

Records Management Procedures

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Alternative Formats

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1. Records – Definition, Sharing, Retaining, Retrieving and Storing Securely

1.1 What is a Record?

The definition of a record is provided in the International Standard on Records Management ISO 15489-1 2001 Part 1. It describes a record as: “information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business”.

In the context of these Procedures, a record is anything that is produced or received in the completion of an organisational activity and comprises content, context and structure sufficient to provide evidence of that activity.

As staff use new technologies it is important to be aware that text messages, emails, messages sent through chat functions such as ‘Whatsapp’ may all constitute records if they contain organisational business and relate to decision making and should be saved in the appropriate systems – either Content Manager for corporate records or ECMS for operational records.

Documents held in any of the following formats could also be records:

- Paper documents
- Audio tapes
- DVD
- Computer files
- E-mails
- Photographs
- Forms

PBNI records fall into two distinct categories:

a) Operational Records

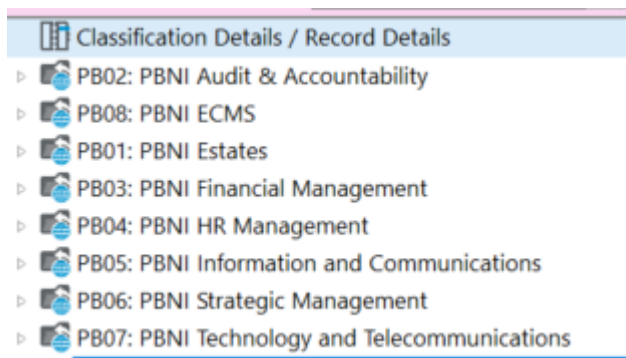
These records relate to specific information on service users under PBNI’s supervision (statutory and non-statutory), those who through a court order/licence or direction are required to engage with PBNI, and those who engage voluntarily with PBNI. It also includes victims who have engaged with PBNI’s Victim Information Scheme. Service user’s information is stored in PBNI’s Electronic Case Management System (ECMS) and is subject to rigorous internal and external standards (including gate-keeping procedures) that govern how service user information is held.

Operational records must be managed in accordance with the PBNI’s Practice Standards for all aspects of work undertaken with service users.

b) Corporate Records

PBNI uses Content Manager as an Electronic Document and Records Management System (EDRMS). It is the repository for all PBNI's corporate information created and received by each PBNI Department in the course of their corporate duties. This includes emails that must be retained for business purposes as evidence of a decision or transaction carried out by or on behalf of PBNI. Corporate records support the administrative functions of the organisation for example Finance, Human Resources, Communications and Technology.

The Content Manager file plan has been designed to structure all PBNI documents into 8 Activity Levels.



1.2 Record Sharing

PBNI securely stores personal records for service users and staff that it controls and at times shares with others for processing purposes. Processing can be for either corporate or operational purposes. When PBNI shares personal data with a third party or service provider, it does so within the requirements of the Data Protection Act 2018. When sharing personal data, it is essential to ensure that the information is being shared for a lawful and legitimate purpose and that its storage and usage complies with both PBNI and statutory requirements. Information on sharing data can be found within PBNI Data Protection [Policy](#) and [Procedures](#).

1.3 What Information Should be Retained as a Record?

PBNI must ensure it keeps the records needed for business, regulatory, legal and accountability purposes. Individuals must decide what records are needed for their business area, and if in doubt should link with their line manager. All records that reflect the process of decision making should be retained.

Records must be kept that relate to the supervision of court orders/licences and those

who work voluntarily with PBNI. All records must be kept that relate to victims who have registered with the Victim Information Scheme. These records should be retained on PBNI's ECMS in line with PBNI's retention and disposal schedule.

Financial records and all records that explain why decisions were made in relation to the financial undertakings of the organisation must be kept. Records relating to audits, and inspections must be kept.

Records that relate to Human Resources functions including decisions regarding recruitment exercises, performance management, grievance and bullying and harassment must be kept. Records must be retained in relation to individual's postings and record of employment. Records relating to complaints must be kept.

Minutes, agendas and actions of organisational meetings must be kept.

These records should be retained in line with the PBNI [Retention and Disposal Schedule](#).

The following can be considered as ephemeral records and as such do not need to be saved as records:

- Simple queries, such as requests for copies of documents

All records relating to organisational decision making must be retained by the author of the record and stored in a manner which allows them to be easily retrieved and stored securely.

1.4 The Importance of Good Filing Practice to Retrieve Records

Good filing practices will ensure efficient, prompt and reliable retrieval of information and will facilitate the segregation of short-term records from records of long-term value. Short-term records can be automatically destroyed after the agreed retention period. Please see PBNI's [Retention and Disposal Schedule](#) for further information.

Good filing practices also ensure that PBNI is able to comply with data subjects' rights of access to information held on them. It allows statutory timetables to be met, records to be updated where appropriate, and ensures compliance with data protection requirements more generally.

In order to achieve these objectives and also ensure that PBNI complies fully with its statutory obligations under the Public Records Act 1923, it is essential that information held in Content Manager is properly managed from its creation through to the eventual destruction or preservation of the information.

1.5 Naming Records

In order for business areas to be able to retrieve records efficiently it is important that a 'common language' is adopted when referring to records and use this common language/naming convention when titling records. A good naming convention is simply basic rules and standards that best describe the content of the record. Good naming conventions should be applied to all file repositories including ECMS and Content Manager. Please see guidance on naming conventions for records in Content Manager [Content Manager: Naming Conventions Guidance](#)

1.6 The Importance of Storing Records Securely

All staff are responsible for ensuring that records, especially those that contain personal or restricted information, are held and managed securely. This is one of the Data Protection Principles set out in the General Data Protection Regulations and failure to comply may result in a breach of these regulations and the law set out in the Data Protection Act 2018. It is vital that everyone takes responsibility for ensuring that information is always held in a secure manner appropriate to the protective marking and/or sensitivity of the information.

Senior and Middle Managers are responsible for making sure their staff are aware of the importance of the security of their records. Each member of staff is responsible for reporting any breach or suspected breach of security to their manager or to the Data Protection Officer. [Please see PBNI Data Incident Procedures.](#)

Sensitive/Protectively Marked Information

The protective marking system has been developed to protect sensitive information in Public Bodies. Each level of protective marking corresponds to a standard of protection. The higher the level of marking attached to a document the greater the damage likely to occur if it is compromised. Information that does not carry a protective marking is deemed to be 'not protectively marked' and would generally be accessible to all staff.

Service user information in PBNI is protectively marked as 'Official - Sensitive'. Please see the Guidance Note on Government Protective Marking Scheme held on the PBNI intranet for further information on [Protective Marking](#).

PBNI Security Measures

Any manual records (there should be limited manual records in PBNI) which are protectively marked must be stored securely. The following security measures should

be adhered to:

Office Security

- Manual records containing personal data or with protective markings must be stored in lockable filing cabinets.
- Filing cabinets holding personal data or protectively marked information must be locked when not in use or when the room is left unattended.
- Information which contains a marking higher than 'official-sensitive' must be stored in a fireproof lockable filing cabinet.
- Copies of keys for all rooms and of filing cabinets storing records must be kept in a secure location.
- Staff must adhere to a clear desk policy. When files are made available on unattended desks material could be removed from them and copied or stolen. To ensure that our information is controlled and safe, staff should ensure files with a protective marking are removed from desks when the member of staff responsible for the file is leaving for the day and returned to their designated secure storage.
- Area/Business Support Managers must regularly monitor office security, checking offices and storage areas for adherence to procedures and recording findings where necessary.

Posting/Transferring/Transporting Manual Records

All post (except for routes covered by internal courier provision) will be delivered by the delivery management company, Whistl. All post should be marked with the full postal address. This is the Whistl collection process for PBNI HQ. All PBNI outer offices will have a similar process with different timescales involved:

- All post to be left to the specified location by 3pm. Any post after that time will be processed the next day.
- All addresses on envelopes must be clear and preferably typed – especially the postcode.
- If using window envelopes, the whole address must be within the window area.
- If taping an envelope closed, staff must tape from one end of the envelope to the other.
- The Whistl stickers will be kept at the area the post is collated. Stickers should be fixed to envelopes at the top right hand corner.
- Each department must prepare their own Whistl special/recorded delivery. There will be a printed form in the Post area that staff can complete and add the

special/recorded delivery sticker to.

- A member of staff will be designated as responsible for preparing the post for collection by Whistl.
- Whistl collection time slot is 4.05-4.35pm.
- ALL post, including Special and Recorded Delivery will take at least 2 days.

It is important that staff ensure that any post containing sensitive or personal information of employees or service users is sent using Royal Mail's Special Delivery service only (collected by Whistl) and the following procedure followed:

- Personal or sensitive information should be double-enveloped with the inner envelope protectively marked as Official - Sensitive or Private and Confidential (depending on the nature of the information). The envelopes should always have a label with a return PO Box address to ensure, if undelivered, they can be returned to PBNI (these labels are provided by Whistl).
- Special delivery ensures that the item can be tracked online and there is electronic proof of delivery. Recorded delivery gives proof of posting and signature on delivery. The item that is posted is not tracked. Recorded delivery can be used if posting non personal or sensitive information but staff believe it is important to get the information signed for.
- Staff should consider whether information could be sent electronically rather than by post. Sensitive or personal information can only be sent electronically to an approved secure email address (such as .gov.uk and .cjsm). Further information on sending information by email can be found in the [Internet and Email usage policy](#).
- Protectively marked documents or files should not be removed from the office by PBNI staff without prior approval from an Area Manager.
- There may be occasions when staff members are required to remove protectively marked information from the security of the office to meeting locations, court or to service user's homes. It is essential that staff remove only what you think you will need for the meeting or visit.
- Be especially vigilant when you are in transit. Keep items with you at all times. Particular risks to be avoided are leaving your briefcase or laptop unattended in a cloakroom, train luggage rack or a vehicle. Secure briefcases with a combination code have been issued by PBNI and these should be used where possible. Secure briefcases can be requested via your Business Support Manager.
- If transporting protectively marked documents by car or public transport you must not leave items unattended at any time. If you are travelling on public transport you must be careful not to read protectively marked material where it might be overseen. You are responsible for the safety of this information so ensure that it is protected.

- If protectively marked documents or files containing personal data are needed to enable working from home then approval should only be given in exceptional circumstances by your line manager and may require approval from a Director. Service user information must not be worked on or stored on non-PBNI owned PCs and must not be emailed outside the PBNI network, including to or from a home or personal email account.
- All protectively marked documents or files being moved from one location to another by a member of staff must remain in their possession at all times

When handling any official documents outside the office you should observe the following:

- Keep personal and official matters safe and place protectively marked material in appropriate files or folders.
- Ensure that unauthorised people do not see protectively marked documents.
- You should return all relevant protectively marked or sensitive waste to the office for destruction by placing it in the consoles provided. Disks, laptops or PCs provided by PBNI holding protectively marked data must be disposed of securely.

It is important that when staff are leaving PBNI that their line manager ensures that they have cleared out their desks/ filing cabinets and ensures that their electronic files and emails have been saved appropriately in Content Manager and ECMS before they leave their position. The managers should also ensure all PBNI owned IT equipment is returned to IT Assist in compliance with NICS Mobile Device Security Policy.

Security of Electronic Records

All staff must adhere to the [Internet and Email policy](#) and [Internet and Email procedures](#). Breach of these policies could result in disciplinary action. Breach of any statutory requirements could also result in significant fines at both an individual and organisational level.

Secure Destruction of Records

Records should only be destroyed once the review procedures have been carried out as set out in the PBNI's Retention and Disposal Schedule. All manual records, including those with a protective marking should be destroyed in the following way:

- All protectively marked waste must be placed in the locked consoles currently provided by the shredding provider. No other documents should be placed there

and they are not to be used as waste paper bins. These consoles are held in each PBNI office. A schedule for collection of the waste in these consoles is agreed with the relevant Business Support Manager liaising with staff from the shredding provider. At each visit staff from the shredding provider will unlock the console and shred the waste by using cross-shredders that are held in the shredding provider's lorries that are parked outside the relevant PBNI office. The shredding provider's staff then provide PBNI staff with a certificate to show how much material was shredded, the date the shredding took place, and the personnel involved. Where it is possible, a member of PBNI staff should observe this exercise. This is particularly important when there are a large number of service user files being shredded annually after the review by the Public Record Office for Northern Ireland. Staff should note that all protectively marked waste placed in a console from the shredding provider remains the property of PBNI until it is fully shredded by the cross-shredders in the shredding provider's lorries.

- Unclassified information that you may still regard as being 'sensitive' in nature and content should be placed in the shredding provider's console.
- Other unclassified information should be placed in the correct recycling bin.

2. Operational Records Management Procedures

2.1 Operational Records

PBNI's operational records are primarily held in an electronic case management system also known as ECMS. ECMS has the capability to manage all case generated service user information within PBNI. Usage of ECMS is monitored and staff should note that unauthorised or improper use of ECMS may result in disciplinary and/or criminal action.

Service user files must be maintained in accordance with current PBNI Practice Standards relating to the Management of Service Users and disposed of in accordance with PBNI's Retention and Disposal Schedule. They must also be held and managed in accordance with [PBNI Data Protection policy](#) and legislation.

2.2 Auditing and Monitoring

All middle and senior managers are responsible for monitoring staff performance against standards. Various audit trails exist within ECMS that detail creation, update and deletion of data. Staff have different levels of access to these audit trails, according to their status on ECMS. There is a need for data validation and all operational staff have a role in this. This is in keeping with Data Protection Principles, where personal information is required to be accurate and kept up to date. When found, data inaccuracies should be corrected immediately. **All staff must also note that unauthorised or improper use of ECMS may result in disciplinary and/or criminal action.**

2.3 Closing and Disposal

ECMS records have a disposal date as outlined in the Retention & Disposal Schedule. Once the PRONI Review has taken place and all remaining manual service user files are destroyed the ECMS Team will be contacted so that they can authorise the deletion of the corresponding ECMS record. Area Managers review the cases for disposal and the ECMS System Administrator then activates the deletion process.

2.4 Handwritten Notes for Pre-Sentence Reports and other Court Reports

All handwritten notes relating to the preparation of pre-sentence reports (PSRs) or other reports for Court are discoverable either by the Courts and/or to meet the requirements of the Data Protection Act 2018. All such notes must be legible, relevant and dated with the author's name included. Notes should only be recorded on blank sheets of A4 paper or on a blank ACE form. They must be scanned onto the ECMS record. Handwritten notes should be retained in accordance with PBNI's Retention and Disposal Schedule.

2.5 Manual Operational Records

All operational records should be scanned onto ECMS and new manual files should not be created.

2.6 Tracking Closed Manual Operational Records

There are still a number of closed manual operational records held in PBNI offices. The File Tracking Sheet should be completed when a closed service user file is removed from the filing cabinet. On returning the file you should note the “date of return” on the tracking sheet. This will ensure that the files can always be traced and should minimize the risk of a file being lost. Middle Managers should ensure that all their staff are made aware of the need to complete tracking sheets when removing and returning closed files from the filing cabinet. This is particularly important if files are removed temporarily from the office.

2.7 Closing and Disposal Arrangements for Operational Records

Closing

Operational records (manual and electronic) should be closed when PBNI’s involvement with a service user has reached an end. In most cases this will be where an order has been completed or when a non-PBNI sentence has been given after the completion of the PSR. Where there is outstanding or future work anticipated on a case, the file should not be closed. If a record due for destruction is known to be the subject of a request for information under the Data Protection Act or Freedom of Information Act (2000), destruction should be delayed in accordance with the Retention and Disposal Schedule until disclosure has taken place or, if PBNI has decided not to disclose the information, until the complaint or appeal provisions of the relevant legislation have been exhausted. Business Support Managers must consult with relevant Area Managers before a decision to destroy a file is made.

When an Order ends it is the Supervising Officer’s responsibility to ensure that the information within the referral is complete and up to date. At this point the Supervising Officer requests closure (by clicking on the ‘Closure Case’ button) and the referral is removed from their current referral list. The Area Manager is automatically notified by email and will monitor the electronic and manual record and decide whether to accept or reject closure if the case is an SROSH case. If the case is not SROSH the Supervising Officer can close a case when the end date is reached and/or supervision has completed.

Once accepted the referral closes. The referral can still be searched for and viewed and, if necessary, can be re-opened at a future date.

When a manual operational record is closed, the details of the case must be noted on the Closed Files spreadsheet held in each office. This spreadsheet will include the date of the end of the Order. All operational files need to be included on this spreadsheet, including those files that will not be eligible for review by PRONI for 99 years. In the case of Statutory Supervision case files this date is needed to calculate the correct disposal date.

Once closed, the files should be removed from their original plastic covers and placed into envelopes. These envelopes should be labelled as detailed at Appendix 4.

Closed Sex Offender, Schedule 1, ICS/ECS sRoSH or Life Sentence Cases should be moved to PBNI's current off-site storage facility after a period of one year. If after this period there is still anticipation of further work on the file, the case owner should contact the Records Manager stating that this is the case and agreeing a date for this to be reviewed.

Details of the process of sending files to the off-site storage facility are set out in Appendix 11. All files earmarked for removal to the off-site storage facility need to be listed in the closed file spreadsheet set out in Appendix 2 - Closed File Spreadsheet before being sent to the off-site storage facility.

Disposal Arrangements

The disposal date is automatically set when a case is closed on ECMS, the disposal date can be postponed in some circumstances in consultation with the Area Manager and Compliance and the reason entered.

Staff must ensure that any record disposed of is done so in accordance with the Schedule. The final action column of the schedule determines how that record will be disposed. There are 4 options for final action:

- Determined upon Review.
- Relevant Manager authorises destruction.
- Permanent Preservation.
- Destroy/Delete.

Determined upon Review

Operational case files on ECMS must **not** be destroyed (or deleted from ECMS) unless authorised by the Records Manager, as PRONI will review all relevant operational files or a selection of these files from any location on an annual basis. The purpose of the

review process is to identify and select records of continuing value from records that can be destroyed. The timing of the review and files to be reviewed will be agreed between the Records Officer and representatives from PRONI.

PRONI Review

Operational records identified by the Retention and Disposal Schedule to be “determined upon review” will be subject to a PRONI review. The Records Manager and PRONI staff will agree the size and type of sample of case files for review on an annual basis. This review will determine the files which can be disposed of, and which files must be held by PBNI for Second Review (i.e. a further 15 years). The files selected for second review will be held by PBNI for this period of time.

Post PRONI review, Area managers review any files highlighted for disposal via ECMS facility to determine if files need to be retained for a further period. Business Support Managers will dispose of physical files as required and record date disposed of in the closed file register.

Relevant Manager authorises destruction

Where the Retention and Disposal Schedule states that “relevant managers authorises destruction” these operational records (not case files – these are either reviewed by PRONI or dealt with as above) are to be assessed by the area manager to determine whether or not the records should be retained for a further period. The purpose of this process is to identify and select records of continuing value from records that can be destroyed.

After records have been closed they may continue to be of value for two main reasons:

- Business value – they provide the organisation with valuable source of reference with regards to its operations, relationships or environment.
- Archival Value – they provide a resource for historical research to a wide range of future uses.

In assessing the value of records at first review, the manager should ask the following questions:

- Is there a continuing need to retain this record for the conduct of daily business?
- How real is the need for constant reference to this record in the future?
- Will it be needed to deal with enquiries in the future?
- How many enquiries are likely?
- Is the information needed for statistical analysis within the organisation?
- Is the information required for conducting legal proceedings in the event of legal action being taken by, or against, PBNI?
- Is there a legal requirement to retain these records?
- Is there a financial need to retain these records (e.g. audit purposes)?
- Is the information otherwise available, either within PBNI or elsewhere, or in

published form?

If the reviewer, after checking that the file is not identified on the Retention and Disposal Schedule as part of a classification to be either “Determined Upon Review” and therefore reviewed by PRONI or permanently preserved can then decide that the file should be:

- Destroyed (where the file has no further value).
- Retained.

Files that are selected for permanent preservation are to be transferred to PRONI.

Permanent Preservation

Case files are retained to “enable certain broad conclusions as to historical, economic or social trends to be drawn” therefore only a sample of case files are selected for permanent preservation.

When selecting server user files through the review process for permanent preservation, PRONI will consider the files that will:

- Help to promote interest in the history of the individual, of a community or of society in Northern Ireland as a whole.
- Be of direct value to educational organisations.
- Reflect social diversity.

Destroy

Operational records identified by the PBNI’s Retention and Disposal Schedule to be “destroy(ed)” can be disposed of without review, after the stated retention period. This is because they have no continuing business/legal value and are of no historical or research value to PRONI.

3. Corporate Records Management Procedures

3.1 Corporate Records

Corporate records cover information about the running of the organisation and corporate governance issues. PBNI uses Content Manager as its electronic document records management system. The PBNI File Plan on Content Manager has been designed to facilitate access and prevent the loss of information, by enabling information related to a specific **subject** to be grouped and managed together. The File Plan structure is organised and arranged in a manner that reflects the principal activities of each Department within PBNI. In order to promote consistency and standard practices within the organisation all departments utilise a similar folder structure. This ensures that records are managed in generally the same manner across PBNI but still allowing for teams' variations where necessary.

PBNI has taken a functional approach to file management that reflects the activities and transactions rather than an organisational structure, the reason being that the names of teams and divisions are subject to change, whereas underlying business functions will remain significantly more constant. The Corporate File Plan structure comprises 8 Top Level classifications:

- Estates.
- Audit & Accountability.
- Financial Management.
- Human Resource Management.
- Information & Communication.
- Strategic Management.
- Technology & Telecommunication.
- ECMS (Electronic Case Management System).

Each of the top-level classification terms is broken down into a number of sub-classifications intended to provide the user with a more refined and accurate place to store information. The following rules apply to the top level and lower levels of the File Plan

- The File Plan as delivered to each individual department/team will consist of the eight top-level classifications listed above.
- The classification levels of the File Plan are managed centrally and the Content Manager Administrators will consider requests for additions/changes to these levels.
- For additions and adjustments at Container level, each Team has autonomy to manage these as they see fit to best meet their business needs. This is done via the team's Super user.

- Containers must be created below the lowest level of the classification – this will be at the book level.
- To make successful use of the File Plan, each Manager and Business Support Manager must look at the information their team produces and in conjunction with the Administrators decide where in the File Plan it would most sensibly sit.

3.2 Record Finalisation

Every individual end user of the system is responsible for ensuring that the records they generate in the course of their work are finalised appropriately. However, the Administrators will run regular checks of the system to identify aged records that remain unfinalised within their business areas as part of the retention and disposal process. Any containers that have not been finalised 18 months after registration and are no longer in use will be finalised by the Administrator along with all documents contained therein. Document revisions will be removed as part of this process (with exception of drafts for Board). In certain circumstances, documents and containers can be unfinalised upon request, for example documents that have been finalised in error.

3.3 Record Deletion

Electronic information needs to be deleted in accordance with the Retention and Disposal Schedule. PBNI are legally bound to the retention and disposal periods specified in this Schedule and must adhere to these for their electronic records.

Whilst it is accepted that the vast majority of records created on the system will be finalised and dealt with under the retention and disposal timescales set out in PBNI's Retention and Disposal Schedule, there will be occasions when documents on the system will need to be deleted outside of these arrangements. Such occasions include:

- Duplicate documents.
- Documents saved in error.
- Documents that should not be saved in the system; (for example Service User files).

This list is not exhaustive but gives a sense of the circumstances when record deletion will be considered outside the parameters of the Retention and Disposal Schedule.

In the first instance end users should contact the Administrator to advise of the circumstances and request that the document in question be destroyed. The Administrator will consider the request as required. Once satisfied that the document is suitable for deletion the Administrator will/will not confirm that deletion is appropriate.

3.4 Determined upon Review

Corporate records identified by the Retention and Disposal Schedule to be "determined by the review process" will be subject to a review process by PRONI. These files should

be brought to the attention of the Records Officer who will arrange for them to be reviewed by PRONI. PRONI will make a decision whether or not these files can be destroyed or should be held for a further 15 years.

The files that PRONI identify for a second review in 15 years will be held at a central point identified by the Records Officer. The Records Officer will notify the relevant manager of the outcome of this process and ask them to update their File Register (Appendix 4) accordingly.

Files held for a further 15 years will be reviewed again by PRONI who will make a decision as to whether the file should be preserved permanently because of its historical or research value, or whether it should be destroyed. The Records Officer will notify the relevant manager of the outcome of this process and ask them to update the File Register (Appendix 4) accordingly. Files selected for permanent preservation will then be transferred to PRONI.

3.5 Relevant Manager Authorises Destruction

Where the Retention and Disposal Schedule states that “relevant managers authorise destruction” these corporate records will be assessed by the appropriate manager (in consultation with Information Asset Owner if necessary) to determine whether or not the records should be retained for a further period. *The relevant manager is set out in the Retention and Disposal Schedule and normally refers to the Area Manager/Middle manager at DP or SO grade in a team.* The purpose of this process is to identify and select records of continuing value from records that can be destroyed.

After records have been closed they may continue to be of value for two main reasons:

- Business value – they provide the organisation with a valuable source of reference with regards to its operations, relationships or environment.
- Archival Value – they provide a resource for historical research to a wide range of future uses.

In assessing the value of corporate records at first review, Business Support Managers and managers should ask the following questions:

- Is there a continuing need to retain this record for the conduct of daily business?
- How real is the need for constant reference to this record in the future?
- Will it be needed to deal with enquiries in the future?
- How many enquiries are likely?
- Is the information needed for statistical analysis within the organisation?
- Is the information required for conducting legal proceedings in the event of legal action being taken by, or against, PBNI?
- Is there a legal requirement to retain these records?

- Is there a financial need to retain these records (e.g. audit purposes)?
- Is the information otherwise available, either within PBNI or elsewhere, or in published form?

The reviewer, after checking that the file is not identified on the Retention and Disposal Schedule as part of a classification to be either “Determined Upon Review” and therefore reviewed by PRONI or permanently preserved can then decide that the file should be:

- Destroyed (where the file has no further administrative value).
- Retained.

The reviewer should complete a standard first review form (Appendix 6) and the decision should be documented on the File Register (Appendix 4).

If the reviewer recommends a file for retention it will be retained by PBNI until it is due for Second Review (i.e. after a further 15 years).

During the second review the Records Officer along with staff from PRONI will select files for permanent preservation or destruction. The reason for this decision (to preserve or destroy) must be clearly stated on a Second Review form (Appendix 7). The Records Officer will notify the relevant manager of the outcome of this process and ask them to update the File Register (Appendix 4) accordingly. Files that are selected for permanent preservation are to be transferred to PRONI and held there.

3.6 Permanent Preservation

Certain groups of files and papers can be readily defined as worthy of selection for permanent preservation. PRONI has identified the records in the Retention and Disposal Schedule that require permanent preservation. Other records have been selected for review to give both PBNI and PRONI the chance to determine their usefulness.

When identifying records through the review process for permanent preservation PBNI should look out for files that document:

- Board decisions and actions.
- Major projects and initiatives undertaken by PBNI.
- Major changes in functions, policy and structure.
- Unique information gathered by PBNI.
- Information relating to the origins and history of PBNI.
- Copies of annual and other major reports produced by PBNI.

3.7 Destroy

Corporate records identified by the PBNI's Retention and Disposal Schedule to be destroyed can be disposed of without review, after the stated retention period has ended. This is because they have no continuing business/legal value and are of no historical or research value to PRONI.

3.8 Business Continuity

The need for business continuity is essential for a building where files/records are stored. PBNI need to be able to function effectively in circumstances where files/records are destroyed. Please see the PBNI Business Continuity Plan, the Risk Register and the IT Disaster Recovery Plan.

3.9 Risk Register

PBNI has a Risk Management Policy and supporting Risk Register that lists all the identified risks and the results of their analysis and evaluation. Information on the status of the risk is also included. This Risk Register should be continuously updated and reviewed. The Director of Operations (Prisons, Programmes & Public Protection) is currently responsible for the management of the Risk Register.

The Risk Register should identify the Vital Records within PBNI. Vital Records are those business records:

- without which PBNI could not continue to operate or without which PBNI could not re-establish its key functions following a disaster.
- that establish and protect the rights and interests of PBNI, its staff and other stakeholders.
- that are needed to operate and re-establish PBNI's functions during, and immediately after, a disaster.

Vital records will include legal documentation - contracts and agreements; original minutes of Board meetings; personnel; and payroll records. Where vital records are irreplaceable or only replaceable at excessive cost, they should be given the highest level of protection.

APPENDIX 1

File Tracking Sheet

Name of Service User: _____

FILE REMOVED BY:	DATE REMOVED:	DATE RETURNED:

APPENDIX 2

OPERATIONAL CLOSED FILES SPREADSHEET (for Manual files only)

RESTRICTED (when complete)

REFER RAL NO:1	REFER RAL NO:2	FIR ST NAM E	SURNA E	DOB	ORDE R TYPE	YEAR ORDE R EXPI RES	DECISI ON AT REVIE W	SECO ND REVIE W	MONTH DISPOSE D	TRANSFER RED TO	COMMENTS

APPENDIX 3

SERVICE USER LABEL TEMPLATE

The following information should be completed on a label and attached to all CLOSED Manual Service User Files:

NAME OF SERVICE USER:
DATE OF BIRTH:
TYPE OF ORDER:
DATE ORDER MADE:
DATE ORDER ENDED:
DISPOSAL REVIEW DATE:
DATE SENT TO PRONI (if applicable):

These have been distributed to all Business Support Managers for use on all CLOSED manual SERVICE USER Files.

APPENDIX 4

Off-site Storage Facility - Procedures

PBNI currently have an offsite storage facility to hold closed sensitive and high risk information. This is to contribute to ensure that it is meeting its statutory obligations under The Public Records Act (NI) 1923, Disposal of Records Order (S.R&O 1925 No.167), the Data Protection Act 2018 and the Freedom of Information Act 2000 including Section 46 - The Lord Chancellor's Code of Practice for Records Management.

Records suitable for off-site storage

In order to keep costs to a minimum, there needs to be a restriction on the volume of PBNI records that can be stored at an off-site storage facility. The Retention and Disposal Schedule sets out the timescales for holding all PBNI records. We have identified that records in the following categories are suitable for off-site storage:

- (i) Records that have been identified for permanent preservation, and
- (ii) Records that:
 - fall under the 99 year category such as Schedule 1 service user files, sROSH and Lifer files;
 - Human Resources records which currently have a 72 year retention period;
 - Finance records that are retained for more than 7 years; and
 - Records that PRONI have determined, through their review process, should be held for a further 15 years.

The Records Officer can approve holding other files if space is restricted at an office but primarily it is for these records as mentioned above.

Procedure for Retrieval of Files held at Off-site Storage

Occasionally, staff may need to access files that are held in the off-site storage facility. It is possible to retrieve files but there is a cost for this service.

Consequently, only files that need limited access should be stored in this facility. Files that require more constant access should be held locally.

Should you require the retrieval of a service user file from off-site storage you must complete the attached form (**Form A**) and have it authorised by your manager.

Please complete a new Form A for each individual file. If you are requesting a service user file and you are aware that there is more than one file relating to this service user held at the off-site storage facility please indicate this on Form A.

When your request is authorised by a manager this form should be e-mailed to the Records Officer based in the Compliance Section of the Communications Unit.

The off-site storage facility is able to securely deliver the selected file(s) to the

required location. We have agreed a 'Timing Schedule' with them that relates to the timescales for the delivery and collection of the file(s) that we have requested.

The Timing Schedule for retrieving files is as follows:

- Monday requests – Wednesday delivery from off site storage.
- Tuesday requests – Thursday delivery from off site storage.
- Wednesday requests – Friday delivery from off site storage.
- Thursday requests – Monday delivery from off site storage.
- Friday requests – Tuesday delivery from off site storage.

Therefore, when a file is requested on a Monday, the off-site storage facility will deliver it on the Wednesday of the same working week.

In exceptional circumstances a file can be delivered within a shorter space of time than set out above, but this facility should only be used when absolutely necessary as the cost for this is much greater.

Procedure for returning Files to off-site storage facility

File(s) should be returned to the off site storage facility within 4 weeks of receipt. This should be a reasonable period of time for staff to have obtained the required information. When you no longer require the file you should complete the attached form (**Form B**) within the 4 week period and send it to the Records Officer.

The off-site storage facility will then be contacted and you will be informed as to when the file(s) will be collected.

There may be exceptional circumstances where file(s) are required beyond the 4 week period. In such instances, staff should contact the Records Officer and inform them of this with an indication of when the file(s) will be ready for return to the off-site storage facility. **The security of the file for the duration of the time the file is away from the off-site storage facility will be the responsibility of the member of staff who has requested it.**

The off-site storage provider will collect the file(s) once they are ready to be return to the off-site storage facility. We have agreed a 'Timing Schedule' with them for the collection of files as follows:

- Monday requests – Wednesday collections.
- Tuesday requests – Thursday collections.
- Wednesday requests – Friday collections.
- Thursday requests – Monday collections.
- Friday requests – Tuesday collections.

Therefore, if contacted on the Monday, the file will be collected on the Wednesday of that week.

This process and the attached forms are available on the Compliance section on the PBNI Intranet.

FORM A - FORM FOR RETRIEVAL OF FILES FROM OFF-SITE STORAGE

FILE TITLE/NAME OF SERVICE USER:

BARCODE

NUMBER OF FILES (if appropriate)

WHERE WAS THIS FILE HELD IN PBNI?

FILE REQUESTED BY: _____

DATE REQUESTED: _____

AUTHORISED BY: _____

DAY & DATE off site storage CONTACTED: _____

CONTACTED BY: _____

FORM B - FORM FOR COLLECTION OF FILES BY OFF-SITE STORAGE

FILE REGISTRATION NO (where applicable): _____

FILE TITLE/NAME OF SERVICE USER:

BARCODE

DATE FILE RECEIVED FROM STORAGE _____

NUMBER OF FILES (if applicable):

FILE READY FOR COLLECTION ON: _____

DAY & DATE OFF-SITE FACILITY CONTACTED: _____

CONTACTED BY: _____

APPENDIX 5

SOURCES

These standards detail the records management policies and procedures, which PRONI expect of public authorities in Northern Ireland.

PRONI has provided guidance on:

- Filing Systems (NIRMS 1).
- Filing Practices (NIRMS 2).
- Disposal Scheduling (NIRMS 3) Reviewing Procedures (NIRMS 4).

Located at www.proni.gov.uk

Lord Chancellor's Code of Practice on the Management of Records
(Section 46 of the Freedom of Information Act 2000).

The Code of Practice provides the benchmark of good record keeping practice.
Located at <http://www.foi.gov.uk/reference/statCodesOfPractice.htm>

British Standard BS ISO 15489-1 2001

This provides standardisation of best practice in records management policies and procedures to ensure that appropriate attention and protection is given to all records and that the evidence and information they contain can be retrieved more efficiently and effectively using standard practices and procedures.

National Archives Appraisal Policy Version 1 August 2004.

National Archives Good practice in managing electronic documents (located at www.nationalarchives.gov.uk).

National Probation Service Protective Marking Policy.

Home Office handling Protective Marking Guidance (PC66/2003) (located at www.homeoffice.gov.uk).

Appendix 6

HUMAN RESOURCES						
Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes Mandatory (M) or Recommended (R) and Explanation
Recruitment and Selection						
	Advertisements, Applications, Interview Shortlist, Interview Reports, Letters of Appointment, Unsuccessful applications	Close 12 months after interview date	1 year after recruitment has been finalised	HR manager authorises destruction	NIO Guidance	
	Administrative files relating to the Recruitment and Selection process e.g. correspondence, external information	Filed in HR			PBNI guidance	
	Equality Monitoring e.g. forms and stats	Hold on monitoring file	For 3 years	HR manager authorises destruction	PBNI Guidance from HR department	
Employment and Career						
	Written Particulars of employment: e.g. contracts of employment and changes to terms and conditions	Hold on individuals personal file in HR	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension
	Job History e.g. consolidated record of whole career and location details	Hold on individuals personal file in HR and PAMS	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension and litigation
	Current Address details	Hold on individuals personal file in HR and PAMS	7 years after employment has ended	HR manager authorises destruction	NIO Guidance	(M) Pension
	Record of location of overseas service	Hold on individuals personal file in HR and PAMS	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension and litigation

HUMAN RESOURCES

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Variation of hours – calculation formula for individual	Hold on individuals personal file in HR and PAMS	Destroy after use	HR manager authorises destruction	NIO Guidance	(R)
	Promotion, temporary promotions and / or substitution documentation	Hold on individuals personal file in HR and PAMS	Destroy after summary noted	HR manager authorises destruction	NIO Guidance	(R) Litigation
	Working Time Directive opt out forms	Hold on individuals personal file in HR	3 years after the opt out has been rescinded or has ceased to apply	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Litigation
	Record of previous service dates	Hold on individuals personal file in HR	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension and litigation
	Previous service supporting papers	Hold on individuals personal file in HR	Destroy after records noted as appropriate	HR manager authorises destruction	Cabinet Office guidance 1999	(R) Litigation
	Qualifications / references	Hold on individuals personal file in HR	7 years	HR manager authorises destruction	Cabinet Office guidance 1999	(R) Litigation
	Transfer documents	Hold on individuals personal file in HR	Destroy after summary noted and actioned	HR manager authorises destruction	NIO Guidance	(R)

	Annual/ Assessment Reports e.g. staff appraisals and monitoring forms	Hold on individuals personal file in HR	5 years *Kept the last 5 years of service until age 72	HR manager authorises destruction	NIO Guidance	(M) Pension
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HUMAN RESOURCES

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Training History	Hold in Training Dept files and PAMS	7 years	HR manager authorises destruction	Limitation Act 1980); Limitation (NI) Order 1989	(R) Mgt
	Travel and subsistence – claims and authorisation	Hold in Financial File	7 years	HR manager authorises destruction	NIO Guidance	(M) Litigation
	Annual leave records (in some departments)	Individual holds own copy and copy retained in personal file	2 years	HR manager authorises destruction	Cabinet Office guidance 1999	(R) Mgt
	Job Applications - Internal		1 year	HR manager authorises destruction	NIO Guidance	(R) Mgt and Discipline
	Recruitment / Appointment / Promotion Board Selection papers	Relevant selection file and in successful candidates personal file	1 year (brief summary 3 years)	HR manager authorises destruction	Cabinet Office guidance 1999	(R) Mgt and research
	Building Society References	Hold on personal file in HR & Finance	6 months	HR manager authorises destruction	Cabinet Office guidance 1999	(R) Queries
	Various papers relating to employee e.g. correspondence etc.	Hold on personal file in HR	Review after 5 years	HR manager authorises destruction	PBNI Guidance	
Disciplinary records						

	Papers relating to disciplinary action which has resulted in any changes to terms and conditions of service, salary, performance pay or allowances	Hold on personal file (discipline section)	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension and Litigation
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HUMAN RESOURCES

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Disciplinary Notes	Hold on individual file in Secretariat	Destroy 7 years after date of last paper	HR manager authorises destruction	Limitation Act 1980; Limitation (NI) Order 1989	
	Warning about standard of work	Hold on individuals file at local level	1 year	HR manager authorises destruction	NIO Guidance	
	Late attendance	Hold on individuals file at local level	1 year	HR manager authorises destruction	NIO Guidance	
	Unauthorised absences	Hold on individual personal file in HR	Until age 72	HR manager authorises destruction	NIO Guidance	
	Excessive sick absence; formal warnings	Hold on individual personal file in HR	Until age 72	HR manager authorises destruction	NIO Guidance	
	Further final trial period document	Hold on individual personal file in HR	Until age 72	HR manager authorises destruction	NIO Guidance	
Leave						
	Staff Attendance	Hold in individual offices/departments	2 years	Relevant Manager authorises destruction		
	Copy of annual leave entitlement	Hold in individuals leave folder	Until age 72	HR manager authorises destruction	Cabinet Office guidance 99	(R) Mgt

	Annual leave carry over	Hold in individuals leave folder	5 years	HR manager authorises destruction	NIO Guidance	
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HUMAN RESOURCES

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Paid special leave	Hold in personal file in HR	7 years	HR manager authorises destruction	NIO Guidance	
	Unpaid special leave	Hold in personal file in HR	Until age 72	HR manager authorises destruction	NIO Guidance	
	Annual leave papers / flexi sheets (for leavers only)	Hold in personal file	7 years	HR manager authorises destruction	NIO Guidance	
Health						
	Complete sick absence records showing dates and causes of sick leave	Hold on file and computer in HR	Until age 72	HR manager authorises destruction	Cabinet Office Guidance 1999	(M) Pension and Litigation
	Medical / Self certificates unrelated to industrial injury	Hold in personal file in HR	7 years	HR manager authorises destruction	Limitation (Northern Ireland) Order 1989	4 years (R) Mgt
	Papers relating to any injury on duty	Hold on Health and Safety File	Until age 72	HR manager authorises destruction	Cabinet Office Guidance 1999	(M) Pension and Litigation
	Disability Questionnaire	Hold in personal file in HR	Until age 72	HR manager authorises destruction	NIO Guidance	
	Eyesight test forms	Hold in personal file in HR	1 year	HR manager authorises destruction	NIO Guidance	
Medical Reports	On exposure to substance hazardous to health:					

	Lead	Hold in Health & Safety file	40 years from date of record of incident	Relevant Manager authorises destruction	Control of Lead at Work Regulations 1980	(M) COSHH Requirement
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HUMAN RESOURCES

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Asbestos	Hold in Health & Safety file	40 years from date of record of incident	Relevant Manager authorises destruction	Control of Asbestos at work Regulations 1996	(M) COSHH Requirement
	Compressed Air	Hold in Health & Safety file	40 years from date of record of incident	Relevant Manager authorises destruction	Work in Compressed Air Regulations 1996	(M) COSHH Requirement
	Radiation	Hold in Health & Safety file	50 years from date of record of incident	Relevant Manager authorises destruction	Ionising Radiation Regulations 1985	(M) COSHH Requirement
Welfare						
	Welfare Papers	Hold in personal file in HR	Until age 72	Destroy after minimum of 7 years after last action	Limitation Act 1980; Limitation (NI) Order 1989	(R) Litigation
Pay and Pension						
	Bank Details - current	Hold on pay file	7 years after employment has ended	HR manager authorises destruction	Limitation Act 1980 (NI) Order 1989	7 years (M) Litigation
	Death Certificates	Hold in personal file in HR	Return original to provider Retain copy until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension and litigation

HUMAN RESOURCES

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Unpaid leave periods (maternity leave etc)	Hold in personal file in HR	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pensions and Litigation
	Statutory Maternity Pay documents	Hold in pay file	7 years	HR manager authorises destruction	Limitation Act 1980; Limitation (NI) Order 1989	7 years (R) Litigation
	Other maternity pay documentation	Hold in pay file	2 years	HR manager authorises destruction	Cabinet Office guidance 99	18 months (R) Mgt
	Overpayment documentation	Hold in personal file in HR	7 years after repayment or write- off	HR manager authorises destruction	Limitation Act 1980; Limitation (NI) Order 1989	7 years (R) Litigation
	Personal payroll history, including record of pay, performance pay, overtime pay, allowances	Hold in pay file	Until age 72	HR manager authorises destruction	Cabinet Office guidance 99	(M) Pension and Litigation
	Pensions estimates and awards	Hold in personal file in HR	Until age 72	HR manager authorises destruction	Cabinet Office guidance 99	(M) Pension and Litigation
	Record of: Full name and DOB National Insurance Number Pensionable pay at leaving Reckonable service for pension purposes (and actual service where this is different together with reasons for the difference) Reason for leaving and new employer's name (where known) Amount and destination of any transfer value paid Amount of any refund of PCSPS contributions Amount and date of any contributions equivalent premium paid (All other papers relating to pensionability not listed above)	Hold in personal file in HR and pay file	Until age 72	HR manager authorises destruction	Cabinet Office guidance 99	(M) Pension and Litigation

HUMAN RESOURCES

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Resignation, termination and or retirement letters	Hold in personal file in HR	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension and Litigation
	Added years	Hold in personal file in HR	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension
	Additional voluntary contributions (AVC)	Hold in pay file	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension
	Payroll input forms	Hold in personal file in HR and Pay File	7 years	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Litigation
	Bonus nominations	Hold in personal file in HR	7 years	HR manager authorises destruction	Cabinet Office guidance 1999	(R) Litigation
	Complete sick absence records showing dates and causes of sick leave	Hold in personal file in HR and pay file	Until age 72	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Pension and Litigation
	Statutory sick pay (SSP) forms	Hold in personal file in HR	7 years	HR manager authorises destruction	Cabinet Office guidance 1999	For last 4 – 6 yrs (M) Statutory Requirement
	Authorisation for deputising, substitution allowance of or overtime travel time claim	Hold in pay file	7 years	HR manager authorises destruction	Cabinet Office guidance 1999	(R) Audit Purposes
	Travel & Subsistence – claims and authorisation	Hold in finance file	7 years	HR manager authorises destruction	Cabinet Office guidance 1999	(M) Litigation

HUMAN RESOURCES

	File/Record Description:	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Security						
	Security Personnel Files	Hold in personnel security file	5 years after leaving (at normal retirement age) or 10 years (before normal retirement age)	HR manager authorises destruction	NIO Guidance	(R) Central guidance
Health & Safety dept						
	Database of health and safety training courses	Information held on computer.	10 years	Destruction by Relevant Manager	Various health and safety legislation	
	Files for individual health and safety training courses	Close file at completion of course	10 years	Destruction by Relevant Manager	Various health and safety legislation	
	Database of accidents and incidents of violence/aggression	Information held on computer	10 years	Destruction by Relevant Manager	RIDDOR (NI) 1997	
	Files relating to accidents and incidents of violence/aggression	Close file at end of calendar year	10 years	Pass to HR as an appendix to Personal file		
	Database of forms received in conjunction with Community Service assessments and inspections	Information held on computer	10 years	Destruction by Relevant Manager	Various health and safety legislation	

	Files for Community Service inspections, assessments and risk assessments and general correspondence regarding queries.	Close at end of projects/ placements	10 years	Destruction by Relevant Manager	Various health and safety legislation	
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HUMAN RESOURCES

	File/Record Description:	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Database of risk assessments provided in conjunction with Probation Projects/Duke of Edinburgh's Award	Information held on computer	10 years	Destruction by Relevant Manager	Various health and safety legislation	
	Files for Probation Projects/Duke of Edinburgh's Award risk assessments and approval of it by Activities Panel.	Close at end of projects.	10 years	Destruction by Relevant Manager	Various health and safety legislation	
	Approval of providers, general correspondence regarding queries.	Reviewed 3 yearly	10 years	Destruction by Relevant Manager	Various health and safety legislation	
	Files for each PBNI office for H&S Workplace Inspections, Fire Risk Assessments, Log Books, Water Risk Assessments, general correspondence, building surveys etc.	Keep for reference	10 years	Destruction by Relevant Manager	Various Health & Safety legislation	
	Asbestos surveys on buildings	Keep for reference	40 years	Destruction by Relevant Manager	Control of Asbestos at Work Regulations 1996	
	Files for Display Screen Equipment users assessments and correspondence	Close file after assessments and destroy information held on pc	10 years	Destruction by Relevant Manager	H&S (Display Screen Equipment) Regulations (NI) 1996	
	Risk assessments for various activities	Keep for reference	10 years	Destruction by Relevant Manager	Management of H&S at Work Regulations	
	Various files relating to H&S topics with general memos and external information	Keep for reference	10 years	Destruction by Relevant Manager	Various health and safety regulations	

FINANCE						
Types of Files / Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Bank Account Records						
	Cheques and Associated records	Hold on File in Finance department for 2 years, then transfer to Antrim Road	7 years	Finance manager authorises destruction	Limitation Order (NI) 1989	
	Bank Deposits	Hold on file in safe in Finance department	2 years	Finance manager authorises destruction	National Audit Office requirement	
	Bank Re-conciliations	Hold on File in Finance department	2 years	Finance manager authorises destruction	National Audit Office requirement	
	Bank Statements	Hold on file in safe in Finance department	2 years	Finance manager authorises destruction	National Audit Office requirement	
	Electronic banking and electronic funds transfer	Hold on File in Finance department	In line with paper records above	Finance manager authorises destruction	Limitation Order (NI) 1989	
Expenditure Records						
	Cash books / expenditure sheets	Hold in Finance department for 2 years, then transfer to Antrim Road	7 years	Finance manager authorises destruction	Limitation (NI) Order 1989	

FINANCE

	File/Record Description:	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Petty Cash records	Hold in probation office	2 years	Finance manager authorises destruction	National Audit Office requirement	
	Creditors	Hold on file in Finance department	7 years	Finance manager authorises destruction	Limitation Order (NI) 1989	
	Statements of accounts	Hold on file in Finance department	2 years	Finance manager authorises destruction	National Audit Office requirement	
	Subsidiary Records e.g. copies of abstracts and expenditure dissections, credit note books, debit note books	Hold on file in Finance department	2 years	Finance manager authorises destruction		
	Vouchers includes claims for payment, purchase orders, requisitions for goods and services, accounts payable invoices, invoices received, etc	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	2 years	Finance manager authorises destruction		
	Copies of Vouchers	Hold on file in Finance department	1 year	Finance manager authorises destruction		
	Vouchers registers	Hold on file in Finance department	2 years	Finance manager authorises destruction	National Audit Office requirement	
	Voucher registration cards and payment cards	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	Limitation Order (NI) 1989	

FINANCE						
Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Voucher summaries	Hold on file in Finance department	1 year	Finance manager authorises destruction		
	Costing records	Hold on File in Finance department for 2 years, then transfer to Antrim Rd	2 years	Finance manager authorises destruction	National Audit Office requirement	
Ledger Records						
	General and subsidiary ledgers	Hold on File in Finance department for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	Limitation Order (NI) 1989	
	Related records e.g. audit sheets – ledger postings	Hold on file in Finance department	2 years	Finance manager authorises destruction	National Audit Office requirement	
	Journals e.g. prime records for the raising of charges and routine adjustments	Hold on File in Finance department for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	Limitation Order (NI) 1989	
	Trial balance & reconciliations e.g. year end balances, reconciliations and variations to support ledger balances and published accounts	Hold on File in Finance department for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	Limitation Order (NI) 1989	

FINANCE						
Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Receipts and Revenue Records						
	Books / butts e.g. receipt butts / books; office copies of receipts;	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	Limitation (NI) Order 1989	
	Revenue Records	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	Limitation (NI) Order 1989	
	Debtors records / invoices	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	Limitation (NI) Order 1989	
	Debts / refunds	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	Limitation (NI) Order 1989	
Salary Records						
	Employee pay history records e.g. The last 3 years records must be kept for leavers, in either the personnel or the finance records system, for the calculation of pension entitlement	Hold on Personal File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	National Audit Office requirement	
	Salary rates registers	Hold on File in Finance department	When superseded	Finance manager authorises destruction	National Audit Office requirement	

FINANCE						
Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Salary ledger cards / records	Hold on file in Finance department	7 years	Finance manager authorises destruction	National Audit Office requirement	
	Copies of salary/ wages / payroll sheets	Hold on Personal File in Finance department	2 years	Finance manager authorises destruction	National Audit Office requirement	
Accommodation and Supplies Records						
	Administrative files relating to accommodation and supplies function e.g. correspondence (internal and external)	Hold in Accommodation and Supplies	5 years	Relevant Manager authorises destruction		
	Files relating to each office/building owned or leased by PBNI. Records could include information on title deeds, leases, tenders, licences, sub letting agreements, memoranda of terms, contracts, bills of quantity, surveys, reports, feasibility studies, photographs, mechanical and electrical information, meetings etc.	Hold in Accommodation and Supplies	Review 15 years after superseded or expired	Relevant Manager authorises destruction		
Tendering	Invitation to tender	Hold in Accommodation and Supplies	7 years from end of contract	Finance manager authorises destruction		
	Unsuccessful tender documents	Hold in Accommodation and Supplies	7 years	Finance manager authorises destruction		
	Successful tender documents	Hold in Accommodation and Supplies	Review 15 years after award of contact	Determined upon review		

FINANCE						
Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Information held on tendering process e.g. background information, report etc	Hold in Accommodation and Supplies	1 year after end of contract	Finance manager authorises destruction		
	Signed contract	Hold in Accommodation and Supplies	Review 15 years after award of contact	Finance Manager authorises destruction		
	Information held on contractors and suppliers	Hold in Accommodation and Supplies	Normal review process (5 years)	Finance Manager authorises destruction		
	List of approved suppliers	Hold in Accommodation and Supplies	Update regularly. Destroy when list superseded	Finance manager authorises destruction		
	Purchase order records	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	Limitation Order (NI) 1989	
	Requisition Records	Hold on file in Finance department	2 years	Finance manager authorises destruction	National Audit Office requirement	
Asset records						
	Asset register	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years after asset or last one in the register is disposed of	Finance manager authorises destruction	Limitation Order (NI) 1989	

FINANCE						
Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Copies of blue purchase orders	Hold on File in Finance department for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	PBNI Guidance	
	Loss / damage to property records file	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	PBNI Guidance	
	New furniture / equipment asset information file	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	PBNI Guidance	
	Depreciation Registers	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years after asset or last one in the register is disposed of	Finance manager authorises destruction	Limitation Order (NI) 1989	
Other Accountable Financial Records						
	Financial Statements	Hold on File in Finance dept for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	National Audit Office requirement	
	Financial Audit records	Hold on file in Finance department	7 years	Finance manager authorises destruction	Limitation Order (NI) 1989	

FINANCE						
Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Internal reporting	Hold on file in Finance department	Normal review process (5yrs)	Determined upon review	PBNI Guidance	
	Reference material	Hold on file in Finance department	Normal review process (5yrs)	Determined upon review	PBNI Guidance	Destroy when superseded
Finance Forms						
	PB 1,3, & 4,	Hold on File in Finance department for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	PBNI Guidance	
	Applications forms for assisted car purchase scheme	Hold on File in Finance department for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	PBNI Guidance	
	Reimbursement forms for additional expenditure forms	Hold on File in Finance department for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	PBNI Guidance	
	Travel & Incidental expenditure forms	Hold on File in Finance department for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	PBNI Guidance	

FINANCE						
Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Travel & Substance claim forms	Hold on File in Finance department for 2 yrs, then transfer to Antrim Rd	7 years	Finance manager authorises destruction	PBNI Guidance	
Community Development Records						
	Administrative files relating to community development, e.g. correspondence, external information on hostels, housing benefit, Peace II etc.	Hold on File in Community Development	7 years	Relevant Manager authorises destruction	PBNI Guidance	
	Records on organisations who receive funding, e.g. application form, correspondence, accounts	Hold on File in Community Development	7 years	Relevant Manager authorises destruction	PBNI Guidance	
	Project Application forms	Hold on File in Community Development	7 years	Relevant Manager authorises destruction	PBNI Guidance	
	CD1 Forms	Hold on File in Community Development	7 years	Relevant Manager authorises destruction	PBNI Guidance	
	CF 11 Forms	Hold on File in Community Development	7 years	Relevant Manager authorises destruction	PBNI Guidance	
	CF 111 Forms	Hold on File in Community Development	7 years	Relevant Manager authorises destruction	PBNI Guidance	

FINANCE

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Community Development evaluating forms	Hold on File in Community Development	7 years	Relevant Manager authorises destruction	PBNI Guidance	

SECRETARIAT

Types of Files / Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
The Board						
	Board Agendas and Papers e.g. Briefing,	Filed in Secretariat	Permanent	Permanent Preservation - Forwarded to PRONI	PRONI guidance	
	Committee Agendas and Papers e.g. Briefing and policy papers	Filed in Secretariat	Permanent	Permanent Preservation - Forwarded to PRONI	PRONI guidance	
	Board and Committee Minutes	Filed in Secretariat	Permanent	Permanent Preservation - Forwarded to PRONI	PRONI guidance	
	Insurance of Board Members	Filed in Secretariat	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Register of members interests (Board & Senior Mgt)	Filed in Secretariat	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Personal information on Board Members	Filed with Board Secretary	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Administrative files relating to the Board e.g. correspondence, (NIO, Crown Solicitor, other Criminal Justice Organisations) external information,	Filed with Board Secretary	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Administrative files relating to the Committees e.g. correspondence, external information	Filed with Board Secretary	Normal review process (5y)	Determined upon review	PBNI guidance	

MANAGEMENT						
Types of Files / Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Policies and Procedures and guidelines relating to operational and administrative functions.	Filed by relevant department / office	Normal review process (5 yrs)	Determined upon review	PBNI guidance	One copy of approved policies and procedures will be kept at source for reference
	NI Standards and Service Requirements	Filed by relevant department / office	Dispose of when updated	One copy will be kept at source for reference.	PBNI guidance	One copy to be sent to PRONI
Mgt Meetings	At senior and team level					
	Agendas of Senior Management and Team meetings	Original filed by relevant department / office	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Senior Management and Team meeting Minutes	Original filed by relevant department / office	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Papers e.g. Policy and Briefing papers for Senior Management and Team meetings	Original filed by relevant department / office	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Reports presented by/to Senior Management Team	Original filed by relevant department / office	Normal review process (5 yrs)	Determined upon review	PBNI guidance	

MANAGEMENT

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Information from Working / Steering groups	Original filed by relevant department / office	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Reviews, Inspections and Audits (External and Internal)	Original filed by relevant department / office	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Administrative files relating to relevant senior managers area of work e.g. prison, courts etc.	Filed by relevant Senior Manager	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Response for Assembly Questions and PQ's	Original filed by relevant sector e.g. finance	Normal review process (5 yrs)	Determined upon review	PBNI guidance	

STATISTICS AND RESEARCH

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Caseload audits	Filed in Information and Research department and relevant probation office	1 Year	Relevant Manager authorises destruction	PBNI guidance	
	Workload statistics – returns from teams; collated monthly statistics – all information held electronically.	Filed in Information and Research department and relevant probation office	1 Year	Relevant Manager authorises destruction	PBNI guidance	
	KPM Monitoring – returns from teams, collated monthly statistics	Filed in Information and Research department and relevant probation office	1 Year	Relevant Manager authorises destruction	PBNI guidance	
	External working groups	Filed in Information and Research department	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Query directory – held electronically	Filed in Information and Research department	5 years	Relevant Manager authorises destruction	PBNI guidance	
	Research (divided by project)	Filed in Information and Research department	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Evaluations of PBNI programmes for offenders	Filed in Information and Research department	Normal review process (5 yrs)	Determined upon review	PBNI guidance	

STATISTICS AND RESEARCH

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action		Notes
	Summary Statistics – held electronically	Filed in Information and Research department	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	NIO GUIDANCE Overview Statistics – held electronically	Filed in Information and Research department	Normal review process (5 yrs)	Relevant Manager authorises destruction	PBNI guidance	
Information & Research forms						
	Combination Order form	Filed in Information and Research department and relevant probation office	1 year	Relevant Manager authorises destruction	PBNI guidance	
	Change of address forms	Filed in Information and Research department and relevant probation office	1 year	Relevant Manager authorises destruction	PBNI guidance	
	CS completion forms	Filed in Information and Research department and relevant probation office	1 year	Relevant Manager authorises destruction	PBNI guidance	
	Custody Probation Order forms	Filed in Information and Research department and relevant probation office	1 year	Relevant Manager authorises destruction	PBNI guidance	
	JJCO Field Teams forms	Filed in Information and Research department and relevant probation office	1 year	Relevant Manager authorises destruction	PBNI guidance	

STATISTICS AND RESEARCH

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action		Notes
	JJCO YJU Forms	Filed in Information and Research department and relevant probation office	1 year	Relevant Manager authorises destruction	PBNI guidance	

INFORMATION TECHNOLOGY

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Technical						
	Application/software details (including installation guidelines)	Filed in Information Technology	Dispose of when superseded	Relevant Manager authorises destruction	PBNI guidance	
	Operational support logs, Backup logs	Filed in Information Technology	Review after 5 years	Relevant Manager authorises destruction	PBNI guidance	
	Infrastructure documentation, Network topography documentation, IT asset register, Email lists	Filed in Information Technology	Dispose of when superseded	Relevant Manager authorises destruction	PBNI guidance	
Procedures						
	Backup, Helpdesk, Desktop, Password protection, Email, RAS, etc.	Filed in Information Technology	Dispose of when superseded	Relevant Manager authorises destruction	PBNI guidance	
General						
	3 rd party support contact information and contracts	Filed in Information Technology	Dispose of when superseded	Relevant Manager authorises destruction	PBNI guidance	
	Administrative files relating to Information Technology e.g. correspondence, research	Filed in Information Technology	Review after 5 years	Relevant Manager authorises destruction	PBNI guidance	

INFORMATION SERVICES

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Information Services						
	Administrative files relating to ECMS e.g. correspondence, research	Filed in Information Services	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Administrative files relating to e.g. Causeway correspondence, research	Filed in Information Services	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Administrative files relating to Information Services	Filed in Information Services	Review after 5 years	Relevant Manager authorises destruction	PBNI guidance	

ADMINISTRATIVE						
Types of Files Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Reference						
	Journals	Filed by relevant office / department	Review after 5 years	Relevant Manager authorises destruction	PBNI guidance	
	Legislation	Filed by relevant office / department	Dispose of when updated or revoked	Relevant Manager authorises destruction	PBNI guidance	
	Manuals	Filed by relevant office / department	Dispose of when updated	Relevant Manager authorises destruction	PBNI guidance	
	Reports	Filed by relevant office / department	Permanent preservation	Retain one copy at source for historical purposes	PBNI guidance	
General Administration items						
	Appointment Diary	Hold by individual	2 years	Relevant Manager authorises destruction	PBNI guidance	

	Staff Working diaries	Hold by individual	2 Years	Relevant Manager authorises destruction	PBNI guidance	
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ADMINISTRATIVE						
Types of Files Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Incoming post log and outgoing post log	Hold by administrator	1 year	Relevant Manager authorises destruction	PBNI guidance	
	Office Appointment Book	Hold by administrator	1 year	Relevant Manager authorises destruction	PBNI guidance	
	Record of general office requests	Hold on file by probation office	1 year	Relevant Manager authorises destruction	PBNI guidance	
Other Admin Forms						
	Board vehicle and booking forms	Filed by accommodation and supplies	1 Year	Relevant Manager authorises destruction	PBNI guidance	
Records on Requests for Information						
Case file records for information requests (FOI, DPA, EIR)	Where the record is made available to the requester – Freedom of Information (FOI and Environment Information Regulations (EIR)	Filed in relevant folder at office/ department	Reviewed after 5 years	Relevant Manager authorises destruction	National Archive guidance	See PR & Communications (Compliance) section
	Where the record is made available to the requester – Data Protection	Filed in relevant folder at office/ department	Reviewed after 5 years	Relevant Manager authorises destruction	National Archive guidance	See PR & Communications (Compliance) section

ADMINISTRATIVE

Types of Files Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Where the record is not made available to the public – Freedom of Information (FOI and Environment Information Regulations (EIR)	Filed in relevant folder at office/ department	Reviewed after 10 years	Relevant Manager authorises destruction	National Archive guidance	
	Where the record is not made available to the requester – Data Protection	Filed in relevant folder at office/ department	Reviewed after 5 years	Relevant Manager authorises destruction	National Archive guidance	
	Where record is closed under an exemption	Filed in relevant folder at office/ department	Reviewed after 5 years	Relevant Manager authorises destruction	National Archive guidance	
	PBNI Disposal Schedule	Replace with current Schedule when updated	Permanent	Permanent Preservation	PRONI Guidance	
	Papers used in the compilation of the Disposal Schedule	Close when Schedule has been signed off	10 years	Relevant Manager authorises destruction	PRONI Guidance	

COMPLAINTS

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Records of Complaints						Complaints from offenders and the general public.
	Administrative files relating to complaints e.g. correspondence, research	Filed in relevant folder at office/ department	Reviewed after 5 years	Relevant Manager authorises destruction	National Archive guidance	
	Investigations e.g. individual case files that will include correspondence with complainant etc; details of enquiries and investigations; reports etc	Filed in relevant folder at office/ department	10 years	Relevant Manager authorises destruction	National Archive guidance	
	Precedents	Filed in relevant folder at office/ department	Review after 10 years	Determined upon review	National Archive guidance	
	Register of complaints	Filed in relevant folder at office/ department	10 years	Relevant Manager authorises destruction	National Archive guidance	

COMMUNICATIONS

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
PR & Communication						
	Administrative files relating to Communications e.g. correspondence, research	Filed in PR	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
	Background files used in developing publications e.g. annual reports, business and corporate plans	Hold by relevant office/department	Normal review process (5 yrs)	Relevant Manager authorises destruction	PBNI guidance	
	Information held on the media e.g. press cuttings, press releases, management statements	Filed in PR	Normal review process (5 yrs)	Determined upon review	PBNI guidance	
Annual Publications						
	Business Plans	Hold individually	Dispose of when updated	Relevant Manager authorises destruction.	PBNI guidance	One copy to be sent to PRONI
	Corporate Plans	Hold individually	Dispose of when updated	Relevant Manager authorises destruction.	PBNI guidance	Once copy to be sent to PRONI
	Information leaflets	Hold individually	Dispose of when updated	Relevant Manager authorises destruction	PBNI guidance	
	Annual Report	Hold individually – one copy sent to PRONI	Dispose of when updated	Relevant Manager authorises destruction	PBNI guidance	

COMMUNICATIONS

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Internal Publications	Team Business Plans	Hold by relevant office/ department	Dispose of when updated	Relevant Manager authorises destruction	PBNI guidance	

COMMUNICATIONS (COMPLIANCE)

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Compliance						
	Administrative files relating to Freedom of Information (FOI) and Environment Information Regulations (EIR)e.g. correspondence, research	Filed in the PR & Communications Unit(Compliance)	Reviewed after 5 years	Relevant Manager authorises destruction	PBNI guidance	
	Administrative files relating to Data Protection Act (DPA) e.g. correspondence, research	Filed in the PR & Communications Unit(Compliance)	Reviewed after 5 years	Relevant Manager authorises destruction	PBNI guidance	
	Administrative files relating to Records Management e.g. correspondence, research on policy etc.	Filed in the PR & Communications Unit(Compliance)	Reviewed after 5 years	Relevant Manager authorises destruction	PBNI guidance	
	Files relating to PRONI review	Filed in the PR & Communications Unit(Compliance)	Reviewed after 15 years	Relevant Manager authorises destruction	PBNI guidance	

TRAINING

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Training						
	Administrative files relating to training e.g. correspondence and external information	Hold in training department	Review after 5 years	Relevant Manager authorises destruction	PBNI guidance	
	Evaluation of training events	Hold on file in training department	1 year	Relevant Manager authorises destruction	PBNI guidance	
	Course / conferences / bursaries	Hold on file in training department	5 years	Relevant Manager authorises destruction	PBNI guidance	
	Student training (including video recordings)	Hold on file in training department	Until course ends	Relevant Manager authorises destruction	PBNI guidance	
	Staff training	Hold on personal file in training department	Until employment is terminated	Hold on personal file in training department	Hold on personal file in training department	
	Video recordings of staff training	Hold on file in training department	Until course ends	Hold on personal file in training department	Hold on personal file in training department	

OPERATIONAL / SERVICE USER

Types of Files / Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Probation Records on Offenders						The deletion of offender files should be postponed where any future work is reasonably anticipated
	Offender Pack which includes a copy of the PSR, depositions, tracking sheet NB The retention period given for information also held separately eg depositions, should be adhered to.	Filed in Assessment Unit	1 year	Relevant Manager authorises destruction	PBNI guidance	This retention period applies specifically to the assessment unit
	PSRs where no Order has been made	Filed in Assessment or relevant office	1 year	Relevant Manager authorises destruction		Filed in OASIS for 1 year and then destroyed
	PSRs and Assessments for PSR where order has been made	Filed in relevant office	Normal review process (5 yrs)	Area manager authorises destruction	PBNI guidance	The Normal Review process is five years from end of order
	PSRs and Assessments for PSRs on Schedule 1, Sex Offenders, Lifers, Public Protection Sentences (ECS and ICS Life Sentence Prisoners and those who are categorised under PPANI (Levels 1,2 and 3)	Filed in relevant client record	Upon death or 99 years after DOB	Area manager authorises destruction	PBNI guidance	Disposal "upon death" should be postponed if it is reasonably anticipated that they will be future work on file (e.g. Internal Investigation)

OPERATIONAL/SERVICE USER

Types of Files / Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Depositions on Schedule 1, Sex Offenders, , Lifers, Public Protection Sentences (ECS and ICS) Life Sentence Prisoners and those who are categorised under PPANI (Levels 1,2 and 3)	Filed in probation office	Upon death or 99 years after DOB	Review by PRONI	PBNI guidance	Disposal “upon death” should be postponed if it is reasonably anticipated that they will be future work on file (e.g. Internal Investigation)
	Depositions – no PBNI outcome	File in probation office	6 months (from sentence)	Area manager authorises destruction	PBNI guidance	Only need to hold ‘resulted’ cases.
	Depositions with PBNI outcome	File in probation office	Retain with the file for the life of the Order	Area Manager authorises destruction	PBNI guidance	Depositions should be disposed of in confidential waste when the file closes.
	Depositions pending PSR	Filed in probation office	2 years ICOS Access	Area manager authorises destruction	PBNI guidance	Please get update from ICOS on case before final decision to dispose
	Statutory Supervision Case Files (incl. Community service)	File in probation office	Normal review process (5 yrs)	Review by PRONI	PBNI guidance	The Normal Review process is five years from end of order
	Files for Schedule 1, Sex Offenders, Public Protection Sentences (ECS and ICS), Life Sentence Prisoners and those who are categorised under PPANI (Levels 1,2 and 3)	File in probation office	Upon death or 99 years after DOB	Review by PRONI	PBNI guidance	Disposal “upon death” should be postponed if it is reasonably anticipated that there will be future work on file (e.g. Internal Investigation)

OPERATIONAL/SERVICE USER

Types of Files / Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Statutory Supervision Life Sentences Case Files	File in probation office	Upon death or 99 years after DOB	Review by PRONI	PBNI guidance	Disposal "upon death" should be postponed if it is reasonably anticipated that they will be future work on file (e.g. Internal Investigation)
	Non Statutory Case Files (Previously termed Inescapable Voluntaries) i.e. offenders not on a statutory supervision order.	File in probation office	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order
	Non Statutory Schedule 1, Sex Offenders, Public Protection Sentences (ECS and ICS). Lifers Life Sentence Prisoners and those who are categorised under PPANI (Levels 1,2 and 3)	File in probation office	Upon death or 99 years after DOB	Area manager authorises destruction	PBNI guidance	Disposal "upon death" should be postponed if it is reasonably anticipated that they will be future work on file (e.g. Internal Investigation)
	Non Statutory Case Files (ie. Offenders who have received a custodial sentence but for whom PBNI has no statutory supervision responsibility).	Filed in PBNI Prison offices	6 months	Area manager authorises destruction	PBNI guidance	This refers to 6 months following completion of sentence.

SERVICE USER DATABASES

Types of Files / Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
ECMS (Electronic Case Management System)						Note for deletions – This can only be done centrally and will be processed in consultation with the records officer.
	ECMS Statutory Supervision Records (including significant Risk of Serious Harm) (This will include all documentation normally contained within a case file e.g. Referral Forms, Summons, PSR etc.) where the outcome is a PBNI Disposal	Held in ECMS	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order
	ECMS Records with a non-PBNI Disposal	Held in ECMS	1 year	Determined by review process	PBNI guidance	
	ECMS Statutory Supervision Schedule 1, Sex Offenders, , Public Protection Sentences (ECS and ICS), Life Sentence Prisoners and those who are categorised under PPANI (Levels 1,2 and 3)	Held in ECMS	Upon death or 99 years after DOB	Area manager authorises destruction	PBNI guidance	Disposal “upon death” should be postponed if it is reasonably anticipated that they will be future work on file (e.g. Internal Investigation)
	ECMS Statutory Supervision Life Sentences Case	Held in ECMS	Upon death or 99 years after DOB	Area manager authorises destruction	PBNI guidance	Disposal “upon death” should be postponed if it is reasonably anticipated that they will be future work on file (e.g. Internal Investigation)

SERVICE USER DATABASES

Types of Files / Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	<p>ECMS Non Statutory Case (Previously termed Inescapable Voluntaries)</p> <p>This refers to offenders not on a statutory supervision order.</p>	Held in ECMS	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order
	<p>ECMS Non Statutory Schedule 1, Sex Offenders, Public Protection Sentences (ECS and ICS), Life Sentence Prisoners and those who are categorised under PPANI (Levels 1,2 and 3)</p>	Held in ECMS	<p>Upon death or 99 years after</p> <p>DOB</p>	<p>Area manager</p> <p>authorises destruction</p>	PBNI guidance	<p>Disposal “upon death” should be postponed if it is reasonably anticipated that they will be future work on file (e.g. Internal Investigation)</p>
	Information and Research Client Database	<p>Held at individual offices and by information and research</p>	Normal review process (5 yrs)	Determined by review process	PBNI Guidance	The Normal Review process is five years from end of order
	PBNI Victims Unit Database	Held in victim unit	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order

PROGRAMME DELIVERY UNIT (PDU)

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
PDU Records						
	Administrative files relating to PDU e.g. correspondence, external information.	Filed in PDU	Normal review process (5 yrs)	Determined by review process	PBNI Guidance	
	Programmes	Filed in PDU	Normal review process (5 yrs)	Determined by review process	PBNI Guidance	
	PDU case records of Clients on programmes	Filed in PDU	Normal review process (5 yrs)	Determined by review process	PBNI Guidance	The Normal Review process is five years from end of order
	Video recordings of programmes	Held in PDU	Normal review process (5 yrs)	Destroy	PBNI Guidance	

PSYCHOLOGY

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Psychology files						
	Administrative files relating to psychology department e.g. correspondence, external information.	Filed in Psychology department	Reviewed after 5 years	Relevant Manager authorises destruction	PBNI guidance	
	Psychology Training Packs	Filed in Psychology department	Normal review process (5 yrs)	Determined by review process	PBNI guidance	
	Psychology case file (where offender is not the subject of PBNI supervision)	Filed in Psychology department	Normal review process (5 yrs)	Determined by review process	PBNI guidance	This is five years from date of referral
	Psychology case file (statutory supervision offender)	Filed in Psychology department	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order
	Psychology case file (Schedule 1, sex offender, , public protection sentences (ECS and ICS), Life Sentence Prisoners and those who are categorised under PPANI (Levels 1,2 and 3)	Filed in Psychology department	Upon death or 99 years after DOB of the offender	Determined by review process	PBNI guidance	Disposal "upon death" should be postponed if it is reasonably anticipated that they will be future work on file (e.g. Internal Investigation)
	Psychology case file (non-statutory supervision offender)	Filed in Psychology department	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order

VICTIM INFORMATION SCHEME

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Victim						
	Administrative files relating to Victims Unit e.g. correspondence, external information.	Filed in victim unit	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order
	Victim case file (Schedule 1, sex offender , public protection sentences (ECS and ICS) and Life Sentence Prisoners and those who are categorised under PPANI (Levels 1,2 and 3)	Filed in victim unit	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order
	Victim case file (statutory supervision case)	Filed in victim unit	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order
	Victim case file (non-statutory supervision case)	Filed in victim unit	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order
	PBNI Victims Unit Database	Held in victim unit	Normal review process (5 yrs)	Determined by review process	PBNI guidance	The Normal Review process is five years from end of order

OTHER RECORDS RELATING TO SERVICE USERS

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Court Documents						
	Copies of Summons	Filed in probation office	1 Year	Area manager authorises destruction	PBNI guidance	
	Court lists	Filed in probation office	6 months	Area manager authorises destruction	PBNI guidance	
	Committal Papers	Filed in probation office	1 Year	Area manager authorises destruction	PBNI guidance	One year from when the case has been dealt with.
	Court Duty Information	Filed in probation office	6 months	Area manager authorises destruction	PBNI guidance	
	CCTV footage Videos	Filed in probation office	5 years	Area manager authorises destruction	PBNI guidance	
	PSR Referral book	Hold on probation office	1 year	Area manager authorises destruction	PBNI guidance	
	Court Book	Hold on probation office	6 months	Area manager authorises destruction	PBNI guidance	

OTHER RECORDS RELATING TO SERVICE USERS

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
Information from Police						
	Police Youth referrals	Hold on probation office	6 months	Area manager authorises destruction	PBNI guidance	
	Police Report / stats	Hold on probation office	6 months	Area manager authorises destruction	PBNI guidance	
Prison						
	Transfer Slips	Hold on individual client file in probation office	1 year	Area manager authorises destruction	PBNI guidance	
	Committals (forms/notes/cards etc)	Hold on individual client file in probation office	1 year	Area manager authorises destruction	PBNI guidance	
	Prison release dates	Hold on individual client file in probation office	1 year	Area manager authorises destruction	PBNI guidance	
	Discharge Grant	Hold on individual client file in probation office	1 year	Area manager authorises destruction	PBNI guidance	

OTHER RECORDS RELATING SERVICE USERS

Types of Files/ Records	File / Record Description	File / Record Action	Retention Period	Final Action	Authoritative base	Notes
	Time served lists	Hold on individual client file in probation office	1 year	Area manager authorises destruction	PBNI guidance	
	Bench warrants	Hold on individual client file in probation office	1 year	Area manager authorises destruction	PBNI guidance	
Hostels						
	Administrative files relating to hostels	Hold on relevant office/dept	Normal review process (5 yrs)	Determined by review process	PBNI guidance	
	Hostel Application forms	Hold on individual client file in probation office	6 months	Area manager authorises destruction	PBNI guidance	
	Hostel Monitoring e.g. critical incident forms	Hold on client file and in hostel file	7 Years	Area manager authorises destruction	Limitation (NI) Order 1989	(In case any legal matters arise)
	Hostel Standards	Hold in probation office	Dispose of when updated	Area manager authorises destruction	PBNI guidance	
	Hostels – Statement of Purpose	Hold in probation office	Dispose of when updated	Area manager authorises destruction	PBNI guidance	

OTHER RECORDS RELATING TO SERVICE USERS

					Authoritative base	Notes
Programmes						
	Programme Referral forms	Hold on client file in probation office	Contained within client file. Kept for length of file	Area manager authorises destruction	PBNI guidance	
	Information on programmes	Hold in probation office	Dispose of when updated	Area manager authorises destruction	PBNI guidance	