reviewed through the Sensitivity Review process. These records must then be transferred to PRONI.

Further guidance on the Sensitivity Review process is available on the Information Standards AsslSt page.

Assembly Commission Permanent Retention

There are likely to be few records which fall into this category, but they are records which the Assembly Commission has decided should be retained permanently for business purposes.

Note

The Schedule continues to display records for functions which no longer exist. Where this occurs, the record has been shaded in grey and noted as a "Discontinued Function". These records will continue to be held, until the last remaining records have completed their retention period and are then either destroyed, transferred or permanently archived.

Section 4 - Operation of the Retention and Disposal Schedule

Closing a file

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

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

Regular file closure has the following benefits:

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

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

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

In addition, some files should be closed at:

- The end of the financial year;
- The end of a project; or
- The end of a mandate.

When a file is due to be closed, the appropriate member of staff should consult the Schedule and detail the follow up actions on the File Closure Form. For example, the date on which the record can be destroyed, transferred to PRONI, or whether it should be subject to the review procedures.

Misfiled legal material should be appropriately filed and the correct retention applied.

Retention Period

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

Destroy

Destruction of files will take place on a planned basis following the annual file review, in line with the Schedule. Destruction will be organised by the Information Standards Office, in consultation with the relevant business area.

All destruction decisions must be agreed by relevant business area before destruction can take place. A disposal log of all file destruction will be kept for audit purposes and all files will be destroyed in line with the arrangements for the destruction of confidential waste.

Where there continues to be a business need to retain the files beyond the destruction date, staff are asked to review the record using the File Review Form at the end of the period outlined in the Schedule, or as indicated on the covering File Closure Form. **Staff have the option to extend for an additional period or to transfer to Assembly Commission Permanent Retention as required.** These options will require senior management approval in consultation with the Information Standards Team.

PRONI Appraisal

These records have been identified by PRONI as requiring appraisal, as they may be of future historical significance. Following a period of retention as outlined in the Schedule, Assembly Commission staff will review these files to ensure the Assembly Commission has no further requirement to hold the records.

PRONI will then carry out a first stage review, in which the Assembly Commission will be notified of those files that PRONI has determined should be retained for a second stage review. The second stage review will be carried out when the records are approaching twenty years of age.

If PRONI determines that the records should be not be retained for second review, Assembly Commission staff will be provided with a list of the records before destruction, as guided by the Information Standards team. Those files not requiring further retention can be destroyed through appropriate means.

PRONI Permanent Preservation

Where the action is PRONI Permanent Preservation, the records need not undergo the normal review procedures. Appropriate arrangements will be put in place to ensure timely transfer to PRONI, once the record approaches 20 years old (from closure).

Assembly Commission Permanent Retention

Where the action is Assembly Commission Permanent Retention, the records need to undergo the normal review procedures to ensure that the file only includes those records for permanent retention.

Upon closure the records will be transferred to Office Resources and permanently retained.

Note that there is no legal basis to amend a Final Action without the approval of a subsequent Retention and Disposal Schedule through PRONI. For further advice and assistance, please contact the Information Standards team.

Commitment to Preserving Files/Records

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

- Removing paper clips and pins from papers before filing with particular attention being given to those records, which, according to the Schedule, are to be preserved permanently;
- Removing any CDs and other storage devices from paper files and converting its contents to hard copy;
- Using files with file covers as opposed to buff folders, which do not offer the same protection to the papers inside;
- Using continuation files if files get too bulky (i.e. more than 2.5cm thick);
- Punching papers to be filed 2.5cm in and 2.5cm down from the edge to minimise the danger of detachment and resulting loss of information;
- Storing bulky or outsize items in a pocket or envelope inside the file cover on the left-hand side.

Roles and Responsibilities

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

The Information Standards Office is responsible for:

- Ensuring that the Records Management Policy and Guidance is implemented effectively;
- The provision of record management guidance to Assembly Commission staff;
- Producing procedures and documenting all necessary record management arrangements;
- Making recommendations to senior management in relation to changes or improvements; and
- Liaising with PRONI, to ensure that the Assembly Commission complies with the Northern Ireland Records Management Standard ('NIRMS').

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

The Support Services Manager is responsible for:

- Office Resources, which has responsibility for the operation and maintenance of the Assembly Commission's registered file system and ensuring that controls operate effectively. This is a database which records the file title, reference code, date of opening the file, date of closing the file and the date the file is due for review, disposal or transfer to PRONI. The system requires updating, to ensure all relevant action is captured on the registered file system. The registered file system can produce reports to identify files which require action, such as review, disposal or transfer. The system can also produce reports to identify files which have been disposed of, and when the files were disposed of.

Line Managers are responsible for:

- Ensuring that the Records Management Policy and Guidance is fully observed and implemented within their area of responsibility; and
- Ensuring that all staff within their area of responsibility, receive the appropriate training.

All members of staff are responsible for:

- Documenting their actions and decisions, and for maintaining the records in accordance with the Records Management Policy and Guidance and the Schedule.

Section 5: Retention and Disposal Schedule

Clerk/Chief Executive's Office

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Corporate correspondence (non-routine)	End of correspondence	6 years	Business need	Correspondence and associated records concerning the formal relationship between the Northern Ireland Assembly and/or the Assembly Commission and external bodies such as Commissioners, parliamentary bodies at corporate level. It is not intended to cover routine contact.	PRONI Appraisal
Correspondence with MLAs and Political Parties	End of session	1 year	Business need	Correspondence to and from Members.	PRONI Appraisal
Minutes of meetings of the Senior Management Team	End of session	Current and previous mandate	Business need	Agreed minutes. "Secretariat Management Group (SMG)" prior to July 2022.	PRONI Appraisal
Electronic Senior Management Team Meeting Packs	End of session	6 years	Business need	"Secretariat Management Group (SMG)" prior to July 2022.	PRONI Appraisal
Briefings	End of Session	Permanent	Corporate Value	Include first day brief.	Assembly Commission Permanent Retention

Assembly Commission

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Minutes of meetings of the Assembly Commission	End of mandate	20 years	Business need	Agreed minutes.	PRONI Permanent Preservation
Assembly Commission Meeting Packs	End of mandate	20 Years	Business need		PRONI Permanent Preservation
North/South Inter-Parliamentary Association (NSIPA)	End of mandate	20 Years	Business need	Reports of Plenary sessions of the NSIPA.	PRONI Permanent Preservation
North/South Inter-Parliamentary Executive Committee	End of mandate	20 Years	Business need	Agreed minutes.	PRONI Permanent Preservation
Inter-Parliamentary Contact Group	End of mandate	6 years	Business need	Agreed minutes. Discontinued Function	PRONI Appraisal
North South Parliamentary Forum Working Group	End of session	20 Years	Business need		PRONI Permanent Preservation
Assembly Commission Induction Material and Handbook	When superseded	20 Years	Business need	Induction Information for Assembly Commission Members. (Presentations and Packs).	PRONI Permanent Preservation

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Assembly Commission Reports	On production of report	20 Years	Business need	This relates to formal reports prepared by the Assembly Commission rather than routine business.	PRONI Permanent Preservation

Speaker's Office

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Gifts Register	On production of record	Permanent	Corporate value		Assembly Commission Permanent Retention
Speaker's Special Advisory Group Meetings (agendas, minutes, briefing notes and papers)	On production of record	20 Years	Business need	This Group was facilitated by the Assembly Commission, as directed by the Secretary of State, and operated during Direct Rule from 29 June 2006 – 16 November 2006. Discontinued Function	PRONI Permanent Preservation
First Day Briefings	End of session	20 Years	Business need	First Day Briefs provided to the Speaker and Deputy Speakers upon taking office.	PRONI Permanent Preservation
Official Correspondence	End of calendar year	5 years	Business need	Correspondence (originals or annotated copies) to and from the Speaker/Deputy Speakers of the Northern Ireland Assembly.	PRONI Appraisal
General Correspondence	End of calendar year	2 years	Business need	From/To Members of the public, interest groups.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Speaker's Cases; Routine	End of mandate	6 Years	Business need	Correspondence between the Speaker and a requestor on a variety of issues requiring advice and/or response.	Destroy
Speaker's Cases; Exceptional interest	End of Mandate	Permanent	Corporate value	Review and identify cases of exceptional interest for permanent retention.	Assembly Commission Permanent Retention
Visitors' Book	Closure of book	Permanent	Corporate value	Book recording visitors (VIP) to the Speaker.	Assembly Commission Permanent Retention
Appointments and Resignations	End of mandate	Permanent	Corporate value	Formal documentation of resignations and appointments of Members, Ministerial Appointments, Ministers, Committee Chairs and Deputy Chairs.	Assembly Commission Permanent Retention
Significant Meetings, Events and Visits	End of event and completion of follow up action	5 years	Business need	Significant events and visits arranged by the Speaker's Office in support of the Speaker's representational duties, records including submissions, plans, programme, guest lists, and catering etc.	PRONI Appraisal

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Legislation	End of mandate	5 years	Business need	Official correspondence to and from the Office of the Speaker in relation to Bills at all stages.	PRONI Appraisal

Parliamentary Services

[Plenary and Business Management](#)

[Bill Office](#)

[Committees](#)

[Official Hansard](#)

Plenary and Business Management

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Roll of Membership	On production of record	Permanent	Corporate value	Members' formal documentation of membership of the Northern Ireland Assembly.	Assembly Commission Permanent Retention
Guidance for Members and Departments	When superseded	Permanent	Corporate value	A record of all guidance issued and retained by the Assembly.	Assembly Commission Permanent Retention
Speaker's Rulings, Assembly Conventions and Precedents	When superseded	Permanent	Corporate value	Northern Ireland Assembly Companion published - hard copy from 1998 - 2002. No further publications.	Assembly Commission Permanent Retention

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				Copy of information held in Speaker's Rulings and Conventions document, updated as necessary during recess, and held in the Business Office from 2002 onwards.	
Routine advice to the Speaker/others on procedural matters	End of mandate	6 years	Business need	Includes advice on Matter of the Day (MOTD), Urgent Oral Questions (UOQs), motions, amendments etc. Also includes advice to the Business Committee.	Destroy
Office Procedures	When superseded	1 year	Business need		Destroy
All Party Notices	On production of record	End of mandate	Business need	Permanent record held on Northern Ireland Assembly website.	Destroy
Assembly Information Management System	On production of record	Permanent	Corporate value	Records of all items of Plenary Business held permanently on AIMS.	Assembly Commission Permanent Retention
Papers of the Business Committee	End of mandate	5 years	Business need	Includes draft Order Papers, draft Indicative Timings, Notice of Forthcoming Executive Business. No Day Named list and Adjournment Debate list.	Destroy
Approved (signed) Business Committee minutes	End of mandate	6 years	Business need	Approved minutes of Business Committee are	PRONI Appraisal

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				published on the Assembly's website.	
Table Clerk (left) logs and papers	End of mandate	Permanent	Corporate value	Includes table clerk logs and lobby voting records. Results of votes are recorded in the Official Report (Hansard), and the Hansard Bound Volumes.	Assembly Commission Permanent Retention
Plenary sitting papers	End of mandate	Permanent	Corporate value	Speaker's Brief, Order Papers, Indicative timings, points of order responses and Members attendance at Ministerial Statements. A record of what happens in Plenary is recorded in the Official Reports (Hansard).	Assembly Commission Permanent Retention
Points of order responses	End of mandate	6 years	Business need		Destroy
Agreed Minutes of Proceedings (plenary)	On signature by Speaker	20 Years	Business need	Copy signed by Speaker. Text permanently preserved in Hansard Bound Volumes. Published on Assembly website.	PRONI Permanent Preservation
Record of Statutory Rules (SR) laid	On laying of SR	End of mandate	Business need	Permanent record of SR laid held electronically in Aims. Listed in Minutes of Proceedings in the Hansard Bound Volumes. Copy of legislation held on legislation.gov.uk. Laying	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				authority sends original signed SR to PRONI.	
Record of Documents laid and presented	On production of record (laying or presented)	End of mandate	Business need	A record of the documents laid and presented is included in the Minutes of Proceeding and in Hansard Bound Volumes.	Destroy
Petitions of concern (ABO/7) and Motions requiring 30 signatures (ABO5, ABO5A and ABO6 forms)	End of mandate	Permanent	Corporate value	Permanent record on Assembly Information Management System (AIMS). Valid petitions included in the Official Report (Hansard) and the Hansard Bound Volumes.	Assembly Commission Permanent Retention
Adjournment Debates; Motions and Amendments to Motions; Matters of the Day	On production of record (tabling)	End of session	Business need	Request and administration destroyed. Permanent record of tabled items held on AIMS.	Destroy
Assembly questions	On production of record (tabling)	End of session	Business need	Request for oral, written, urgent oral questions, written answers and the administration of same. There is a record of all questions in the Official Report (Hansard) and the Hansard Bound Volumes. Permanent record of all Written questions held on AIMS.	Destroy
Daily list of Questions; Daily list of Motions and amendments; Marshalled	On production	End of mandate	Business need	Lists produced in electronic form by the Business Office, published on the Assembly	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
List of amendments to Motions; and Oral Questions list				website and circulated by email. Permanent record of tabled items held on AIMS.	
Question time statistics	End of mandate	5 years	Business need	Held in spreadsheet.	Destroy
Tabling authorisations	On production	End of mandate	Business need	Authorisations received on ABO1 form and record held on spreadsheet.	Destroy

Bill Office

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Acts	Introduction to the Assembly	Permanent	Corporate value	Copy provided to PRONI within 6 months of Royal Assent as routine business.	Assembly Commission Permanent Retention
Bills	Introduction to the Assembly	Permanent	Corporate value	The Bill Office will hold this record.	Assembly Commission Permanent Retention
Proposal for Private Members Bill	End of mandate	6 years	Business need	All notes leading to the Bill including those cases that may not proceed to final stage.	PRONI Appraisal
Guidance for Departments and Members	When superseded	Permanent	Corporate value	A record of all guidance retained by the Assembly.	Assembly Commission

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
					Permanent Retention
Office Procedures	When superseded	When superseded		A record of procedural decisions taken.	Destroy

Committees

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Guidance and Procedures	When superseded	When superseded	Business need		Destroy
Contact Details	When superseded	When superseded	Business need		Destroy
Meeting Papers	End of mandate	5 years	Business need	Includes Chair's brief – contained in part 2 of Committee pack.	Destroy
Legislation - Primary	End of mandate	5 years	Business need	It should be noted that the Committee Report will contain all evidence and be held by the Assembly Library. Reports of formal clause-by-clause scrutiny are published in the relevant Official Report (Hansard) Bound Volume.	Destroy
Legislation - Subordinate	End of mandate	End of mandate	Business need	Committee decisions will be held in meeting packs and in minutes. The Reports from the Examiner of Statutory Rules will also be in meeting packs and will be held separately. There will therefore be no business need for files to be held permanently.	Destroy
Legislation - Consent Motion (LCM)	End of mandate	5 years	Business need	As above re. Primary and Subordinate Legislation – in addition Committees now produce a short report on LCMs. This will be in the	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				Committee pack as well as on the website.	
Agreed minutes of proceedings	End of mandate	20 Years	Business need	Minutes of proceedings are printed on cream paper and signed by the Chairperson.	PRONI Permanent Preservation
Visits	End of mandate	5 years	Business need	Papers relating to Committee visits including administrative matters, financial, travel, accommodation arrangements, visit packs, etc.	Destroy
Events	End of mandate	5 years	Business need	Papers relating to Committee events such as stakeholder conferences. All papers including administrative matters, financial matters, etc.	Destroy
Correspondence	End of mandate	6 years	Business need	Communication of general information concerning the Committee not specific to an inquiry, investigation or policy.	PRONI Appraisal
Inquiries	End of mandate	5 years	Business need	Formal investigation into matters relevant to the Committee remit, including minutes of evidence for inquiries and relevant correspondence. As the Committee Report will contain all evidence and will be held by the Assembly	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				Library, these papers may be destroyed. All evidence not printed in the report should also have been deposited in the Library.	
Reports	End of mandate	5 years	Business need	Files relating to Committee reports, including Bill and inquiry reports. May be largely administrative in content such as drafts, as well as copies of Minutes of Proceedings, Minutes of Evidence, written submissions and other contents of the report. There will be large elements of duplication with other files. As the Committee Report will contain all evidence and be held by the Assembly Library, these papers may be destroyed. (All evidence not printed in the report should also have been deposited in the Library.)	Destroy
Policy/Scrutiny of single-issue topics	End of mandate	5 years	Business need	Files relating to policy and scrutiny of a single-issue topic. There is likely to be substantial duplication as the policy is likely to originate from another organisation	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				and many of the papers are likely to be in meeting packs.	
Consultation documents Committee stage of a Bill and other consultations	End of mandate	5 years	Business need		Destroy
Budget scrutiny and Programme for Government (PfG)	End of mandate	6 years	Business need		Destroy
End of session/mandate reports	End of mandate	5 years	Business need	A copy of the final agreed report should be held in the appropriate meeting pack and will also be on the website. Details of Members' attendance is not published within End of Session reports, but is available via a separate link on each Committee homepage.	Destroy
Declaration of interests	End of session	Permanent	Corporate value	Standards and Privileges hold this information centrally. Files held on this by Committees should be destroyed.	Assembly Commission Permanent Retention
Specialist Advisers (Paper relating to selection and appointment)	End of contract	6 years	Business need	Papers relating to selection and appointment of a specialist adviser, terms of reference, selection process, claim for payment, etc. Information may also be held by Procurement.	PRONI Appraisal

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Chairpersons' Liaison Group	End of mandate	5 years	Business need		Destroy
Meeting Administration	End of mandate	5 years	Business need		Destroy
Standing Orders	When superseded	Permanent	Corporate value	Includes associated work in drafting/amending the Standing Order.	Assembly Commission Permanent Retention
Inadmissible Complaints received from the Commissioner for Standards.	Once the Committee on Standards and Privileges is notified of the (final) decision of the Commissioner for Standards that the complaint is inadmissible	1 year	Business need	Inadmissible complaints are not investigated. (the inadmissible statistics are noted in the Annual Report).	Destroy
Admissible Complaints received from the Commissioner for Standards	End of mandate	5 years	Business need	The Commissioner's report is presented to the Committee, who publish redacted version on the Northern Ireland Assembly website.	Destroy
Admissible Complaints: Supplementary material (not relied on to reach decisions) received from the Commissioner for Standards	On publication of the Committee's Report	1 year	Business need		Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Admissible Complaints received from the Commissioner for Standards: Papers relating to the Reports of the Committee on Standards and Privileges on admissible complaints	End of mandate	5 years	Business need		Destroy

EU Affairs

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Brexit & Beyond newsletters	Publication date	5 Years	Business need	Published on the Northern Ireland Assembly website.	Destroy
Assembly Commission EU Exit Working Group meeting papers	End of meeting	5 Years	Business need	Meets monthly.	Destroy
Assembly Commission EU Exit Working Group meetings - minutes	On agreement of minutes	5 Years	Business need	Meets monthly.	PRONI Appraisal

Official Report (Hansard)

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Papers/ information relating to Committee inquiries	Completion of inquiry	Duration of inquiry	Business need		Destroy
Papers/ information relating to Committee Stages of Bills	Bill progressing to Consideration Stage	Duration of Committee Stage	Business need		Destroy
Paper/ information/Members' notes from plenary sessions	Publication of daily Hansard report	1 day	Business need		Destroy
Papers/ information relating to Committee inquiries	Completion of inquiry	Duration of inquiry	Business need		Destroy
Papers/ information relating to Committee Stages of Bills	Bill progressing to Consideration Stage	Duration of Committee Stage	Business need		Destroy

Communications

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Media Relations

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

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Media cuttings including transcripts	End of Mandate	5 years	Business need	Activities involved in monitoring the media coverage of the Assembly. Significant transcripts may be held and will be determined by Communications Officer. NOTE: Record of destruction not required for press cuttings.	Destroy
Press releases	End of Mandate	5 years	Business need	The activity involved in managing the Assembly's communication with and through the media and includes Committee press releases, video news releases and media briefing papers.	Destroy
Image Library: High Value Images	Date of picture being taken Withdrawal of consent	Permanent Destroy /remove Data Subject Immediately	Business need	High value images of long-term value to the Assembly should be maintained for Assembly Commission Permanent Retention. Images of people will have consent agreements preserved along with the photograph.	Assembly Commission Permanent Retention
Image Library: Low Value Images	Date of picture being taken /	5 years	Business need	All other low value or inconsequential images	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
	Withdrawal of consent			<p>should be weeded regularly and destroyed.</p> <p>Images of people will have consent agreements preserved along with the photograph.</p>	
Media contacts	When superseded	When superseded	Business need	Media Contacts database is continually updated and outdated contacts deleted.	Destroy
Complaints database (with details of complainant)	When received by Communications Office	When Complaints Report (this is sent to the Assembly Commission on an annual basis) is uploaded to the Assembly Website	Business need	A summary document and the Complaints Report, will be uploaded to the website and retained. This document will contain anonymised details of the complaints received and the action taken.	Destroy
Public enquiries (enquiries and responses)	When received by Communications	1 year	Business need	It is important the Assembly has a record of the enquiries and the responses sent to the general public for a period of time. This will allow the Assembly to demonstrate that it has responded appropriately to members of the public.	Destroy

Broadcasting

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Recording of Committee Meetings	End of session	Permanent	Corporate value		Assembly Commission Permanent Retention
Recordings of Parliamentary proceedings	On production of record	Permanent	Corporate value	The full and authoritative audio-visual recording of proceedings in the Assembly and its Committees.	Assembly Commission Permanent Retention
Recordings of events	End of session	Permanent	Corporate value	Full audio-visual recordings of high value or significant events and visits will be retained.	Assembly Commission Permanent Retention
Recordings of events: low value or inconsequential	End of session	End of session	Corporate value	Low value or inconsequential, routine recordings will be destroyed at the end of the session.	Destroy

Website

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Internal Publications	On production	Until superseded or a maximum of 3 years	Business need	Includes Internal Staff magazine, etc.	Destroy
Guidance documents, media guide, style guide, EIS Guidelines	When superseded	When superseded	Business need		Destroy

Public Engagement

[Parliamentary Outreach](#)

[Public Outreach](#)

[Events](#)

[Education Service](#)

[Student Placements](#)

Parliamentary Outreach

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Official visits and events	End of visit	5 years	Business need	Records consist of programmes, briefings and correspondence concerning visits by officials from the Assembly and visits to the Assembly.	PRONI Appraisal
Significant visitors and Parliamentary events	End of visit	Permanent	Corporate value	These records will require a judgement from External Liaison Unit staff. Visit programmes and visit reports concerning significant visits by the Clerk/Chief Executive should also be offered to PRONI. Records programmes, briefings and correspondence concerning significant visits by officials from the Assembly and visits to the Assembly. Significant visits to the Northern Ireland Assembly by	Assembly Commission Permanent Retention

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				political leaders, heads of state and global figures and high-profile parliamentary events hosted by the Northern Ireland Assembly.	
Minutes	End of session	Permanent	Corporate value	Minutes of meetings including Commonwealth Parliamentary Association (CPA).	Assembly Commission Permanent Retention
Meeting Administration	Date of meeting	2 years	Business need	Information necessary for the organisation of meetings and events.	Destroy
Information Packs provided for visits and conferences	Date of meeting or conference	After meeting/ conference	Business need	Destroy hard copy packs.	Destroy

Public Outreach

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Event organisation	End of event	5 years	Business need	Information gathered in planning and delivery of events. Attendee lists as per security retention policy.	Destroy
Enquiries/ information requests	End of calendar year	1 year	Business need	The activities involved in responding to requests for information concerning Outreach services.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Forms/questionnaires	Extract information required for monitoring purposes	1 month	Business need	Feedback form.	Destroy
ACC hard copy registration forms	To register people on the ACC database	1 day	Business need		Destroy
Reports	Feedback and event reports	5 years	Business need		Destroy

Events

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Events (non-significant)	End of event	5 years	Business need	Records consisting of event plans, guest lists, and briefs. (Excludes significant visitors and Parliamentary events listed under " Official Visits and Events ").	Destroy
Event administration	End of event	1 year	Business need	Event planning records including proformas, programmes, and emails pertaining to the event.	Destroy
Declined events	End of mandate	1 year	Business need	Documentation supporting decisions.	Destroy
Exhibitions	From the end of the exhibition	1 year	Business need	The activities involved in organising exhibitions held by the Assembly.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Guest details	Date of the event	1 day	Business need	Guest names and vehicle details.	Destroy
Event/Tour feedback form	Receipt of feedback	2 weeks	Business need	Information gathered for monitoring purposes only.	Destroy
Sponsorship form (Electronic)	Date of issue to sponsor	5 years	Business need	This includes title, brief description of the event, sponsor's name and date of approval.	Destroy
Room booking application	Date of booking	1 year	Business need	This includes title, brief description of the event, and name of primary sponsor.	Destroy

Education Service

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Event Organisation	End of event	5 years	Business need	Information gathered in planning and delivery of events.	Destroy
Visits	Booking	10 years	Business need	Information used to communicate with stakeholders.	Destroy
Resource Development	Completion of resource	5 years	Business need	Information gathered in the process of developing Education Service resources.	Destroy
Services Enquiries	End of year	1 year	Business need	Requests concerning Education Service activities.	Destroy
Placement Students	End of placement	1 month	Business need	Student details Itineraries.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Project participation details	End of project	1 year	Business need	Participant details.	Destroy
Meetings	Meeting date	5 years	Business need	Minutes, action points.	Destroy
Procurement information	Delivery of products	6 years	The Limitation (NI) Order 1989	Information pertaining to the purchase of products or hire of services.	Destroy
Indemnity Forms	Date of event	6years	The Limitation (NI) Order 1989	e.g. Photographic consent.	Destroy
Reports	End of mandate	5 years	Business need	Project reports, Annual reports.	Destroy

Student Placements

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Work Experience Student Placements	On completion of placement	1 month	Business need	Student details and correspondence regarding placement.	Destroy
Work experience application forms	End of placement	Retain until the end of the academic year	Business need	If applicants do not accept placement offer the application form will be destroyed following confirmation from applicant.	Destroy
Indemnity forms	On receipt	3 years	The Limitation (NI) Order 1989	Retained for insurance purposes.	Destroy
Work experience feedback questionnaire	On receipt	1 year	Business need	No personal details held. Forms retained for monitoring of the work experience programme only.	Destroy

Information Systems

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IT Systems management and development

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Third Party Systems (Operational documentation)	Last action	5 years	Business need		Destroy
In-house applications	On production of record	Lifetime of application	Business need		Destroy
Manuals	Lifetime of application	1 year	Business need		Destroy
Operations Logs	Closed daily	6 months	Business need	Log of activity on the network, including Internet and email, log on and log off details.	Destroy
Records of the operational management of IT systems	Decommission of system	1 year	Business need	Includes change controls, requests for change, modifications and maintenance of the IT system.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
New IT account requests	Completion of account creation	2 years	Business need		Destroy
Tracking Logs	On production of log	1 year	Business need		Destroy
Software development	On receipt of record	Permanent	Corporate value	Software lifecycle documentation.	Assembly Commission Permanent Retention
Records of the routine testing and monitoring of the operation of IT systems, and action taken to rectify problems and optimise performance	Used on rolling year basis	1 year	Business need	Systems log	Destroy
Records of software licences for live IT systems	End of licence	5 years	Business need		Destroy

IT Systems User Support

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Records of faults reported by users of IT systems and action taken to investigate and resolve faults (help desk transaction records)	Lifetime of equipment used	1 year	Business need	The activities involved in handling fault reports from IT users, and the action taken to resolve reported faults and includes retrieval of information requests.	Destroy
Records requesting Bring Your Own Device (BYOD) access	When superseded	3 months	Business need	Requests for BYOD access must be re-authorised on an annual basis.	Destroy
Assembly Commission Staff Accounts	On creation of account	When superseded	Business need		Destroy
Party Support Accounts	Disable pending review at end of mandate	End of mandate	Business need	At the end of a mandate all Party Support accounts are disabled. The party whip reviews this information following election and advises accounts to be reactivated.	Destroy

Assembly Commission Staff Request Forms

Includes access authorisation

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Requests for access to sensitive information	On receipt of request form	Lifetime of application	Business need	E.g. CINTRA system etc.	Destroy
Routine request forms	Completion	2 years	Business need	Information not of a sensitive nature – this could be confirmed by authoriser.	Destroy
Members'/Party Support Requests	End of mandate	2 years	Business need		Destroy

Data Management

Back-up tapes

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Daily back-up tapes	End of current day	1 week	Business need	Tapes are overwritten when reused.	Destroy
Weekly back-up tapes	End of current week	1 month	Business need	Tapes are overwritten when reused.	Destroy
Monthly back-up tapes	End of current month	6 months	Business need	Tapes are overwritten when reused.	Destroy
Operation of data back up and archiving routines	From date of record	1 year	Business need	Recorded daily.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Email tracking/monitoring log	On production of log / or closure of investigation	1 year	Business need / Information Assurance Policy	In the event of an investigation within the Assembly Commission in regards to e.g. unauthorised disclosure, email tracking /monitoring log should NOT be disposed until the investigation or inquiry is complete.	Destroy
Contract Management	End of contract	5 years	Business need, The Limitation (NI) Order 1989	The activities involved in recording the performance of contractors throughout the lifetime of the contract. Additional contract information held by the Contract Manager i.e. copy contracts etc. should be destroyed at the end of the contract. The Procurement Office is responsible for maintaining original contract records for over £30k contracts. See Procurement for further information regarding Contract Management	Destroy

ICT Projects

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Project Documentation (PIDs, briefs, plans, framework documents etc.)	Close on project completion	Greater of 5 years or 1-year past life of system	Business need	Includes installation and testing, specifications.	Destroy

Inventory

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Record of Loss/Disposal	Loss/disposal of item	6 years	Business need		Destroy
Assembly Information Management System (AIMS) System	On production of record	Permanent	Corporate value	Information on MLAs, procedural business of the Assembly; lists of Members' parliamentary or constituency office contact details based on name, party, constituency or Committee; Register of Interests for Members; All Plenary Business from 1998; Plenary Business can be reported on through 14 reports, i.e. Division Voting by Party/Member, Plenary Business tabled by Party/Member, Motions tabled, Adjournment Debates etc.	Assembly Commission Permanent Retention

Corporate Services

Financial Management

[Asset Management](#)

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We have a legal obligation to ensure that any salary, pensions and allowances are regulated, paid and administered in accordance with the provisions in The Assembly Members (Salaries and Expenses) Determination (Northern Ireland) 2016 (as amended) and as provided in The Assembly Members (Pensions) Determination (Northern Ireland) 2016. The Determinations were made under Assembly Members (Independent Financial Review and Standards) Act (Northern Ireland) 2011.

We will process your personal information to fulfil our legal obligations under any present or future legislation or regulation, such as, in relation to Companies Act 2006, Her Majesty's Revenue and Customs (HMRC) and National Fraud Initiative (NFI), where we have a legal obligation under Audit and Accountability (NI) Order 2003, articles 4A to 4H, to take part in the exercise.

Note: As outlined in section 4, the retention period is only applied when the files have been formally closed, typically this occurs after the Annual Report and Accounts have been signed off.

Asset Management

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Fixed Asset Records	End of financial year	6 years	Business need	Records documenting the value of the Assembly capital assets. Including invoices and Disposal Logs.	Destroy

Budget

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Records/Schedules - for preparation of budget	End of financial year	6 years	Business need	Includes electronic records kept on 'S' and 'O' drives.	Destroy
Actual v budget reports, monthly expenditure reports, variance analysis	End of financial year	6 years	Business need	Electronic records on 'O' drive.	Destroy
DoF budget returns	End of financial year	6 years	Business need	Central Expenditure Division (CED) monitoring	Destroy

Statutory Accounting

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Final copy of accounts	On approval of accounts	Permanent	Corporate value		Assembly Commission Permanent Retention
Accounting schedules and working papers	Post year end approval of accounts	6 years	Business need	Includes interim and year-end audit files including recs and necessary journals. Personal information to be deleted if papers are kept. Review to consider extension for extraordinary years.	Destroy
DoF Financial Returns	End of financial year	6 years	Business need		Destroy
Statutory monitoring returns (for example National Fraud Initiative, National Statistics return)	On completion of return	2 years	Business need	Information held electronically. Base forms held to resolve any queries at the time of return completion or data match queries relating to National Fraud Initiative (NFI).	Destroy

Book-keeping

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Gifts and Hospitality records	End of financial year	6 years	Business need	Details of official engagements both attended and declined by the Assembly Commission staff – held centrally by Finance Office.	Destroy
Monthly Accounts	End of financial years	6 years	Business need	Information kept on 'S' drive and includes balance sheet reconciliations and working paper.	Destroy
Journals	End of financial year	6 years	Business need	Hard copy destroyed however electronic journals can continue to be run but should not contain personal information Including bank lodgements, chaps recodes 'GJ', 'CFER' and 'GJACC'.	Destroy
Banking Records	End of financial year	6 years	Business need	Hard copy BACS, reports, bank statements destroyed. R drive statements can be destroyed too, however vision report can be run indefinitely on K ledger to re-create information.	Destroy
Suspense Account Records	End of financial year	6 years	Business need		Destroy
Creditor Payment Statistics	Signing of annual accounts	1 year	Business need		Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
VAT Returns	End of financial year	6 years	Business need		Destroy
PECOS new users/ set ups	End of financial year	6 years	Business need		Destroy
Pay Run Reports	End of financial year	6 years	Business need	BACS payments including payroll, PECOS uploads and cheque payments.	Destroy
Creditors payments – Invoices and credit notes (Inc. PECOS & AP1's)	End of financial year	6 years	Business need	Hard copies destroyed. Electronic record will remain on PECOS.	Destroy
Creditor (supplier) set ups	Final Payment	7 years	Business need	Hard copies are not kept. Annual exercise to destroy electronic copies of creditors that have not been paid in 7 years. Supplier accounts will be closed in SUN.	Destroy
Assembly Commission staff expense claims	End of financial year	6 years	Business need		Destroy
Assembly Commission staff travel claims	End of financial year	6 years	Business need		Destroy
T&S – Car insurance documents	On receipt of record	1 year	Business need		Destroy
Bank reconciliations	End of financial year	6 years	Business need	Hard and soft copies destroyed.	Destroy
Reconciliation of Salaries	End of financial year	6 years	Business need		Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Electronic Procurement card travel journal and backup	End of financial year	6 years	Business need	Documents relating to procurement card journal maintained by travel section.	Destroy
Procurement card statements and transaction reports	End of financial year	6 years	Business need	Includes documents relating to procurement card journal maintained by Travel section as well as Bookkeeping section.	Destroy
Procurement card Application Forms	Withdrawal of Procurement card	3 months	Business need		Destroy

Members' Financial Services

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Members' Constituency Office Expenditure Forms	End of financial year	Later of 6 years or 1 complete mandate	Business need	Approval to destroy must be sought from AG4. Papers include COOE form, Establishment form, Declined payment expenses, Recall expense, Disability expenses form PIID forms. Electronic and paper copies.	Destroy
Declaration forms	End of financial year	6 years /1 complete mandate	Business need	Papers include declaration of compliance, declaration of winding up, signature verification form, sharing accommodation form and ATA records. Electronic and paper copies.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Party Allowance Claim Forms	End of financial year	6 years / 1 complete mandate	Business need		Destroy
Whips Allowance Claim Forms	End of financial year	6 years / 1 complete mandate	Business need		Destroy
Constituency Office Rent agreements	On vacation of premises	6 years / 1 complete mandate	Business need	Includes copy of lease, rental declaration and signage evidence. Paper and electronic copies.	Destroy
Details of salary payments, commitments and reconciliation (Members staff and Party staff)	On approval/ completion of audit	1 year	Business need	Electronic location S drive/ members/ salary information section: Commitment calculations, salary spreadsheets, associated backup and payroll uploads.	Destroy
Travel Details MMA 1	When MLA ceases to be an MLA or moves address	6 years /1 complete mandate	Business need	New Determination has made MMA1 forms and associated mileage claims redundant however they are still maintained until the end of this mandate.	Destroy
Contact details (MLA contact details i.e. constituency office addresses, home address, phone numbers etc.)	End of financial year following receipt of MF15 (Declaration of Completion of Winding Up) or	1 Year	Business need	Telephone details maintained – necessary for authorisation of telephone bills. Electronic location 'S' drive/members/information spreadsheets & Members	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
	Member moves address			folders. Paper and electronic copies. Maintain until completion of audit.	
Car Insurance documents	On receipt of record	End of financial year if certificate has expired in that year.	Business need	Insurance documents.	Destroy

Payroll/Pension Administration for Assembly Commission Staff

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Bank details – current	End of Financial year following termination of employment	6 years after leaving	Business need	iTrent maintains only current bank details and can be changed online by staff. Hardcopy kept in payroll file – provided by HR as part of recruitment process.	Destroy
Month end payroll audit file	End of financial year	6 years	Business need	Include month end reports and salary information (also includes electronic files (F and S Drives).	Destroy
Payroll documents	End of financial year following leaving date	6 years	Business need	Excess hours and overtime claims (including insurance document). Overpayment documentation.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				<p>Electronic calculations maintained on S Drive.</p> <p>Communications, payroll input calculations, receipts, etc. maintained in payroll file.</p> <p>Underpayment documentation (for example of pension contributions, annual leave). Include details of loan repayment.</p> <p>Travel (taxi payments). Work to home approval form, business case, receipt.</p> <p>Third party claims. Payroll calculations; copy cheque; communications. Voluntary deductions.</p> <p>Earnings assessment, invoices, correspondence, payment confirmation and any other related information.</p> <p>Child care vouchers information.</p> <p>Cycle to work – includes hire agreement and invoices.</p> <p>Statutory Sick Pay (SSP) forms. SSP1 and trigger communications.</p> <p>Passport/Birth certificate (cease National Insurance).</p>	

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				Instruction to pay (HR) for deputising/temporary promotion, substitution allowance and/or overtime excess travel related claim. Claim form and includes TOIL (time off in lieu).	
Payroll history	End of employment	Until data subject is aged 76 or 6 years after leaving (whichever is later)	Business need/ Pension Administration	Includes: record of pay, performance pay, overtime pay, allowances, pay enhancements, other taxable allowances, payment for untaken leave, reduced pay, maternity/paternity/adoption/p arental pay, unpaid leave periods, occupational sick pay periods (full, half and off pay), Pension Rate of Pay, pension contributions including Added Years, AVCs and Added Pension. Only summary information held.	Destroy
Death certificates	End of Financial year following receipt	6 years	Business need	Return original to provider, copy sent to CSP and copy retained.	Destroy
Decree absolutes	End of Employment	6 years	Business need	Return original to individual, copy sent CSP and copy retained.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Marriage certificates and documentation relating to civil registration	End of Employment	6 years	Business need	Return original to individual, copy sent to CSP and copy retained.	Destroy
Underpayment of pension contributions documentation	After payment of write-off	6 years	Business need		Destroy
Personal payroll history	On production of record	Until data subject is aged 76 or 6 years after leaving (whichever is later)	Pensions administration/ Business need	Includes: record of pay, performance pay, overtime pay, allowances, pay enhancements, other taxable allowances, payment for untaken leave, reduced pay, maternity/paternity/adoption/p arental pay, unpaid leave periods, Occupational sick pay periods (full, half & off pay), Pension Rate of Pay, pension contributions including Added Years, AVCs, Added Pension and EPA. Only summary information held.	Destroy
Monthly transfer of pension contributions to CSP and AVC/partnership providers	On production	6 years	Pensions administration/ Business need	AP1s, contribution schedules, payment templates.	Destroy
Hartlink CSP Interface (Penserver) monthly files	On production	6 years	Pensions administration/ Business need	Penserver files for each month, CSP feedback.	Destroy

Members' Payroll Administration

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Bank details – current	End of financial year following leaving date	6 years after leaving	Business need	Current bank details maintained in iTrent and in electronic (S Drive – Members section) and hard copy on Members payroll file.	Destroy
Payroll documents	End of financial year following leaving date	6 years or 1 complete mandate (whichever is later)	Business need	<p>Unpaid leave periods</p> <p>Overpayment/underpayment documentation (Includes calculation sheets and letters).</p> <p>Passport/Birth certificate (cease National Insurance).</p> <p>Resignation, retirement (includes resettlement calculation sheets, documentation and evidence, if applicable).</p> <p>Travel allowances, payment and deductions.</p> <p>Details of additional voluntary contributions. This information will be held by the AVC provider.</p> <p>All payroll records for Members can be destroyed apart from any documents relating to break in service record. When Member leaves</p>	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				this data should be passed to Pensions file to form part of the Members deferred paper file.	
Month end payroll audit file	End of financial year	6 years	Business need	Include month end reports and salary information (also includes electronic files ('F' and 'S' Drives)).	Destroy
Payroll history	End of Employment	Until data subject is aged 76, or 6 years after leaving (whichever is later)	Business need, Pension Administration	Includes: record of pay, allowances, office holders' payment, other taxable payments, reduced pay, no pay, pension contribution history. Summary information held only.	Destroy
Pension awards	End of employment	Until data subject is aged 76, or 6 years after leaving (whichever is later)	Pensions administration. Business need	Pension awards records maintained in Payroll and Pensions.	Destroy
Members details for Assembly Members' Pension Fund Accounts purpose	End of financial year	Until data subject is aged 76, or 6 years after leaving (whichever is later)	Pensions administration, Business need	Includes: Full name, National insurance, payroll number, activity number, pensionable pay, contributions paid, communication letters, refund calculations, confirmation of refund payment to HMRC and former member, Members pension options choice (necessary for	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				accounting recognition only) amount of lump sum, transfers in and out.	
Medical Reports	End of financial year following final payment	6 years	Business need	Includes specialist reports, associated internal paperwork and payroll instruction.	Destroy

Members' Pension Administration

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Bank details - current	End of Membership	6 years	Business need		Destroy
Death in Service Benefit Nomination and Revocation Forms	End of Employment or superseded	6 years	Business need		Destroy
Death certificates	Expiration of Pension Liability	6 years	Business need	Return original to provider, copy to be retained.	Destroy
Decree absolutes	Expiry of Pension Liability	6 years	Business need	Return original to individual, copy to be retained.	Destroy
Marriage certificates and documentation relating to civil registration	Expiration of Pension Liability	6 years	Business need	Return original to individual, copy to be retained.	Destroy
Partner Declaration Forms	Expiration of Pension Liability	6 years	Business need		Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Payroll history	On production or receipt of record	Until data subject is aged 76, or 6 years after leaving (whichever is later)	Pensions administration, business need	Includes: record of pay, office holder pay, reduced pay, no pay, pension contribution history.	Destroy
Pension awards	Expiration of Pension Liability	6 years	Pensions administration, business need	Pension application forms, pension award letters, commutation forms, new pension notifications, AVC paperwork (if appropriate).	Destroy
Medical Reports	Date of report	6 years	Business need	GP reports, Specialist reports, Occupational Health and Safety (OHS) reports.	Destroy
Transfers In	Commencement of pension payments	6 years	Business need	Transfer in application and paperwork from previous scheme; signed confirmation of transfer and final amount of transfer; service credit letter.	Destroy
Transfers Out	On production or receipt of record	Until data subject is aged 76 or 6 years after leaving (whichever is later)	Business need	Transfer out application, signed paperwork from receiving scheme, signed confirmation of transfer and details of payment to receiving scheme.	Destroy
Pension Increase Letters/Data Cleanse forms	On production or receipt of record	Until superseded	Pension administration, Business need		Destroy
Refund of Contributions	On production/ receipt of record	Until data subject is aged	Pension administration, business need	Service and contribution summary, refund calculation,	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
		76 or 6 years after leaving (whichever is later)		signed paperwork and confirmation of payment to former member and HMRC.	
Dependents Pensions	Expiration of Pension Liability Former Member	6 years	Pension administration, Business need	Spouse and child pension application form, copy of spouse/ child birth certificate, copy of marriage certificate/civil partnership certificate/partner declaration form (if appropriate).	Destroy
Members' details for pension purposes	Commencement of pension payments	6 years	Pension administration, Business need	Full name and date of birth; National Insurance number; Pensionable pay at leaving; Reckonable service for pension purposes (and actual service where this is different, together with reasons for the difference); Last day of service and reason for leaving; Amount and date of any Contributions; Equivalent Premium paid – amount of any lump sum gratuity paid, Pension Sharing Orders; All other papers relating to pension not listed above (e.g. break in service payroll records, papers about	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				pension of other employment; papers about other dependant's pensions; and Correspondence with pension administrators, or the individual and his/her representatives about pension matters.	
Annual Benefit Statements/Annual Allowance Statements	On production	Until superseded	Business need		Destroy
Additional Voluntary Contributions (AVC)	Commencement on pension payments	6 years	Pension administration, business need	AVC annual statement.	Destroy

Members' Support Staff and Party Support Staff

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Written particulars of employment	End of financial year following leaving date	6 years or 1 complete mandate (whichever is later)	Business need	Contracts of employment; name, date of birth, National Insurance number, address, e-mail, pay and employer and employee pension contributions. Changes to terms and conditions. Where a Member is still serving, seek confirmation	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				from Member in relation to destroying documents.	
Personal payroll history	End of employment	Until data subject is aged 76, or 6 years after leaving (whichever is later)	Business need	Includes: record of pay, performance pay, overtime pay, allowances, pay enhancements, other taxable allowances, payment for untaken leave, reduced pay, no pay, maternity pay and other maternity pay. Summary information held on iTrent only.	Destroy
Breakdown of payment to Pension company	On production	6 years	Pensions administration, Business need	Held for balance sheet record purposes: includes employer and employee contribution.	Destroy
Month end payroll audit file	End of financial period	6 years	Business need	Include month end reports and salary information (also includes electronic files ('F' and 'S' Drives)).	Destroy
Unpaid leave periods	End of Employment	Until data subject is aged 76, or 6 years after leaving (whichever is later)	Business need	Breaks in service maintained for pension purposes. Hard copy only. iTrent record maintained and covered in 'Written particulars of employment'.	Destroy
Payroll documentation	End of financial year following leaving date	6 years /1 complete mandate (whichever is later)	Business need	Statutory Sick Pay (SSP) forms; Passport/Birth certificate (cease National Insurance); Bonus nominations (Party/Whips staff only); Payroll input forms	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				<p>(hard copy on payroll file and electronic in 'S' Drive); Redundancy details (Includes: calculations of payments, refunds, notification.); Resignation or termination; Overpayment/underpayment documentation (Payroll calculations, receipts and communications); Statutory sickness/maternity and other maternity pay documents; Instruction from Members (as the employer) regarding leave and attendance of staff (including dates of sick absence); Papers relating to third party claim; Bank details – current; Variation of hours (Calculation sheets for individual/ timesheets and authorisation); recruitment documentation (declaration of compliance on recruitment, job description and job advert).</p>	

Travel

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Travel authorisation forms	On completion of audit	2 years	Business need	For Assembly Commission staff and Members.	Destroy
Personal travel documents	Commencement of travel	Completion of travel	Business need	For example, copy of passport.	Destroy
Travel supporting documentation	On completion of audit	2 years	Business need	For Members' and Assembly Commission staff, includes business justification.	Destroy

Public Appointments

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Payroll Details	End of appointment	6 years	Business need	Includes contract of employment and details of terms and conditions for pay calculation and expense payments.	Destroy

Insurance

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Insurance claim	Date case is closed	6 years	Business need	Includes all case notes.	Destroy
Insurance documents	End of financial year	6 years	Business need	Includes annual renewal documents etc.	Destroy

Assembly Commission Services to the Trustees of the Northern Ireland Assembly Members Pensions Scheme (NIAMPS)

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Trustee Meetings	On production	20 Years	Business need	Meeting packs, chairs brief, agreed minutes. Discontinued Function	Destroy
Valuation Reports	On production	20 Years	Business need	Final Triennial Valuation reports Scheme Actuarial Factors Discontinued Function	Destroy
Annual Report and Accounts	On production	20 Years	Business need	Final Report and Accounts Final NIAO Audit Report Discontinued Function	PRONI Permanent Preservation
Statement of Investment Principles	On production	20 Years	Business need	Final SIP Final Investment Strategy Discontinued Function	Destroy

Human Resources

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Planning

The activities involved in identifying the workforce competencies and numbers required to implement the Northern Ireland Assembly's strategic plan and determining how to meet these requirements.

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Assessment and analysis of workforce requirements	End of calendar year	3 years	Fair Employment (Northern Ireland) Order 1998, gender pay gap (Employment (NI) Act 2016.	Activities include analysing and reporting on the size, composition, structure and competencies of the Assembly's workforce.	Destroy
HR section of Members' handbook	On production of the handbook	Permanent	Corporate value		Assembly Commission Permanent Retention

Job Evaluation

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Pay and grading	When superseded	6 years	Business need, The Limitation (NI) Order 1989.	Activities include developing role descriptions and conducting role evaluations to assign roles to grades in a salary structure.	Destroy

Personnel files

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Written particulars of employment	On production	Until data subject is aged 76, or 6 years after leaving (whichever is later)	Business need, Pension administration, litigation. Statutory Sick Pay (General) Regulations (Northern Ireland) 1982 requires records to be kept for 3 years	Contracts of employment. Names, date of birth, national insurance number, service and grade. Changes to terms and conditions, includes application forms, variation of hours, recruitment and selection documents, promotion/deputising and/or substitution documentation, interchange agreements, resignation, retirement or termination letter including redundancy or VES.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Current address details	End of Employment	6 years	Business need		Destroy
Special leave	After last action	3 years	Business need		Destroy
Voluntary Exit Scheme	After last action	6 years	The Limitation (NI) Order 1989	Scheme documents, calculations, selection process, applicant information, selected/not selected letters.	Destroy
Qualifications/references	End of employment	6 years	Business need		Destroy
Working Time Directive opt-out forms	After opt-out has rescinded or has ceased to apply	3 years	Pension administration, litigation. Statutory Sick Pay Regulations 1982		Destroy
Records required for pension purposes	End of employment	Until data subject is aged 76 or 6 years after leaving (whichever is later)	CIPD recommendation, The Limitation (NI) Order 1989	To include grade, salary, hours of work, pay history including bonuses and allowances, periods of absence which affect pay e.g. maternity, career break and sick absence.	Destroy
Acknowledgement of receipt of Dignity at Work, Equal Opportunities and Social Media Policies	End of employment	6 years	Business need, The Limitation (NI) Order 1989		Destroy
Signed Duty of Confidentiality form	End of employment	1 year	Business need, The Limitation (NI) Order 1989		Destroy

Sick Absence/ Health

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Sick Absence	After last action on absence or related management intervention	4 years	Business need, Statutory Sick Pay Regulations 1982	Medical/Self Certificates. Return to work interviews	Destroy
Sick absence record	End of employment	6 years, if loss of pay keep record until employees 100th birthday for pension purposes	Business need, The Limitation (NI) Order 1989, Art 13 of the Statutory Sick Pay (General) Regulations (NI) 1982 requires records retained for 3 years if employee sick for 4 or more consecutive days in a tax year. Sick/Statutory Sick Pay Regulations 1982	Dates and reason for absence, Includes periods of phased return.	Destroy
Adjustment to work place	End of employment	6 years	Management of Health and Safety at Work (NI) Regulations 2000	OHS reports, other medical advice, details of adjustment. The order requires employer to keep records of assessment of risks to health and safety of employees. The assessment needs to be reviewed.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Health referrals, including medical reports from doctors and consultants, correspondence with Occupational Health	After last action or related management intervention	6 years	The Limitation (NI) Order 1989	OHS referrals and reports. Addiction NI referrals and reports	Destroy
Welfare Papers	After last action on absence or related management intervention	6 years	Business need	Welfare reports, stress questionnaires.	Destroy
Papers relating to injury on duty	End of employment	6 years after leaving If injury involved hazardous substance/asbestos/lead retain for 40 years.	The Limitation (NI) Order 1989	Includes medical certificates in relation to injury on duty.	Destroy
Application for temporary access to Upper Car park on medical grounds	End of period of access	6 months	Business need		Destroy
Employee exposure to Lead	Date of last entry	40 years	Control of Lead at Work Regulations 2002	Includes potential exposure.	Destroy
Employee exposure to Asbestos	Date of last entry	40 years	Control of Asbestos (Northern Ireland) Regulations 2012	Includes potential exposure.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Compressed Air	Date of last entry	40 years	Work in Compressed Air (Northern Ireland) Regulations 2004		Destroy
Radiation	After last entry	50 years	Ionising Radiation Regulations 2006		Destroy

Staff Performance, Appraisal and Development

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Annual/ Performance Review reports	After end of reporting period	3 years	Business need	Including Record of Performance Conversation held online.	Destroy
Performance review reports where performance did not meet expectations	End of employment	Until pension goes into payment	Business need	Impact on pay progression.	Destroy
Personal Performance Agreement	After end of reporting year	3 years	Business need		Destroy

Discipline

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Papers which detail any change to terms and conditions of service, salary, performance pay or	After last action	Until data subject is aged 76, or 6 years after leaving	The Limitation (NI) Order 1989		Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
allowances arising from a disciplinary penalty.		(whichever is later)			
Other disciplinary files where action did not result in any change to terms and conditions of service, salary, performance pay or allowances	End of live disciplinary period	As per Disciplinary Policy.	Business need The Limitation (NI) Order 1989		Destroy
Capability papers	After last action	As per Capability Policy.	Business need		Destroy

Grievance and Dignity at Work

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Case files (correspondence, minutes, etc.)	Closure of case	6 years	The Limitation (NI) Order 1989	Includes tribunal papers.	Destroy
Mediation Notes	On production	End of mediation process	Business need	Notes are generally not taken during mediation. However, if notes are required a copy will be provided to all parties. All notes will be destroyed at the end of the mediation process. Notes are not held by HR.	Destroy

Recruitment

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Recruitment authorisation	Closure of merit list	1 year	Business need		Destroy
Vacancy advertisement and enquiries	Closure of merit list	1 year	Fair Employment Code of Practice, business need	Includes request for application forms and interest circulars.	Destroy
Recruitment documentation for non-appointed applicants.	Closure of merit list	1 year	Business need Fair Employment Code of Practice	Includes e-mail addresses used to set up online account.	Destroy
Health Declaration	End of employment	6 years	Management of Health and Safety at work Regulations (Northern Ireland) 2000	Includes referrals to OHS for medical.	Destroy
Public Appointments for appointees	End of appointment	1 year	Business need	IFRP, ACARC, NIPSO, Commissioner for Standards.	Destroy
Public Appointments – non-appointees	End of merit list	1 year	Business need	IFRP; ACARC, appointments of Members.	Destroy
Inward secondments	End of secondment	1 year	Business need	Includes signed secondment.	Destroy
Agency Workers	End of placement	1 year	Business need	Name and invoices from Agency.	Destroy
Interchange applications	Closing date for applications	1 year	Business need		Destroy

HR Policy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Handbook	When superseded	6 years	Business need, The Limitation (NI) Order 1989		Destroy
Circulars	When superseded	6 years	Business need, The Limitation (NI) Order 1989		Destroy

Monitoring

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Equal opportunities (monitoring forms)	Completion of annual return	4 years		Information held electronically. Base forms held to resolve any queries at time of return completion.	Destroy

Learning and Development

The activities involved in providing training and development for Assembly Commission staff.

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Development of training and development programmes including induction	When superseded	1 year	Business need	Includes, training material, training administration.	Destroy
Training record including proof of completion (certificates, awards, exam results, etc.)	On completion	6 years after leaving	Business need- multiple statutes require employer to train employees on different areas, The Limitation (NI) Order 1989	Includes support through Further Education.	Destroy
Training feedback	Completion of analysis of feedback	1 year	Business need		Destroy
Analysis of the impact of training and development programmes	On completion of relevant annual training report	1 year	Business need		Destroy

Employee Relations

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Trade Union agreements	End of period to which agreement applies	1 year	Business need	Joint agreement e.g. working arrangements.	Destroy
Trade Union Meetings	End of financial year	3 years	Business need	Agenda, minutes, papers.	Destroy
Pay and conditions	When superseded	6 years	Business need	Documents detailing negotiation with Trade Union regarding pay and conditions. This includes policy issues.	Destroy

Equality and Good Relations

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Action Plans - (including working papers, SMT/Commission papers, approved final plan, etc.)	When superseded.	6 years	Business need Relevant legislation, policies, guidance: s75 of the Northern Ireland Act 1998; Disability Discrimination Act (DDA) 1995; Assembly Commission Equality Scheme.	For example, the Disability Action Plan, the Gender Action Plan and the Good Relations Action Plan. Final action plans are published on the website. A separate file is to be created for public consultations on these action plans – see 'consultations' below.	PRONI Appraisal
Annual Reports to the Equality Commission	When superseded	6 years	Business need	Published on Assembly website.	PRONI Appraisal

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Audit of Inequalities	When superseded	6 years	Business need	The retention period for a review of the Audit of Inequalities will be the same – i.e. standard retention period of 6 years once review is superseded. Audits and reviews are published on Assembly website.	PRONI Appraisal
Complaints received under the equality scheme's complaints procedure (section 75 complaints)	When response issued by Equality and Good Relations Unit	3 years	Business need	A file copy may be kept electronically for longer than 3 years but all personal data must be redacted from this copy. Other business areas holding personal information relating to the complaint are responsible for disposal of their records. Relevant legislation, policies, guidance: s75 Northern Ireland Act 1998; Assembly Commission Equality Scheme.	Destroy
Complaints/comments received in relation to policy screening, and general equality queries and comments	When response issued by Equality and Good Relations Unit	3 years (A file copy may be kept electronically for longer than a year but all personal data must be	S75 of the Northern Ireland Act 1998	Although business areas are responsible for the policy screening, the Equality and Good Relations Unit will hold information relating to comments/complaints on screening. Responses to comments/complaints may	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
		deleted/redacted from this copy. Other business areas holding personal information relating to the complaint are responsible for disposal of their records)		include reference to several different policies if, for example, they are comments arising from a quarterly screening return.	
Consultations (public and staff)	When superseded	6 years	s75 of the Northern Ireland Act 1998	For example, consultations on language policy, Good Relations Action Plans, Disability Action Plans, EQIA. Files to be marked restricted.	Destroy
Disability Action Plan – five-year review	When superseded	6 years	Disability Discrimination Act (DDA) 1995 Section 75 of the Northern Ireland Act 1998	Five-year review will be published on Assembly website.	Destroy
Disability Working Group – minutes and agendas	End of mandate	3 years	Business need	Minutes and membership are published on the Assembly website. (Minutes and agenda held electronically. No registered file required.)	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Equality Impact Assessments (EQIAs)	Publication of report on results of EQIA	6 years	S75 of the Northern Ireland Act 1998 Equality Commission for Northern Ireland Guide for Public Authorities on S75 of the Northern Ireland Act 1998	For example, Flag EQIA. Information relating to EQIAs conducted by other business areas to be retained by relevant business area for 6 years. Stage 7 of the EQIA process is monitoring for adverse impact. Monitoring will include review of progress with regard to any mitigating measures recommended in the EQIA report. Monitoring updates will be included in Annual Reports to the Equality Commission, which have a separate retention period.	Destroy
Equality Scheme	When superseded	6 years	s75 of the Northern Ireland Act 1998	Equality Commission determine how often the Equality Scheme is reviewed.	Destroy
Policy development	When policy is superseded, or, if policy is not renewed, end of mandate	6 years	Business need		Destroy
Procurement (for equality projects)	Award of contract	Until end of successive contract and in	Business need, The Limitation (NI) Order 1989	Relevant legislation, policies, guidance: Assembly	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
e.g. procurement of translation services, consultants to facilitate EQIAs		any case no less than 6 years from trigger		Procurement Office guidance and procedures.	
Screening forms of policies owned by the Equality and Good Relations Unit	When policy is superseded	6 years	s75 of the Northern Ireland Act 1998	Policy screening documents are to be retained for 6 years. The Equality Unit publishes the screening forms on the Assembly website on a quarterly basis as required by the Equality Commission.	Destroy

Management, Policy and Planning

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Audit

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Final Internal Audit Reports	Final consideration by Assembly Commission Audit and Risk Committee (ACARC)	6 years	Business need	'Secretariat Audit and Risk Committee (SARC)' prior to October 2022.	Destroy
Report papers used in the course of a fraud investigation	Completion of legal proceedings	7 years	The Limitation (NI) Order 1989	An investigation is a piece of internal audit work which falls outside regular planned internal audit work. Audit report papers used in the course of a fraud investigation should be kept 6 years after legal proceedings have been completed.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Other Audit Reports	Final consideration by Assembly Commission Audit and Risk Committee (ACARC)	5 years	Business need	'Secretariat Audit and Risk Committee (SARC)' prior to October 2022.	Destroy
Terms of reference	Completion of audit	3 years	Business need		Destroy
Programmes/Plans /Strategies	Last date of plan	1 year	Business need		Destroy
Minutes of meetings and related papers including those of Assembly Commission Audit and Risk Committee	End of parliamentary year	3 years	Business need		Destroy
Correspondence	End of Parliamentary year	3 years	Business need		Destroy
Working papers	Completion of audit	3 years	Business need		Destroy
Internal audit guides	When superseded	1 year	Business need		Destroy
Local auditing standards	When superseded	1 year	Business need		Destroy
Manuals and guides relating to Departmental procedures	When superseded	1 year	Business need		Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Annual Report to Accounting Officers	On creation of record	3 years	Business need		Destroy

Strategic and Business Planning

The activities involved in developing the Assembly Commission's strategic plans.

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Strategic and Business Planning - key records	When superseded	5 years	Business need	Strategic and Business Planning - key records.	Destroy
Strategic and Business Planning - working papers	Publication of plan	6 years	Business need	Strategic Planning - working papers.	Destroy
Corporate Plan	Financial year end	20 Years	Corporate value		PRONI Permanent Preservation
Corporate Plan - working papers	Publication of plan	6 years	Business need		Destroy

Business Performance Management

The activities involved in monitoring the Assembly Commission's key performance indicators, benchmarking and monitoring performance against strategic plans. Activities include developing performance.

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Reports on Assembly Commission performance	On production of final report	10 years	Business need	Includes Clerk's monthly report to the Assembly Commission.	Destroy
Data and analysis of performance	On production of final report	10 years	Business need	Data on, and analysis of, the Assembly Commission's performance against the strategic plan.	Destroy
Monitoring statistics and reports	End of financial year	5 years	Business need	Internal monitoring of performance. Includes exception reports.	Destroy
Assembly Commission Annual Report: Circulated copy	On production of final approved report	20 Years	Business need	PRONI currently on circulation list.	PRONI Permanent Preservation
Assembly Commission Annual Report: Original	On production of final approved report	Permanent	Business need		Assembly Commission Permanent Retention
Background papers of annual report	On production of final approved report	3 years	Business need		Destroy

Policy and Procedures

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Corporate Policy and Procedures	When superseded	5 years	Business need	The activities involved in developing and establishing strategic or high-level policies and procedures. Includes drafts documenting significant changes. Includes Equality, Freedom of Information; records management; data protection; procurement; finance; HR; Health and Safety, etc.	Destroy
Low-level/Office	When superseded	6 years	Business need	Activities involved in developing and establishing office or low-level policies and procedures.	Destroy
Working papers (development)	Approval of policy procedure	2 years	Business need		Destroy
Consultation documents	End of mandate	5 years	Business need		Destroy

Organisational Development

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Structure Charts, correspondence regarding restructuring	When superseded	6 years	Business need		Destroy
Survey Information	When superseded	5 years	Business need	Information regarding Members' and staff surveys. Includes survey report, action plan, monitoring reports and meeting papers.	Destroy

Business Continuity

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Business Continuity Plans and related documentation.	When superseded	6 years	Business need, The Limitation (NI) Order 1989	Business Continuity plans for the crisis management team, emergency response team and decision report team including the introduction document. Records documenting the formulation, testing and maintenance of the business continuity plans.	Destroy
Business continuity reports on exercises or incidents	End of exercise or incidents	6 years	Business need, The Limitation (NI) Order 1989	Records documenting responses and experiences from business continuity exercises and incidents.	Destroy

Risk Management

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Corporate Risk Register	When superseded	Permanent	Corporate value	The activities involved in managing risks to the viability or success of the Assembly Commission. NB this is held as part of Assembly Commission Audit and Risk Committee papers which are subject to Assembly Commission Permanent Retention.	Assembly Commission Permanent Retention
Directorate Risk Registers	When superseded	6 years	Business need	The activities involved in managing risks to the success of each Directorate.	Destroy
Assurance Statements in relation to Corporate Risk Register	When superseded	5 years	Business need		Destroy
Assembly Commission Audit and Risk Committee Meetings	On approval	Permanent	Corporate value	Includes agenda, minutes and papers submitted.	Assembly Commission Permanent Retention
Assembly Commission Audit and Risk Committee (ACARC) Annual Report	On approval	Permanent	Corporate value		Assembly Commission Permanent Retention

Project Governance Corporate

Records documenting the design of projects and preparation of formal proposals

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Approved projects	Completion of project	10 years	Business need		Destroy
Rejected or deferred projects	Completion of project/project proposal	6 years	Business need		Destroy
Business Case (Project Initiation Documents (PID) and supporting documentation): Minor Projects	Completion of project	5 years	Business need	The justification for undertaking a project, defining the benefits which the project is expected to deliver and the constraints within which the project is required to operate.	Destroy
Business Case (Project Initiation Documents (PID) and supporting documentation): Major Projects	Completion of project	25 years	Business need	Records relating to major projects may be kept for second review (25 years).	Destroy
Records documenting the management of projects	Completion of project	10 years	Business need	Plans and specifications (statements of requirements, operational requirements, technical plans, resource plans, and budgets, etc.). Reports (stage assessments, quality reviews, highlight reports, GANTT charts).	Destroy
Financial records of projects	Please refer to Financial Management				

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Feasibility studies; Minor Projects	After issue	10 years	The Limitation (NI) Order 1989	Reports, draft reports, working papers and correspondence. Records relating to major projects may be kept for second review (25 years).	Destroy
Feasibility studies: Major Projects	After issue	25 years	The Limitation (NI) Order 1989	Records relating to major projects may be kept for second review (25 years).	Destroy
Project Boards	After date of last paper	6 years	Business need	Assessment meetings, etc. Minutes and correspondence.	Destroy
Management Meetings	On agreement of minutes	6 years	Business need	Includes Employee Relations Board Meetings. Internal Communications Group included.	Destroy

Building Services

[Ownership and occupancy](#)

[Drawings/Building Plans](#)

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Ownership and occupancy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Inventory of Artefacts including art	On production of record	Permanent	Corporate value		Assembly Commission Permanent Retention
Contract Management	End of contract	6 years	Business need, The Limitation (NI) Order 1989	The activities involved in recording the performance of contractors throughout the lifetime of the contract. Additional contract information held by the Contract Manager i.e. copy contracts etc. should be destroyed at the end of the contract – the Procurement Office is responsible for maintaining original contract records.	Destroy
Maintenance Contract Management	End of contract	6 years	Business need, The Limitation (NI) Order 1989		Destroy

Drawings/ Building Plans

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Building and project plans and drawings	Last action	Permanent	Corporate value	Plans including working copies, consultants' and contractors' drawings and associated records and manuals.	Assembly Commission Permanent Retention

Surveys and Inspections

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Building maintenance and inspections	Award of contract/ instigation of report or inspection	Until end of successive contract and in any case no less than 6 years from trigger	Business need, The Limitation (NI) Order 1989	Records concerning maintenance schedules, diaries or logs, installation surveys, programmes, operational manuals and forward maintenance registers. Records include gas safety; lifting equipment; work equipment; pressure systems; fixed electrical installations and portable appliances.	Destroy

Project Reports- Please refer to Project Governance

Maintenance

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Maintenance log	Final entry	12 years	Business need,		Destroy
Maintenance schedule	When superseded	6 years	Business need, The Limitation (NI) Order 1989		Destroy
Maintenance programme	When superseded	6 years	Business need, The Limitation (NI) Order 1989		Destroy
Payment disputes	End of contract	6 years	Business need, The Limitation (NI) Order 1989		Destroy
Final accounts	End of contract	6 years	Business need, The Limitation (NI) Order 1989		Destroy

Sustainable Development

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Environmental Management System	Last action – elimination of risk or updating the risk assessment	6 years	Business need, Management of Health and Safety at Work (Northern Ireland) Order 1978. Employer duty to record risk assessment in Management of Health and Safety at Work Regulations	Records documenting identified environmental aspects of the Assembly, including Environmental Records and procedures regarding waste management and energy.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
			(Northern Ireland) 2000. The Limitation (NI) Order 1989 – negligence claim		
Records documenting the recording of environmental incidents in the Assembly or caused by its operations	Last action	40 years	Facilitate Health Surveillance under the Control of Substances Hazardous to Health Regulations (Northern Ireland) 2003 as amended	The activities involved in recording and investigating environmental incidents in the Assembly or caused by its operations, and the reporting of reportable incidents to the enforcing authorities. Include accident books, records and reports.	Destroy
Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities	Last action	6 years	Business need, The Limitation (NI) Order 1989 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 as amended (RIDDOR) puts duties on employers to report certain serious workplace accidents, occupational diseases and specified		Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
			dangerous occurrences (near misses). RIDDOR records to be retained for 3 years.		
Environmental performance data	Last action	6 years	Business need, The Energy Performance of Buildings (Certificates and Inspections) (Amendment) Regulations (Northern Ireland) 2022	The activities involved in monitoring and controlling the Assembly's environmental performance; the conduct and result of formal reviews of the Assembly's environmental performance; and action taken to address issues raised.	Destroy

Waste Disposal

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
General Waste (WTN)	Last action	2 years	Business need, The Controlled Waste (Duty of Care) Regulations (Northern Ireland) 2002	The activities involved in collecting, storing and disposing of Assembly waste. Includes: office waste, catering waste; redundant equipment and consumables.	Destroy
Hazardous Waste	Last action	3 years	Business need, The Hazardous Waste Regulations (Northern Ireland) 2005	The activities involved in collecting, storing and disposing of Assembly special waste. Includes: batteries and fluorescent bulbs.	Destroy
Contractor Licence	End of contract	6 years	Business need, The Limitation (NI) Order 1989	Licences that expire during the contract should be destroyed on receipt of a valid licence.	Destroy

Health and Safety

[Accidents](#)

[Risk Assessment](#)

[Fire Safety](#)

Accidents

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Accidents, incidents and near misses Claim made Involving Child	Date of issue Settlement date 18 th Birthday	3 years	Business need, The Health & Safety at Work (Northern Ireland) Order 1978. Management of Health & Safety Regulations 2000. Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997, The Limitation (NI) Order 1989	The activities involved in recording and investigating accidents incidents and near misses.	Destroy
Display Screen Equipment and General Risk Assessments	Date of issue	5 years	Business need, Display Screen Equipment Regs (NI) 1992	Risk assessments conducted by Assembly.	Destroy
Inspection Reports	Date of issue	5 years	Business need, The Limitation (NI) Order 1989	The activities involved in inspecting common areas and offices.	Destroy

Risk Assessment

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Fire Risk Assessments (FRA)	Date of issue	5 years	Fire and Rescue Services (NI) Order 2006	Records of significant findings of fire assessments and action taken to remove or reduce risk.	Destroy

Fire Safety

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Fire safety manual and log and log and fire safety training records	Date of issue	5 years	Business need, Fire Safety Regulations (NI) 2010	Records of statutory fire alarm tests, equipment checks, staff training etc.	Destroy
Fire safety evacuation plans	When superseded	5 years	Business need	Evacuation plans for Assembly buildings and Personal Emergency Evacuation Plans.	Destroy

Usher Services

[Control of access to premises](#)

[Visitor Management System](#)

[Control of removal of property](#)

[CCTV](#)

[Information required for Assembly Pass](#)

[Team Administration](#)

Control of access to premises

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Assembly Identification pass, application and digital Image (issued as per Security Policy)	At end of employment, or no longer a regular building user.	Length of employment, or until no longer a regular building user.	Business need	Digital record, application and image will be destroyed.	Destroy
Members and Party Assembly Identification Pass, application and digital image	On instruction of Member or Party Whips Office, or at the end of a mandate.	Six weeks following the start of a new mandate, or following instruction from a Member or Party Whips Office.	Business need	At start of dissolution, prior to an election, Members and Party passes will be put on-hold. Six weeks following start of the new Mandate, any information in relation to Assembly identification passes that have not been reapplied for by the relevant Member or Party/Whips Office will be destroyed.	Destroy
Member and Party Pass Sign Off Sheets	On application for a Members staff or Party Staff pass.	Six weeks following start of new mandate.	Business need	Allocations for individual Members and Party/Whip staff are signed by each ID pass holder. When a pass	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				holder leaves, their name is crossed out. Applications are stored in a secure cabinet, and used as a back-up to the VMS and for record management.	
Media Identification pass, associated personal information and Code of Conduct Pro Forma	Removed following notification by the Head of Communications, or at the end of a mandate.	Immediate Effect	Business need, Media who are regular building users are required by Communications to sign a Code of Conduct when requesting a pass.	Media Identification passes (Regular, Correspondent and Intermediate passes) are valid for one year starting from the 1 st June. Any pass record and associated personal information is removed following notification from the Head of Communications or the end of a mandate.	Destroy
Assembly Identification Pass - swipe in and out times	Collected as individual swipes through the VMS.	Until the end of working day	Business need	The Visitor Management System deletes information for all Assembly Identification Passes, early each morning.	Destroy
Upper Car Park Permits and application data: Members and Party Staff.	On application from Member or Party Whips Office.	For duration of Mandate or criteria no longer met.	Business need	Information held for validation and identification of vehicles using Upper Car Parks.	Destroy
Upper Car Park Permits and Application data: other building users.	On application of building user who meets the criteria set out in the Upper Car Park policy.	For the duration of entitlement, as per the Upper Car Park policy.	Business need	Information held for validation and identification of vehicles using Upper Car Parks.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Temporary Medical Permit	Following receipt of approval from HR office.	For the duration of entitlement as prescribed by Human Resources.	Business need	No information is held on reason for access being granted. Usher Services are informed of start and end date of entitlement.	Destroy
Official Disability Parking Badge	On the request of the Badge Holder.	While the Badge is valid.	Business need	Building users who will regularly be accessing Upper Car Parks are requested to provide sight of their Disability Badges, and the date of expiry is recorded in the upper car parking system. This assists with car park management and vehicle identification. The user will not be required to submit an Upper Car Park Request for each entry.	Destroy
Upper Car Park Requests	Following an approved submission for access to Upper Car Parks.	3 Months	Business need	Requests are made through a secure system, entering vehicle and driver details. An Assembly App will automatically remove details after retention period is over.	Destroy
Parliament Building Key Register	Following request for a room key	For duration of key issue.	Business need	Name of requestor and key number.	Destroy

Information required for Assembly Pass

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Lost pass Application	Reporting a Lost Assembly Identification pass	On receipt of notification a new pass will be issued after 7 days, application will be destroyed following issue.	Business need	Application for new pass following loss of Assembly Identification pass.	Destroy
Access NI application, validation form and copies of proof of identification	On issue of Access NI certificate	90 days following issuing of certificate.	Business need, Access NI requirement	Certificates are provided by Access NI to the individual. Access NI require that copies of identification papers are securely held for 90 days. Application information is stored in a secure cabinet until destroyed.	Destroy
Employee clearance review panel documentation	On completion of review process	3 months	Business need	Information held in a secure database, with limited access.	Destroy
Control Room, Rolling Brief and Door Logs	Reviewed and removed each month	1 year, removed during monthly review.	Business need	These logs record and document the conduct of routine incidents requiring the attention of Security staff, i.e. action taken and incident logging, telephone calls; messages from internal personnel; messages from external services/agencies; and radio & telephone calls	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				to/from Control Room/Access points. Note: Extracts of logs or reports used in investigations will be kept until proceedings have been concluded.	

Visitor Management System

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
VMS Regular Day Pass: Temporary; Contractor and Media Day Passes	On creation	90 days from last day issued.	Business need	Record and image are held on the system for 90 days following the last date of issue, then automatically removed from system.	Destroy
VMS Visitor Day Pass: Visitor Pass.	On creation	28 days	Business need	Record and image are held on the system for 28 days following the last date of issue, then automatically removed from system.	Destroy
VMS Function Pass: Guest Lists and Sign-In Sheets	Named pass created from supplied Guest List attending function at PB.	90 days from the date of event.	Business need	No image captured. Record for event is automatically removed from the system after 90 days.	Destroy
Visitor Names	On production of record	90 Days	Business need	Report listing visitor names will be produced every 2 weeks and retained for 90 days.	Destroy

Control of removal of property

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Clearance for contractors/ consultants – Contractor Database	End of clearance or work contract.	Information held on the Contractor Database until clearance date has expired, or the contractor requests their personal information to be removed.	Business need	The secure contractor database will purge records after clearance date has expired. A Contractor may request their information is removed at any time.	Destroy
Contractor pass	90 days from last date of issue.	Record and image are held on the system until 90 following previous issue.	Business need	The system automatically deletes records after 90 days.	Destroy

CCTV

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Routine security surveillance	On creation	Maximum 30 days	Business need	The process of recording moving images (CCTV) for the purpose of security. CCTV images are deleted from the system automatically after 30 days.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				Note: Recorded data used in investigations is kept until proceedings have been completed.	
Non-routine surveillance	Request for images/date of incident	1 year	Business need	Following current procedures.	Destroy
Theft reports and investigations	End of investigation	1 year	Business need		Destroy
Lost/Found Property records and indemnity section. Jewellery/Money/items of value	Following end of items' redemption period	Records are kept for 1 month or 6 months depending on the items retention period.	Business need	Depending on the items retention period, records are destroyed as follows: Clothing/Books/Stationary/Misc. – 1 month; Jewellery/Money/items of value – 6 months.	Destroy
Uniform Issue.	Payment and Delivery	1 Month	Business need	Used for the purposes of issuing uniform, destroyed following receipt and payment.	Destroy.

Team Administration

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Overtime Forms	On submission of claim	3 Months	Business need	Overtime forms are held until confirmation of payment and destroyed as record will be held by Finance office.	Destroy
Call-Out Sheets	Produced as part of staff rota production	3 Months	Business need		Destroy
Internal Postal Duties.	Completion of rota.	1 year.	Business need	Details of rota, log of outgoing mail with cost, and record of offices visited.	Destroy

Legal, Governance and Research Services

Legal Services Office

[Legal Advice](#)

[Litigation files](#)

[Contracts](#)

[The Office of the Examiner of Statutory Rules](#)

Legal advice

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Legal advice on the employment rights and obligations of identifiable individuals.	Date of last action or end of legal action	6 years	Business need, The Limitation (NI) Order 1989	Some of this legal advice, if it remains relevant and retains precedent value, will be destroyed only when that relevance ends.	Destroy
Legal advice on significant institutional and constitutional matters and legal advice on the legislative competence of Bills	Date of issue	Permanent	Business need		Assembly Commission Permanent Retention
All other legal advice	Date of issue	15 years	Business need		Destroy

Litigation files

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Litigation files (employment rights and obligations of identifiable individuals)	Date of last action (by judgment, statement etc.)	6 years	Business need, The Limitation (NI) Order 1989	Some of these files if they remain relevant and retain precedent value will be destroyed only when that value ends.	Destroy

Contracts

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Contracts, Service Level Agreements, Memoranda of Understanding etc.	Date of termination	6 years	Business need	This entry relates only to those contracts managed directly by the Legal Services Office.	Destroy

The Office of the Examiner of Statutory Rules

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Legal advice requests and advice and associated documents	Creation of document, receipt of request	Permanent	Knowledge base, consistency, record of decision making		Assembly Commission Permanent Retention
Documents and files related to the consideration of statutory rules under SO 43	Creation of document	10 years	Knowledge base, consistency, record of decision making		Destroy
Correspondence	Creation/receipt of document	10 years	Knowledge base, consistency, record of decision making		Destroy

Research and Information Service

[Research Requests and Responses](#)

[Library Information Requests](#)

[Academic Engagement](#)

Research Requests and Responses

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Members' queries and response	Date of request	10 years	Business need		Destroy
Committee Research enquiries	Date of request	10 years	Business need		Destroy
Assembly Commission Research enquiries	Date of request	10 years	Business need		Destroy
Research papers	Completed papers	10 years	Business need	This includes published research material.	PRONI Appraisal

Library Information Requests

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Library Enquiries	Date of request	10 years	Business need	Personal information redacted from form prior to going into storage.	Destroy
Information Packs	Prior to Plenary Debates	10 years	Business need		Destroy
Inter Library Loan	Date of request	5 years	Business need	In line with British Library Guidelines.	Destroy
Loans	Return of borrowed book	Immediate	Business need		Destroy
Purchasing Stock	Date of request	7 years	Business need	For internal audit purposes.	Destroy

Academic Engagement

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Knowledge Exchange Seminar Series (KESS) Attendee Registration	Seminar date	1 day	Business need	Information retained until day after the seminar.	Destroy
KESS subscription	Subscription	2 years	Business need		Destroy
KESS Academic Presenter video clip	Seminar date	5 years	Business need	Also posted on YouTube.	Destroy
KESS Panel University partners	On receipt of member's email	5 years	Business need	Details retained on RaISe CSU shared drive for the period specified.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
KESS feedback forms/Questionnaires	Close of seminar	5 years	Business need	All Feedback Forms/Questionnaires/forms are anonymised and retained for the period specified, in order to enable analysis, in order to monitor and review, to improve efficiency and effectiveness.	Destroy
KESS Panel Meetings	Date of meeting	10 years	Business need	Minutes of meetings; meeting administration, including information necessary for the organisation of meetings and subsequent follow up work; miscellaneous correspondence.	Destroy
KESS Successful Applications	On receipt	1 year	Business need	Successful application forms, including declaration of interests forms; telephonic/email/in-person correspondence; contact details; material related to selection.	Destroy
KESS Unsuccessful Applications	Programme Agreement	4 months	Business need	Unsuccessful application forms, including, e.g., declaration of interests forms; telephonic/email/in-person correspondence; contact details; material related to selection.	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
KESS Submissions (Policy Briefings and Power Points)	On receipt	10 years	Business need	Policy Briefings and Power Points produced for KESS seminars.	Destroy
KESS Images	Point of collection	5 years	Business need		Destroy
Media enquiries	Date of request	1 year	Business need	Activities arising in response to telephonic/email/in-person requests.	Destroy
Assembly Register of Research	On receipt of online form	5 years	Business need	Details retained on database, which is overseen by the RaISe CSU.	Destroy
Research Matters email subscriber details	When subscription ends Consent is withdrawn	5 years Immediate	Business need, Data Protection Act 2018, UK GDPR	If consent is withdrawn, destroy immediately. Can continue to hold enough to evidence the withdrawal of consent i.e. consent tracker	Destroy

Procurement

[Initial Proposal](#)

[Monitoring of supplier performance](#)

[Surveys and Inspections](#)

The policy below applies to all procurements within the Assembly Commission with the exception of quotations with a whole life costs of under £5,000. For such quotations, all relevant quotation information should be maintained for a period of the contract plus 1 year.

It is important that a record of all contracts and related transactions is kept. The files must contain a complete and accurate record of all internal and external documentation so that the stages and reasoning of the transactions are apparent.

Initial Proposal

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Contract Documentation	End of contract	6 years	Business need, The Limitation (NI) Order 1989	Business justification or case Procurement Strategy. Contract advertisement agreed specification (Pre-qualification questionnaire; includes evaluation methodology), Evaluation criteria, Invitation to tender, Non-competitive action or single Tender Actions (STAs). Contracts under Service Level Agreement (SLA), Ordinary contracts (final version only. Successful tenders, final contract, award letter, signed contract and any other additional documents forming part of	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
				the contract. Successful letters at PQQ stage Contract management documents, Amendments or variations to contracts.	
Unsuccessful Statements of interest (PQQ stage)	End of Contract	6years	Business need, The Limitation (NI) Order 1989	Pre-qualification questionnaire; unsuccessful letters at PQQ stage including Evaluation Team comments, comparisons and evaluation criteria.	Destroy
Unsuccessful tenders	End of Contract	6 years	Business need, The Limitation (NI) Order 1989	Unsuccessful tender bids, notification of award to unsuccessful tenderers including evaluation, comparisons and evaluation comments.	Destroy
Evaluation meetings and forms	End of contract	6 years	Business need, The Limitation (NI) Order 1989	Evaluation reports at both PQQ and tender stages if applicable, evaluation comments and minutes or notes of proceedings. Additional options paper.	Destroy

Monitoring of supplier performance

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Reports from contractors	End of contract	6 years	Business need, The Limitation (NI) Order 1989		Destroy
Schedules of work	End of contract	6 years	Business need, The Limitation (NI) Order 1989		Destroy

Surveys and Inspections

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Equipment and supplies	End of contract	5 years	Business need, The Limitation (NI) Order 1989		Destroy
Buildings	End of contract	Permanent	Corporate Value, The Limitation (NI) Order 1989		Assembly Commission Permanent Retention
Complaints	End of contract	5 years	Business need		Destroy
Payment disputes	End of contract	5 years	Business need, The Limitation (NI) Order 1989		Destroy
Final accounts	End of contract	5 years	Business need		Destroy
Guidance/Policies and Procedures	When superseded	5 years	Business need		Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Reports – Internal e.g. monthly reports to Directors, general or ad hoc reports	End of financial or calendar year	3 years	Business need		Destroy
Reports – external	End of financial or calendar year	5 years	Business need, The Limitation (NI) Order 1989		Destroy

Information Standards

[Freedom of Information and Environmental Information Regulations](#)

[Records Management](#)

[Data Protection](#)

Freedom of Information and Environmental Information Regulations

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Case file: records detailing the FOI/EIR request, the consideration of possible exemptions and subsequent appeals	Internal review deadline (3 months after issued response)	5 years	Business need	Records containing correspondence between the Assembly Commission and the enquirer, details of who handled the request, how the request was researched and how the request was resolved, including any subsequent appeals for review.	Destroy
Case files including access decisions where a complaint is made to the ICO	Information Commissioner decision Letter	5 years	Data Protection Act 2018, Freedom of Information Act 2000, Environmental Information Regulations 2004	Details of case file relating to a decision being made by the ICO following an investigation.	Destroy
	Information Appeal Tribunal	5 years			Destroy
Entry in FOI Disclosure Log	Financial year end	10 years	Freedom of Information Act 2000		Destroy
Publication Scheme	When superseded	5 years	Freedom of Information Act 2000	Records documenting the development and maintenance of the Assembly Commission's Publication Scheme as required by the FOI Act 2000.	Destroy

Records Management

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Information Audits & Records Surveys	Last action	5 years	Business need	Quality assurance checks and bi-annual returns	Destroy
Records Retention and Disposal Log	When superseded	Permanent	Corporate Value, The Public Records Act (Northern Ireland) 1923, Freedom of Information Act 2000, The Lord Chancellor's Code of Practice on Records Management	List of Assembly Commission records series and how long each series must be kept before it may be disposed of.	Assembly Commission Permanent Retention
Guides, manuals and instructions on the management of records	When superseded	5 years	Business need		Destroy

Data Protection

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Data Subject Requests	Final Response date	3 years	Data Protection Act 2018 and UK GDPR	Correspondence and associated papers relating to the receipt of and processing of formal Subject Access Requests made under the provisions of the Data Protection Act 2018.	Destroy
Data Subject Request:	Internal Review response date	2 years	Data Protection Act 2018 and UK GDPR	Correspondence and associated papers relating to	Destroy

Record	Trigger (event that prompts start of retention period)	Retention Period	Legislation/ Reason	Notes	Final Action
Internal Review/ ICO Complaint	ICO decision	2 years		the receipt of and processing of formal Data Subject Requests (all rights) made under the provisions of the Data Protection Act 2018.	
	Information Appeal Tribunal	2 years			
Notification	Notification expiration	6 years	Data Protection Act 2018 and UK GDPR	Records documenting the Assembly's notification of data controller details to the Information Commissioner.	Destroy
Data Protection Impact Assessments (DPIA)	Completion of forms/ DPGO sign off	6 years	Data Protection Act 2018 and UK GDPR, Cabinet office code of practice		Destroy
Data Sharing Agreements	Until Superseded	1 year	Data Protection Act 2018 and UK GDPR, Cabinet office code of practice	Sharing agreements should be reviewed on a regular basis	Destroy
Privacy Notices	Until Superseded	6 years	Data Protection Act 2018 and UK GDPR, Cabinet office code of practice	Privacy notices should be reviewed on a regular basis	Destroy
Data Breaches	Longer of Final report date or ICO decision date	5 years	Data Protection Act 2018 and UK GDPR Cabinet office code of practice		Destroy

Section 6-Signatories



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

A handwritten signature in black ink, appearing to read 'DM Clark', is written above a horizontal line.

Donna-Marie Clark
Data Protection and Governance Officer
Northern Ireland Assembly Commission

A handwritten signature in black ink, appearing to read 'Tara Caul', is written above a horizontal line.

Tara Caul
Director of Legal, Governance and Research Services
Northern Ireland Assembly Commission

A handwritten signature in black ink, appearing to read 'L Hogg', is written above a horizontal line.

Lesley Hogg
Clerk/Chief Executive
Northern Ireland Assembly Commission

Wesley Geddis

Wesley Geddis

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Public Record Office of Northern Ireland

David Huddleston

David Huddleston

PRONI Acting Director

Public Record Office of Northern Ireland

Colum Boyle

Colum Boyle

Permanent Secretary Department for Communities

Appendix A

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

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