



# **Retention and disposal schedule summary**

**May 2012**

## Section 1 – Introduction & Overview

### The Records Management Policy Statement

- 1.1 The purpose of this policy is to develop and maintain a framework within the Charity Commission for Northern Ireland (CCNI) for creating and managing reliable and useable records to support statutory functions and activities. The framework also covers the disposal or permanent preservation of appropriately identified records in accordance with relevant legislative requirements.

#### Definitions

- 1.2 A **record** can be described as "*recorded information, in any form, created or received and maintained by an organisation or person in the transaction of business or conduct of affairs and kept as evidence*". Records are a vital source of information about CCNI's and the Charity Sector's work and achievements.
- 1.3 A **document** can be described as a structure or container of recorded information held in hard copy or electronic format. The term record normally refers to documents, but to be considered a record the document should provide evidence of a transaction, action, decision or event which is worth recording and retaining.
- 1.4 **Records Management** is a term used to describe the administrative system through which CCNI will control the creation, storage, retrieval, disposal or preservation of its records. This provides mechanisms to ensure records are maintained properly and retained as long as necessary before a decision is taken about permanent retention or secure disposal.
- 1.5 A **Retention & Disposal Schedule** is a list detailing the type of records that need to be kept by CCNI and for how long. Annex A details recommended retention periods for both paper and electronic records created and maintained by CCNI. The schedule identifies records that must be kept for specific legal, financial or statutory periods, and those that may be worth and/or require permanent preservation. The Retention & Disposal Schedule provides consistent guidance for all staff when dealing with records and is CCNI's formal policy for records retention and disposal.
- 1.6 The disposal schedule in Section 6 sets out the disposal arrangements for all records created by Charity Commission for Northern Ireland. The schedule is intended to comply with the requirements in the Public Records Act (NI) 1923 and by the Disposal of Documents Order (S.R. &O.1925 No 167).
- 1.7 The retention period required for each type of record is determined from the date the file is closed.

## **Categories of Disposal**

1.8 There are three categories for the disposal of CCNI paper files. These are:

- Review – a check must be undertaken to confirm or change (extend) the retention period initially applied before destruction or permanent preservation will be considered,
- Destruction – records that have a definite and predicted useful lifespan and can be deleted once that time period elapsed e.g. financial information, and
- Permanent preservation - records that have historical or precedent setting value. This covers records identified for transfer to PRONI as well as records that will have long term value to CCNI but unlikely to be transferred to PRONI.

## Section 6 Retention & Disposal Schedule

### Operational Records

Item	Description	Retention/Disposal	Final Action – Paper & Electronic records
OR1	General Enquiry Case Files	5 Years after closure of case	Normal review process followed by destruction
OR2	Registered Charity Case Files	5 years after closure of case	Normal review process followed by destruction
OR3	Registered Charity Governing Document and Account Files	5 years after removal of Charity from the register	Normal review process followed by destruction
OR4	Registered Charity Key Document Files	5 years after removal of Charity from the register	Normal review process followed by destruction
OR5	Registered Charity Intelligence files	5 years after removal of Charity from the register	Normal review process followed by destruction
OR6	Registered Charity Annual Return Files	5 years after removal of Charity from the register	Normal review process followed by destruction
OR7	Registered Charity Dispensation files	5 years after removal of Charity from the register	Normal review process followed by destruction
OR8	Un Registered Organisation Charity Case Files	5 years after closure of case	Normal review process followed by destruction
OR9	Short Case Material – correspondence with a charity or organisation that results in a	12 Months	Disposal by Service

	maximum of two incoming and two outgoing action items. (incl. action items in Enquiries Log not associated with a charity or organisation)		
OR10	Decision Review/Information Tribunal Cases	10 years after closure of case.	Normal review process/PRONI review
OR11	Schemes/Orders/Letters of Authority	Permanent Preservation – PRONI is the designated repository.	Transfer to PRONI
OR12	Trustee Declarations	Permanent Preservation - CCNI is the designated repository.	
OR13	Charity Accounts	Electronic copies - 6 years	Destroy – service Destroy – service
OR14	Charity Annual Returns	Electronic copies - 6 years	Destroy – service Destroy - service
OR15	Inquiry Reports	Permanent Preservation and publication on website. Copy is sent to PRONI on publication.	Transfer to PRONI
OR16	Trustees records <b>Principal datasets (Personal Data)</b> (Records normally updated by annual return.)	Registered Charity – when informed that no longer trustee of charity. Removed Charity - 5 years after date charity is removed from register.	Destroy - service
OR17	Charity Correspondents records	Registered Charity – when	Destroy - service

	<b>Principal datasets (Personal Data)</b>	informed that no longer correspondent of charity. Removed Charity - 5 years after date charity is removed from register.	
OR18	Other contact details <b>Principal datasets (Personal Data)</b>	For contacts not associated with a case or organisation – 12 months after date of last action.	Destroy - service

### Charity Policy, Legal and Practice Files

<b>Item</b>	<b>Description</b>	<b>Retention/Disposal</b>	<b>Final Action – Paper &amp; Electronic records</b>
CLP	Policy files	10 years	Normal review process/PRONI review
<b>CLP</b>	Precedent records	10 years	Normal review process/PRONI review
<b>CLP</b>	Legal opinions and judgements	10 years	Normal review process/PRONI review
<b>CLP</b>	CCNI Publications	Permanent Preservation. One copy is sent to PRONI on publication. Office copies should be destroyed 5 years from publication being non-current.	Normal review process/PRONI review

<b>CLP</b>	Operational Guidance	5 Years from the guidance being non-current	Destroy – service
<b>CLP</b>	Website Guidance	5 Years from the guidance being non-current	Destroy – service
CLP	Legislation	10 years	Normal review process/PRONI review

CLP	Policy statements	5 years	Normal review process/PRONI review
CLP	System handbook/guide	When superseded	Destroy - service
CLP	Minutes of meetings of Complaints Committee, Service Standards Team, etc	10 years	Normal review process/PRONI review
CLP	Surveys	5 years	Normal review process/ followed by destruction

CLP	Enquiries	5 years	Destroy – CIM
CLP	Investigations	10 years	Normal review process/PRONI review
CLP	Statistical reports	5 years	Normal review process/ followed by destruction
CLP	Reports on particular complaints or on categories of complaints	5 years	Normal review process/PRONI review
CLP	Precedents	10 years	Normal review process/PRONI

			review
CLP	Register of Complaints	10 years	Permanent preservation – forward to PRONI

CLP	Correspondence and papers	10 years	Normal review process//followed by destruction
CLP	Reports	5 years	Normal review process/followed by destruction

## **Governance**

<b>Item</b>	<b>Description</b>	<b>Retention/Disposal</b>	<b>Final Action – Paper &amp; Electronic records</b>
G1	Board Papers/Decisions of the Board/ctte	10 Years	Transfer to PRONI
G2	Minutes	10 Years	Transfer to PRONI
G3	Annual Reports/Corporate Business Plans	10 Years	Transfer to PRONI
G4	Papers relating to management, committee and other internal groups	Review 10 years.	Destroy – service
G5	Papers relating to strategic planning etc	Review 10 years	Destroy – service
G6	Papers relating to performance	3 years after end of planning	Destroy – service

	evaluation and monitoring	cycle to which it relates.	
G7	Papers relating to IT and Communications infrastructure	Review 10 years	Destroy – service

## Personnel Records

<b>Ref</b>	<b>Description</b>	<b>Retention/disposal</b>	<b>Final Action – Paper &amp; Electronic records</b>
PERS 1	Written particulars of employment Contracts of employment, including the Certificate of Qualification or its equivalent and including the Senior Civil Service Changes to terms and conditions, including change of hours letters	12 years after retirement	Destroy – CIM
PERS 2	Job History - consolidated record of whole career and location details (paper or electronic)	12 years after retirement	Destroy – CIM
PERS 3	Current address details	12 years after retirement	Destroy – CIM
PERS 4	Record of location of overseas service	6 years after employment has ended	Destroy- CIM
PERS 5	Variation of hours - calculation formula for individual	12 years after retirement	Destroy- CIM
PERS 6	Promotion, temporary promotion and/or substitution documentation	12 years after retirement	Destroy – CIM

PERS 7	Working Time Directive opt out forms	3 years after rescinded or ceased to apply	Destroy – service
PERS 8	Record of previous service dates	12 years after retirement	Destroy – CIM
PERS 9	Previous service supporting papers	12 years after retirement	Destroy – CIM
PERS 10	Qualifications/references	6 years	Destroy – service
PERS 11	Transfer documents (OGD E18)	Until summary noted and actioned	Destroy – service
PERS 12	Annual/Assessment reports	5 years	Destroy – service
PERS 13	Training history	6 years	Destroy – service
PERS 14	Travel and subsistence - claims and authorisation	6 years	Destroy – service
PERS 15	Annual leave records (dependent on departmental practice)	2 years	Destroy – service
PERS 16	Job applications – internal	1 year	Destroy – CIM
PERS 17	Recruitment, appointment and/or promotion board selection papers	1 year	Destroy – CIM

## Financial Records

### Salaries and Related Records

<i>FR 27</i>	<i>Salary records</i>		
FR 27.1	Employee pay history records (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)	6 years	Destroy – service

FR 27.2	Salary rates registers	when superseded	Destroy – service
FR 27.2	Salary ledger cards/records	6 years	Destroy – service
FR 27.4	Copies of salary/wages/payroll sheets	2 years	Destroy - service
<i>FR 28</i>	<i>Stores records</i>		
FR 28.1	Goods inwards books/records	6 years	Destroy – CIM
FR 28.2	Delivery dockets	2 years	Destroy – service
<i>FR 29</i>	<i>Purchase order records</i>		
FR 29.1	Purchase order books/records	6 years	Destroy – CIM
FR 31	Assets/equipment registers/records – registers/records documenting the assets, equipment, furniture, etc.	6 years after disposal of item/asset, or last one in register	Destroy – CIM
FR 32	Registers/records relating to calculation of annual depreciation	6 years after item/asset, or last one in register, disposed of	Destroy – CIM
<i>FR 33</i>	<i>Financial statements</i>		
FR 33.1	Quarterly and annual reports	6 years	Destroy – CIM
FR 33.2	Financial statements prepared for management on a regular basis	After inclusion in quarterly or annual reports	Destroy – service
FR 33.3	Ad hoc statements	6 years	Destroy - service
CE 24	Records relating to minor matters of: Theft, Fraud, Misappropriation, Irrecoverable debts and	6 years after audit	Destroy – CIM

	overpayments, Write-Offs, Recovery of debt, Wavering of debt (Where matter was resolved internally)		
CE 25	Procedure manuals	2 years after superseded	Destroy – service

### Internal Audit Investigations

<b>Ref</b>	<b>Description</b>	<b>Retention/disposal</b>	<b>Final Action – Paper &amp; Electronic records</b>
FR 34	Financial records and documentation referring to investigation (no significant criticism or prosecution resulting)	5 years from conclusion of investigation	Normal review process/followed by destruction
FR 35	Financial records and documentation referring to investigation resulting in significant criticism or prosecution.	10 years from conclusion of investigation	Normal review process/PRONI review

### Press and Public Relations Records

<b>Item</b>	<b>Description</b>	<b>Retention/Disposal</b>	<b>Final Action – Paper &amp;</b>
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			<b>Electronic records</b>
<b>Dealing with the media and the public</b>			
PR 1	Press releases	7 years	Destroy -service
PR 2	Press cuttings	1 year	Destroy – service
PR 3	Operational notes (notices to press about forthcoming events or conferences)	3 months	Destroy – service
PR 4	Press conference reports/previews	3 years	Destroy – service
PR 5	Press reports digests	7 years	Destroy – CIM
<b>Internal Records</b>			
PR 6	Correspondence with services of the media	7 years	Normal review process/followed by destruction
PR 7	Handbooks and guides to media/public relations	When superseded	Destroy – service
PR 8	Reports on media/public relations	7 years	Normal review process/followed by destruction
PR 9	Image library records	5 years	Normal review process/followed by destruction