

RETENTION AND DISPOSAL SCHEDULE

CONTENTS

Section 1: Introduction	3
Section 2: Operation of this Disposal of Documents Schedule	6
Section 3: Definitions	9
Section 4: Retention and Disposal Schedule	13
Human Resources (Including Health & Safety)	14
Finance	21
Secretariat	28
Management	29
Statistics and Research	30
Information Technology	31
Information Services	32
Administrative	33
Complaints	35
Communications	37
Compliance	38
Training	39
Operational / Service User Records	40
• Service User	40
• Programmes	41
• Psychology	41
• Victim Information Scheme	42
• Office Security	43
• Prison	43
• Hostels	43
• Substance Misuse Court	43
• Terrorist Related Offences	43
Section 5: Signatories	44
Appendix A: Glossary	45

SECTION 1: INTRODUCTION

1.1. Purpose of the Disposal Schedule

This document sets out the minimum time periods for which the various records created by the Probation Board for Northern Ireland (PBNI) should be retained, either due to their ongoing administrative value or as a result of statutory requirements. It identifies the retention and disposal arrangements for all records created by PBNI. It will enable the organisation to dispose of records promptly when they cease to be of any continuing administrative/legal value and will identify records which should be transferred to the Public Record Office of Northern Ireland (PRONI) because of their long-term historical/research value. The Schedule complies with the requirements in the Public Records Act (NI) 1923 and the Disposal of Documents Order (S.R. & O.1925 No 167). PBNI has a Records Management Policy and Procedures which sets out in detail the definition of a 'record' and how PBNI will manage its records through the records life cycle incorporating our legislative responsibilities in relation to both Data Protection and Records Management and Freedom of Information.

1.2. Roles and Responsibilities

Chief Executive

The Chief Executive has a duty to ensure that PBNI complies with the requirements of legislation in this area (Public Records Act (NI) 1923; Disposal of Documents Order (S.R & O 1925 No 167); Section 46 Freedom of Information Act 2000) and the Data Protection Act 2018 affecting management of the records, and with supporting regulations and codes.

Head of Communications

The Head of Communications is responsible for the development and oversight of a records management policy and will work with Directors, Assistant Directors, Heads of Department and other managers to ensure that there is consistency in the management of records.

Records Manager

The Records Manager will provide training, advice and guidance on good records management practice to all staff and also audit compliance with this Retention and Disposal Schedule and provide the Chief Executive with assurances on compliance with records management policy.

Data Protection Officer

The Data Protection Officer has responsibilities that include informing and advising PBNI of its data protection obligations and monitoring its compliance with legislative requirements. The Data Protection Officer can report directly to the Chief Executive and the Board on these matters and acts as a direct contact for data subjects and the Information Commissioner.

Management

All managerial staff are responsible for ensuring that records and information systems in their areas conform to the Records Management Policy, this schedule procedures and to the requirements of legislation.

Area/Business Support Manager

The role of the Area/Business Support Manager is to ensure compliance with Records Management standards within their team and to co-ordinate activities aimed at ensuring that information is recorded, stored, managed and disposed of both effectively, legally and in keeping with PBNI policies and guidelines.

Area Managers **must** take responsibility for reviewing operational files, while the Business Support Managers must review administrative files.

All Staff

All members of staff are responsible for documenting their actions and decisions on records and for maintaining the records in accordance with good records management practice.

All staff need to be aware that under the Data Protection Act 2018 *personal data processed and held for any purpose must not be kept for longer than is necessary for that purpose*. The DPA does not contain any interpretation of that provision, but the retention periods in the annexes to this policy have already taken the requirements of the DPA into consideration.

In many instances, the retention of personal data will be necessary for operational purposes.

All Staff must ensure that personal data is kept up to date and accurate. If information is stored unnecessarily, there are cost and time implications for retrieving the required information. Personal data that is excessive, irrelevant or no longer required for business purposes should be removed and securely destroyed in accordance with the relevant Record Retention and Disposal Schedule and guidance in policy.

Information Assets Owners (IAOs)

The IAOs are the Directors, Assistant Directors and Heads of business areas. Their role is to understand what information is held, location of records, how long records need to be held, how secure records are, what is added and what is removed, how information is moved, who has access and why. As a result IAOs are able to understand and address risk to information and ensure that information is fully used within the law for the public good. IAOs will approve the appraisal decisions and associated mechanisms to ensure compliance within their business area.

1.3. Data Protection and Freedom of Information Policies

PBNI has separate data protection and freedom of information policies setting out its undertakings with regards to data it holds both generally and in respect of natural, living persons. These policies set out the lawfulness by which PBNI holds its records, their accessibility to data subjects and to the public more generally. They underpin and provide the context within which PBNI holds, manages and shares the information and data that it controls.

PBNI takes all reasonable steps to ensure compliance with current and future legislation covering information assurance and security and records management. As such information held by PBNI is held securely in accordance with statute, common law and regulatory requirements. Specific policy in this area can be found at:

<https://www.pbni.org.uk/publication/pbni-policy-records-management-policy-and-procedures>

SECTION 2: OPERATION OF THIS DISPOSAL OF RECORDS SCHEDULE

2.1. Retention Period

Retention periods are based upon the specific business needs of PBNI in addition to the regulatory environment within which it operates. The retention period stated for each type of record is calculated from the date the file or record is closed (in the case of administrative records) or at the end of PBNI's statutory supervision responsibility (in the case of operational records except for files that fall into the 99-year category which are held for 99 years after the date of birth of the service user). All retention periods are given in whole years and should be calculated from the end of the financial year or calendar year to which the records relate. Administrative files are generally held in calendar year order. Financial files are held in financial year order.

Please note that these instructions relate to all electronic and manual records. From 2022 PBNI electronic corporate records are held in an Electronic Document Records Management System (EDRMS) called Content Manager and the retention periods identified in this Schedule will be reflected in the EDRMS.

2.2. Categories of Disposal

The categories of disposal that relate to both hard copy and digital records are:

PRONI Appraisal – The long term social historical research and/or evidential value of some records cannot always be predetermined. Records designated 'PRONI Appraisal' therefore require first hand appraisal by PRONI. If PRONI considers that there is no long term value, the records will be securely destroyed by PBNI; otherwise they will be transferred to PRONI under warrant as statutory procedures dictate incorporating a sensitivity review specifying access decisions in accordance with FOI exemptions and conducted in accordance with PRONI guidelines.

This category will be used by exception only.

Destroy

This refers to records whose value can be predetermined and can therefore be destroyed once it has met its specified time period, for example, financial information which can usually be destroyed seven years after the last action. All records, whether hard copy or digital will be destroyed in accordance with PBNI approved practices and procedures.

Permanent Retention in Organisation

This category will be applied where PBNI has an indefinite business need or legal requirement to retain long-term access and continuity to these classes of records. Permanent contact with PRONI will be made when PBNI no longer have a business need to retain the records.

This will be applied by exception and only in a limited capacity.

Permanent Preservation in PRONI

The records in this category will be transferred to the Public Record Office of Northern Ireland (PRONI) under warrant where they will be preserved once they have reached 20 years old (as calculated from the date of the last paper). They are therefore considered to have become Historical Records (as defined within the Freedom of Information Act 2000, Part 6).

All records designated as permanent preservation in PRONI will be accompanied by a sensitivity review specifying access decisions in accordance with FOI exemptions.

In line with the Public Records Act (NI) 1923 (s.3(c)), certain record classes may be designated by PBNI for 'early transfer', usually because the record class is open and the information is already available in the public domain. In rare circumstances (for example, if the creating organisation is facing imminent dissolution, or a Public Inquiry wishes to transfer the complete record urgently), PRONI can accept early transfer.

2.3.PRONI Appraisal

Records which have the final action 'PRONI Appraisal' are those which may be of future historical significance.

PBNI will ensure that PRONI Appraisal takes place at the following points:

First Review

The purpose of a first review is to identify records which have the potential to have long term historical significance. This is completed approximately 5 years after the date of the last paper, and when the business area has confirmed it has no ongoing administrative need for the record. PBNI will contact their PRONI client manager to arrange for PRONI to inspect records which are in the 'PRONI Appraisal' category, and must provide a detailed list of all the records due for inspection. Any records selected by PRONI must be retained by PBNI until they reach the Second Review stage.

Second Review

Records which have the final action 'PRONI Appraisal' and have not been subject to a First Review should be brought forward for Second Review in a timescale appropriate to ensure their transfer to PRONI by the time they reach 20 years old. Similar to the first review process, PBNI will contact their PRONI client manager to arrange for PRONI to inspect the records and must provide a detailed list of all the records due for inspection. At the appraisal, PRONI will identify files of historic value. Records selected for permanent preservation following PRONI Appraisal will transfer after a warrant has been issued by PRONI. PBNI must ensure that records transfer with a sensitivity review completed, and PR-14H information attached for each file.

2.4. Permanent Preservation/Transferred to PRONI/Originals sent to PRONI

The Records Manager will liaise with the relevant Manager in this area to arrange for the collation and collection of these files. The procedures for the review of these files will be agreed with the Records Manager liaising with representatives from PRONI.

SECTION 3: DEFINITIONS OF RECORDS HELD BY PBNI IN RESPECT OF EACH WORK AREA

3.1. Human Resources

The purpose of the Human Resource department is to manage all aspects of recruitment and ongoing employment of staff within the organisation. As a key part of delivering PBNI core functions the department must ensure that there are appropriate levels of staff with the right amount of knowledge, skill, understanding and commitment to deliver a quality service. The management of employee issues such as investigations into grievances, dignity at work and disciplinary matters is overseen and all records are maintained and controlled by HR. It is important that Information Officers, Decision Officers and others do not hold or store records in relation to investigations but rather that they are managed by HR. HR holds sensitive personal data relating to staff and it is critical that HR staff comply with our policies and procedures on handling sensitive data.

With this purpose in mind records are kept on:

- Personnel practices and procedures
- Recruitment and selection
- Roles and Responsibilities of staff
- Rates of pay
- Health and safety
- Attendance and Performance Monitoring (staff appraisals, leave etc)
- Pension
- Disciplinary
- Dignity at work and Grievances
- Equal Opportunities – staff monitoring and reports
- Personal Information
- Training records.

HR is also charged with ensuring that PBNI is an equal opportunity employer. This means they must ensure that all its employment practices and policies comply with equal opportunities legislation and good practice guidelines as well as monitoring staff and providing reports to the Equality Commission.

3.2. Finance

The Finance Department manages the day to day financial and audit responsibilities of the organisation in adherence with Government Accounting procedures. It is also responsible for ensuring correct application of the Board's grant in aid. Estates is primarily responsible for facilities management for the Board, estate services and purchasing goods and services.

With this purpose in mind records are kept on:

- Planning, budgeting and forecasting
- Processing
- Reporting to DOJ (e.g. annual accounts etc)
- Leases/rents
- Purchasing of office equipment
- Travel
- Community Development
- Audits
- Staff salaries.

3.3. Secretariat

The Board holds records of its meetings (Board and Committee) in order to ensure the proper functioning of the Board at policy level. The Board also retains a register of Member's interests.

The Secretariat department, which services the Board and its committees, holds all Board and Committee agendas, papers and minutes. It also holds correspondence and papers relating to contact with statutory, non-statutory and community partners – e.g. Department of Justice. The Secretariat, which incorporates the work of the Board Secretary, also holds records relating to Board business including insurance of Board Members and attendance records.

3.4. Management

The Senior Leadership Team are responsible for the day-to-day operations of PBNI. Records reflect their main areas of responsibilities and the information they require in order to fulfil the core objectives of the Probation Service as set out in the Board's Corporate and Business Plans.

These include:

- Our work in courts
- Our work in the community
- Our work in prisons
- Our work with victims
- Public Protection work and service user accommodation
- Inspections
- Our interagency work with partners including PSNI, Safeguarding Board and others.

Records are kept of contact and interagency working across statutory, non-statutory and community partners as well as PBNI staff for whom they have responsibility. Records incorporate all aspects of day-to-day working with those organisations that impact on each manager's area of responsibility and underpin their work to ensure key objectives are met for their core areas.

3.5. Statistics and Research

The purpose of the Statistics & Research Department is to provide PBNI with research and statistical advice, briefing and evaluation services to inform and improve its practice. The Statistics & Research Department collates and analyses statistics, including PBNI's caseload, volume of reports, performance targets (Key Performance Measures) for customers within and outside the organisation. The Department's primary customers are PBNI Senior Managers.

The Department also links with other criminal justice agencies statisticians via the Research and Statistics subgroup of the Criminal Justice Board, contributing to fulfilling the requirements of the Criminal Justice Review, including research designed to evaluate intervention effectiveness.

With this purpose in mind records are kept on:

- Key Performance Measures
- Workload Statistics
- Effectiveness of probation programmes
- Research findings
- Evaluation of probation programmes for service users
- Service user information.

3.6. IT (Information Technology) – managed by IT Assist

The purpose of the IT department is to develop, manage, maintain and support the Information technology that helps enhance the overall effectiveness of PBNI. Records are kept on software applications, installation guidelines, as well as all documentation relating to the network, infrastructure and back-up systems.

Data is also collated and maintained in respect of requests for reports from courts in relation to service. At management level, it is responsible for developing policies such as PBNI Internet/email policy. The department also works to enhance the mechanisms required for the sharing of information electronically across all the Criminal Justice Agencies (e.g., Causeway project).

3.7. Communications and Compliance

The purpose of the Communications and Compliance Department is to manage all the internal and external communications as well as public affairs. They have a digital Communications strategy and have responsibility for building and maintaining relationships with PBNI's external stakeholders and Partner Organisations. The department also look after Records Management, Freedom of Information, Data Protection, all external complaints and whistleblowing.

With this purpose in mind records are kept on:

- Media enquiries and responses
- Speeches and press articles
- Complaints including investigations and decisions
- Whistleblowing
- Freedom of Information and Data Protection requests and responses
- Records Management
- Data Sharing Agreements, Protocols and Memorandum of Understandings
- Assembly Questions and responses
- Requests from DOJ and responses
- Policies.

3.8. Administrative

Records held, reflect the various administrative and clerical processes and procedures required to underpin the operational work of the service.

Work areas include Human Resources, Finance and Estates, Information Technology and support services, Training, Communications (including Compliance), Complaints, Policy Development, Secretarial services supporting the work of teams, departments and Senior management, and the Secretariat (servicing the Board and Committees).

3.9. Operational/Service User

Probation operational records are maintained for the supervision, risk management and monitoring of service users. This includes statutory and non statutory service users and victims.

Operational records include:

- Pre-sentence Reports
- Depositions
- Records of Contacts
- Case Plans
- Psychology reports
- Programme reports
- Referrals
- Inter-agency communication
- Community partner information
- ACE

Operational records are kept ensuring the effectiveness of the organisation in achieving its aims and objectives and in contributing to public protection.

SECTION 4: RETENTION AND DISPOSAL SCHEDULE

1. Human Resources

2. Finance

3. Secretariat

4. Management

5. Statistics and Research

6. Information Technology

7. Information Services

8. Administrative

9. Complaints

10. Communications

11. Communications (Compliance)

12. Training

13. Operational / Service User

- Service Users
- Service User Database
- Programmes
- Psychology
- Victim Information Scheme
- Other records relating to service users
- Office Security
- Prisons
- Hostels
- Substance Misuse Court
- Terrorist Related Offences

Notes

- The retention periods listed for manual and electronic records are the same.
- E-mails are not listed with a retention period. Although they can constitute a record in themselves, they are usually a method of transmitting information. In most cases the relevant information is held in an attachment. However they provide context to any accompanying attachment. Therefore, when seeking to dispose of emails or attachments you should consider the subject matter and apply the relevant retention criteria to it according to this Schedule.
- The retention period is a trigger to review the file at that stage. It is not an automatic signal to destroy files.

HUMAN RESOURCES

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Recruitment and Selection					
1.1	Pre Employment	Applications, Interview Shortlist, Interview Reports, Letters of Appointment, Unsuccessful applications (letters of appointment are part of the contract of employment for those who do start and will transfer to their Personnel File)	1 year after recruitment has been finalised (i.e. after the merit list has expired).	Business Need	Destroy
1.2	Equality Monitoring	forms and statistics	For 3 years after closure of competition	Business Need	Destroy
1.3	Vetting Successful Candidates	Security Vetting information – appointees	Hold on file for one year after expiry date / end of contract with PBNI.	Business Need	Destroy
1.4	Vetting Unsuccessful Candidates	Security Vetting information – applicants not appointed.	1 year after closure of competition.	Business Need	Destroy
Employment and Career					
1.5	Personnel Record	Written Particulars of employment: e.g. contracts of employment and changes to terms and conditions, along with Letter of Appointment.	Until age 100	Pensions Regulations	Destroy
1.6	Personnel Record	Job History e.g. consolidated record of whole career and location details	Until age 100	Pension Regulations	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

HUMAN RESOURCES

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
1.7	Personnel Record	Current address details	Until age 100	Pension Regulations	Destroy
1.8	Personnel Record	Record of location of overseas service	Until age 100	Pension Regulations	Destroy
1.9	Personnel Record	Promotion, temporary promotions and / or substitution documentation that form a permanent or temporary part of a contract and employment history	Until Age 100	Business need	Destroy
1.10	Personnel Record	Working Time Directive opt out forms	3 years after the opt out has been rescinded or has ceased to apply	Business Need.	Destroy
1.11	Personnel Record	Annual / Assessment Reports e.g. staff appraisals and monitoring forms	5 years. Keep the last 5 years of service until age 100	Pension Regulations	Destroy
1.12	Personnel Record	Authorisation for Travel and subsistence claims	2 years	Business Need	Destroy
1.13	Personnel Record	Building Society References	Destroy after use	Business Need	Destroy

Disciplinary Records

1.14	Discipline	Papers relating to grievance, dignity at work and disciplinary action which has resulted in any warnings or other conditions as a result of Performance capability or disciplinary processes – action taken.	6 years and destroy	Business Need. Pension Regulations	Destroy
------	------------	--	---------------------	------------------------------------	---------

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

HUMAN RESOURCES

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
1.15	Grievance	Papers relating to grievance, dignity at work and disciplinary action which has resulted in any warnings or other conditions as a result of Performance capability or disciplinary processes – action not taken.	2 years and destroy	Business Need. Pension Regulations	Destroy
Leave					
1.16	Leave	All leave (paid and unpaid)	Hold until 1 year after employment has ended.	Business Need	Destroy
1.17	Leave	Toil/Flexi sheet (current employees)	Hold for 3 months	Business Need	Destroy
Health					
1.18	Absence Management	Sickness Absence management documents, Occupational Health and absence records showing dates and causes of sick leave.	Hold until 1 year after employment has ended.	Business Need. Pension Regulations	Destroy
1.19	Absence Management	Medical / Self certificates unrelated to industrial injury	6 years	Limitation (Northern Ireland) Order 1989	Destroy
1.20	Personnel File	Eyesight test forms	1 year	Business Need	Destroy
Pay and Pension					
1.21	Personnel File	Death Certificates	Return original to provider Retain copy until age 85	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

HUMAN RESOURCES

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
1.22	Personnel File	Statutory Maternity Pay documents	6 years	Limitation Act 1980; Limitation (NI) Order 1989	Destroy
1.23	Personnel File	Overpayment documentation	7 years after repayment or write- off	Limitation Act 1980; Limitation (NI) Order 1989	Destroy
1.24	Personnel File	Personal payroll history, including record of pay, performance pay, overtime pay, allowances	Until age 100	Business Need	Destroy
1.25	Personnel File	Pensions estimates and awards	Until age 100	Business Need. Pension Regulations	Destroy
1.26	Personnel File	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	Until age 100	Business Need. Pension Regulations	Destroy
1.27	Personnel File	Resignation, termination and or retirement letters	Until age 100	Business Need. Pension Regulations	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

HUMAN RESOURCES

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
1.28	Personnel File	Added years	Until age 100	Business Need. Pension Regulations	Destroy
1,29	Personnel File	Payroll input forms	7 years	Business Need	Destroy
1.30	Personnel File	Bonus nominations	7 years	Business Need.	Destroy
1.31	Personnel File	Authorisation for deputising, substitution allowance of or overtime travel time claim	7 years	Business Need. Audit purposes.	Destroy

Security

1.32	Personnel File	Security Personnel Files / Vetting documentation	Destroy after use for non appointees. Retain until one year after employment ends for employees.	Business Need	Destroy
------	----------------	--	--	---------------	---------

Health and Safety

1.33	Training	training courses	Whilst staff in employment	The Health and Safety at Work (Northern Ireland) Order 1978	Destroy
1.34	Training	Files for individual health and safety training courses	As per refresher timescales. Where no refresher – 5 years.	The Health and Safety at Work (Northern Ireland) Order 1978	Destroy
1.35	Health and Safety	Accidents, claims, incidents, inspections	4 years	RIDDOR (NI) 1997	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

HUMAN RESOURCES

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
1.36	Health and Safety	Community Service assessments and inspections	4 years	The Health and Safety at Work (Northern Ireland) Order 1978	Destroy
1.37	Health and Safety	risk assessments provided in conjunction with Probation Projects/Duke of Edinburgh's Award	4 years	The Health and Safety at Work (Northern Ireland) Order 1978	Destroy
1.38	Health and Safety	Probation Projects/Duke of Edinburgh's Award risk assessments, approval and general correspondence by Activities Panel.	4 years	The Health and Safety at Work (Northern Ireland) Order 1978	Destroy
1.39	Health and Safety	Approval of providers, general correspondence regarding queries.	following each review or if no review – 4 years	The Health and Safety at Work (Northern Ireland) Order 1978	Destroy
1.40	Health and Safety	H&S Workplace Inspections, Audit inspections, Outstanding Actions, Fire Risk Assessments, Log Books, Water Risk Assessments, general correspondence, building surveys etc.	5 years	The Health and Safety at Work (Northern Ireland) Order 1978	Destroy
1.41	Health and Safety	Asbestos surveys on buildings and correspondence/queries	40 years	Control of Asbestos at Work Regulations 2012	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

HUMAN RESOURCES

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
1.42	Health and Safety	Display Screen Equipment assessments and correspondence, induction forms, correspondence re health, etc	Whilst person in employment	H&S (Display Screen Equipment) Regulations (NI) 1996	Destroy
1.43	Health and Safety	Risk assessments for various activities	4 years	Management of H&S at Work Regulations	Destroy
1.44	Health and Safety	H&S topics with general memos and external information including policies and procedures, H&S committee, programmes, health and wellbeing, Board vehicles, etc.	5 years	The Health and Safety at Work (Northern Ireland) Order 1978 Legislative Requirement/ Business Need	Destroy
1.45	Health and Safety	personal safety/security including OSAP, Incident evacuation procedures, PA procedures, alert notices, etc.	7 years or when superseded	The Health and Safety at Work (Northern Ireland) Order 1978	Destroy
1.46	Health and Safety	Radiation	50 years from date of record of incident	Ionising Radiation Regulations 1985	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STAFF & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

FINANCE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Bank Account Records					
2.1	Bank Account records	Cheques and associated records	7 Years	Limitation order (NI) 1989	Destroy
2.2	Bank Account records	Bank Deposits	2 years	National Audit office requirement	Destroy
2.3	Bank Account records	Bank Re-conciliation	2 Years	National Audit office requirement	Destroy
2.4	Bank Account records	Bank Statements	2 Years	National Audit office requirement	Destroy
2.5	Bank Account records	Electronic banking and electronic funds transfer	As per paper records	Limitation order (NI) 1989	Destroy
Expenditure Records					
2.6	Expenditure Records	Cash Books / expenditure sheets	7 Years	Limitation order (NI) 1989	Destroy
2.7	Expenditure Records	Petty Cash records	2 years	National Audit Office requirement	Destroy
2.8	Expenditure Records	Creditors	7 years	Limitation Order (NI) 1989	Destroy
2.9	Expenditure Records	Statements of accounts	2 years	National Audit Office requirement	Destroy
2.10	Expenditure Records	Subsidiary Records e.g. copies of abstracts and expenditure dissections, credit note books, debit note books	2 years	National Audit Office Requirement	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

FINANCE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
2.11	Expenditure Records	Vouchers includes claims for payment, purchase orders, requisitions for goods and services, accounts payable invoices, invoices received, etc	2 years	National Audit Office Requirement	Destroy
2.12	Expenditure Records	Copies of Vouchers	1 year	National Audit Office Requirement	Destroy
2.13	Expenditure Records	Vouchers registers	2 years	National Audit Office requirement	Destroy
2.14	Expenditure Records	Voucher registration cards and payment cards	7 years	Limitation Order (NI) 1989	Destroy
2.15	Expenditure Records	Voucher summaries	1 year	National Audit Office requirement	Destroy
2.16	Expenditure Records	Costing records	2 years	National Audit Office requirement	Destroy

Ledger Records

2.17	Ledger Records	General and subsidiary ledgers	7 years	Limitation Order (NI) 1989	Destroy
2.18	Ledger Records	Related records e.g. audit sheets – ledger postings	2 years	National Audit Office requirement	Destroy
2.19	Ledger Records	Journals e.g. prime records for the raising of charges and routine adjustments	7 years	Limitation Order (NI) 1989	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

FINANCE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Receipts and Revenue Records					
2.20	Receipts and revenue records	Books / butts e.g. receipt butts / books; office copies of receipts;	7 years	Limitation (NI) Order 1989	Destroy
2.21	Receipts and revenue records	Revenue Records	7 years	Limitation (NI) Order 1989	Destroy
2.22	Receipts and revenue records	Debtors records / invoices	7 years	Limitation (NI) Order 1989	Destroy
2.23	Receipts and revenue records	Debts / refunds	7 years	Limitation (NI) Order 1989	Destroy
Salary Records					
2.24	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	7 years	National Audit Office requirement	Destroy
2.25	Salary Records	Salary ledger cards / records	7 years	National Audit Office requirement	Destroy
2.26	Salary Records	Copies of salary/ wages / payroll sheets	2 years	National Audit Office requirement	Destroy
Estate Records					
2.27	Estates Records	Administrative files relating to Estates function e.g. correspondence (internal and external)	5 years	National Audit Office requirement	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

FINANCE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
2.28	Estates Records	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.	Review 15 years after superseded or expired	National Audit Office requirement	Destroy

Tendering

2.29	Tendering	Invitation to tender	7 years from end of contract	National Audit Office requirement	Destroy
2.30	Tendering	Unsuccessful tender documents	7 years	National Audit Office requirement	Destroy
2.31	Tendering	Information held on tendering process e.g. background information, report etc	1 year after end of contract	National Audit Office requirement	Destroy
2.32	Tendering	Signed contract	Review 15 years after award of contract	National Audit Office requirement	Destroy
2.33	Tendering	Information held on contractors and suppliers	Normal review process (5 years)	National Audit Office requirement	Destroy
2.34	Tendering	List of approved suppliers	Update regularly. Destroy when list superseded	National Audit Office requirement	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

FINANCE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
2.35	Tendering	Purchase order records	7 years	Limitation Order (NI) 1989	Destroy
2.36	Tendering	Requisition Records	2 years	National Audit Office requirement	Destroy

Asset Records

2.37	Asset Records	Asset register	7 years after asset or last one in the register is disposed of	Limitation Order (NI) 1989	Destroy
2.38	Asset Records	Loss / damage to property records file	7 years	Limitation Order (NI) 1989	Destroy
2.39	Asset Records	New furniture / equipment/ asset information file	7 years	Business Need	Destroy
2.40	Asset Records	Depreciation Registers	7 years after asset or last one in the register is disposed of	Limitation Order (NI) 1989	Destroy

Other Accountable Financial Records

2.41	Other Accountable Financial Records	Financial Statements	7 years	National Audit Office requirement	Destroy
2.42	Other Accountable Financial Records	Financial Audit records	7 years	Limitation Order (NI) 1989	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

FINANCE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
2.43	Other Accountable Financial Records	Internal reporting	5 years	Business Need	Destroy
2.44	Other Accountable Financial Records	Reference material	5 years	Business Need	Destroy

Finance Forms

2.45	Finance Forms	Project Forms -	7 years	Limitation Order (NI) 1989	Destroy
2.46	Finance Forms	Applications forms for assisted car purchase scheme	7 years	Limitation Order (NI) 1989	Destroy
2.47	Finance Forms	Reimbursement forms for additional expenditure forms	7 years	Limitation Order (NI) 1989	Destroy
2.48	Finance Forms	Travel & Incidental expenditure forms	7 years	Limitation Order (NI) 1989	Destroy
2.49	Finance Forms	Travel & Subsistence claim forms	7 years	Limitation Order (NI) 1989	Destroy

Community Development Records

2.50	Community Development Records	Community Development, e.g. correspondence, external information on hostels, housing benefit, Peace II etc.	7 years	Business Need	Destroy
2.51	Community Development Records	Records on organisations who receive funding, e.g. application form, correspondence, accounts	7 years	National Audit Office Requirement	Destroy
2.52	Community Development Records	Project Application forms	7 years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

FINANCE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
2.53	Community Development Records	CD1 Forms	7 years	Business Need	Destroy
2.54	Community Development Records	CF 11/111 Forms	7 years	Business Need	Destroy
2.55	Community Development Records	Community Development evaluating forms	7 years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

SECRETARIAT

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
The Board					
3.1	Board	Board Papers e.g. Briefing	20 years	Business Need	Destroy
3.2	Board	Committee Agendas and Papers e.g. Briefing and policy papers	20 Years	PRONI guidance	Destroy
3.3	Board	Board and Committees Agendas and Minutes	20 Years	Business Need	Permanent Preservation – In PRONI
3.4	Board	Insurance of Board Members	3 years	Business Need	Destroy
3.5	Board	Register of members interests (Board & Senior Mgt)	6 years from their appointment	Business Need	Destroy
3.6	Board	Personal information on Board Members	6 years from their appointment	Business Need	Destroy
3.7	Board	Administrative files relating to the Board and Committees e.g. correspondence, (NIO, Crown Solicitor, other Criminal Justice Organisations) external information	6 years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

MANAGEMENT

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
4.1	Policy and Procedure	Policies and Procedures and guidelines relating to operational and administrative functions.	Until Superseded	Business Need	Permanent retention in PBNI
4.2	Standards	NI Standards and Service Requirements	Until Superseded	Business Need	Permanent retention in PBNI.

Management Meetings at Senior and team level

4.3	Meeting Documents	Agendas of Senior Management	5 years	Business Need	Destroy
4.4	Meeting Documents	Senior Management Team meeting Minutes	5 years	Business Need	Destroy
4.5	Meeting Documents	Papers e.g. Policy and Briefing papers for Senior Management and Team meetings	5 years	Business Need	Destroy
4.6	Meeting Documents	Reports presented by/to Senior Management Team	5 years	Business Need	Destroy
4.7	Meeting Documents	Information from Working / Steering groups	5 years	Business Need	Destroy
4.8	Senior Manager Documents	Reviews, Inspections and Audits (External and Internal)	5 years	Business Need	Destroy
4.9	Senior Manager Documents	Administrative files relating to relevant senior managers area of work e.g. prison, courts etc.	5 years	Business Need	Destroy
4.10	Senior Manager Documents	Response for Assembly Questions and PQ's	5 years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

STATISTICS AND RESEARCH

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
5.1	Statistics	Caseload audits	5 Year	Business Need	Destroy
5.2	Statistics	Workload statistics – returns from teams; collated monthly statistics – all information held electronically	5 Year	Business Need	Destroy
5.3	Statistics	Monitoring – returns from teams, collated monthly statistics	5 Year	Business Need	Destroy
5.4	Statistics	Query directory – held electronically	5 years	Business Need	Destroy
5.5	Research	Research on various subjects relating to Probation (divided by project)	5 years	Business Need	Destroy
5.6	Statistics	Summary Statistics	5 years	Business Need	Destroy
5.7	Statistics	Department of Justice Overview Statistics	5 years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

INFORMATION AND TECHNOLOGY

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Technical					
6.1	Technical	Application/software details (including installation guidelines)	Retain until superseded	Business Need	Destroy
6.2	Technical	Operational support logs, Backup logs	5 years	Business Need	Destroy
6.3	Technical	Infrastructure documentation, Network topography documentation, IT asset register, Email lists	Retain until superseded	Business Need	Destroy
Procedures					
6.4	Technical	Backup, Helpdesk, Desktop, Password protection, Email, RAS, etc.	Until superseded	Business Need	Destroy
General					
6.5	Technical	3rd party support contact information and contracts	Until superseded	Business Need	Destroy
6.6	Technical	Administrative files relating to Information Technology e.g. correspondence, research	5 years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

INFORMATION SERVICES

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Information Services					
7.1	Information Services	Administrative files relating to Electronic Case Management System e.g. correspondence, research	5 years	Business Need	Destroy
7.2	Information Services	Administrative files relating to e.g. Causeway correspondence, research	5 years	Business Need	Destroy
7.3	Information Services	Administrative files relating to Information Services	5 years	Business Need	Destroy
7.4	Information Services	Administration files relating to Content Manager e.g. deletion requests, access change requests, Project meetings. Correspondence etc	5 Years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

ADMINISTRATIVE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Reference					
8.1	Administrative	Written notes relating to the work of Probation	Dispose of after one year	Business Need	Destroy
General Administration items					
8.2	Administrative	Staff Appointment/Working diaries	2 Years	Business Need	Destroy
8.3	Administrative	Incoming post log and outgoing post log	1 year	Business Need	Destroy
8.4	Administrative	Office Appointment Book	1 year	Business Need	Destroy
8.5	Administrative	Supervision Notes	1 year	Business Need	Destroy
8.6	Administrative	Record of general office requests	1 year	Business Need	Destroy
8.7	Administrative	Signing in book – staff/contractors/visitors	1 Year	Control of Asbestos at Work Regulations 2012	Destroy unless Asbestos referenced
8.8	Administrative	Signing in book –service users	1 Year	Business Need	Destroy
8.9	Administrative	Fire Log tests and inspections	18 months	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

ADMINISTRATIVE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
8.10 ¹	Administrative	Records relating to (FOI) non personal information requests, including the actual request, PBNI response and any interim communication with the requester under the Freedom of Information Act (FOI) and Environment Information Regulations (EIR). This applies to information held whether it is released or not released.	3 years from date request sent	FOI Act 2000; Data Protection Act 1998; EIR 2004, Copyright, IPR and European Convention on Human Rights	Destroy
8.11	Administrative	Records relating to (SAR) personal information requests, including the actual request, PBNI response and any interim communication with the requester. This applies to information held whether it is released or not released.	In line with retention period for type of order or HR retention period.	NICS Standard	Destroy
8.12	Administrative	PBNI Retention and Disposal Schedule	Permanent Retention	PRONI Guidance	Permanent Retention in Organisation
8.13	Administrative	Papers used in the compilation of the Disposal Schedule	3 years or until current schedule is superseded	PRONI Guidance	Destroy

¹ Information under the Data Protection Act or Freedom of Information Act. Destruction should be delayed for 1 year after 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.

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

COMPLAINTS

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Records of Complaints					
9.1	Administrative	Administrative files relating to complaints e.g. correspondence, research	3 years	Business need	Destroy
9.2	Complaint	Stage 1 and Stage 2 complaint information. This includes correspondence with complainant, details of enquiries and investigations; reports etc.	5 years	Business need	Destroy
9.3	Complaint	Register of complaints	5 years	Business need	Destroy
9.4	Complaint	Files relating to correspondence with Northern Ireland Public Services Ombudsman	10 years	Business need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

COMMUNICATIONS

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
PR & Communication					
10.1	Communications	Administrative files relating to Communications e.g. correspondence, research	3 years	Business Need	Destroy
10.2	Communications	Background files used in developing publications e.g. newsletters, annual reports, business and corporate plans, photographs (including consent for photograph forms), videos	3 years	Business Need	Destroy
10.3	Communications	Photos, Podcasts, videos and graphics	5 years	Business Need	Destroy
10.4	Communications	Internal and external website content management, including PBNI mobile app	Remove the information when updated	Business Need	Destroy
10.5	Communications	Internal and external communications - survey responses, analysis and reports. Social media audits and stakeholder list (including permission form)	3 years	Business Need	Destroy
10.6	Communications	Information held on the media e.g. contacts, press cuttings, press releases, media enquiries	3 years	Business Need	Destroy
10.7	Communications	Responses to external consultations – notes, minutes of SRG meetings, consultation responses	5 years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

COMMUNICATIONS

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
10.8	Communications	Administrative records for the planning of events – invitation lists, speeches, agendas	3 years	Business Need	Destroy
10.9	Communications	Returned post	1 year	Business Need	Destroy
Annual Publications					
10.10	Publications	Business Plans	Dispose of when updated	Business Need	PRONI Appraisal
10.11	Publications	Corporate Plans	5 years from publication	Business Need	PRONI Appraisal
10.12	Publications	Annual Report	5 years from publication	Business Need	PRONI Appraisal
10.13	Publications	Information Leaflet	Dispose of when updated	Business Need	Destroy
Internal Publications					
10.14	Publications	Team Business Plans	Dispose of when updated	Business Need	Destroy
10.15	Publications	Probation News	5 years	Business Need	Destroy
Public Affairs					
10.16	Public Affairs	Assembly Questions and Responses	5 Years	Business Need	PRONI Appraisal
10.17	Public Affairs	Department of Justice Questions and Answers	5 Years	Business Need	PRONI Appraisal

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

COMPLIANCE

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Compliance					
11.1	Compliance	Administrative files relating to Freedom of Information (FOI) and Environment Information Regulations (EIR)e.g. correspondence, research	3 years	Business Need	Destroy
11.2	Compliance	Administrative files relating to Data Protection Act (DPA) e.g. correspondence, research, advice	3 years	Business Need	Destroy
11.3	Compliance	Administrative files relating to Records Management e.g., correspondence, research on policy etc.	3 years	Business Need	Destroy
11.4	Compliance	Files relating to PRONI review	15 years -	Business Need	Destroy
11.5	Compliance	Data Protection Impact Assessments (DPIA)	Retain until end of project	Business Need	Destroy
11.6	Compliance	Data Sharing Agreements with external organisations	Retain until end of agreement or updated	Business Need	Destroy
11.7	Compliance	Information Sharing Protocols and Memorandum of Understanding	Retain until revoked or updated	Business Need	Destroy
11.8	Compliance	Administrative files relating to data incidents, internal information.	3 years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

TRAINING

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Training					
12.1	Training	Administrative files relating to training e.g. correspondence	2 years	Business Need	Destroy
12.2	Training	Evaluation of training events	3 years	Business Need	Destroy
12.3	Training	Course / conferences / bursaries	5 years	Business Need	Destroy
12.4	Training	Student assessments, reports and training records	10 year after placement has ended	Business Need	Destroy
12.5	Training	Staff training	Until employee has left employment.	Business Need	Destroy
12.6	Training	Video recordings of staff training	5 years	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

OPERATIONAL / SERVICE USER

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Probation Records on Service Users					
13.1	Service User	PSRs where no Probation Order has been made (All documents including handwritten notes)	1 year	Business Need	Destroy
13.2	Service User	Daily ICOS lists	3 months	Business Need	Destroy
13.3	Service User	Statutory Supervision Case Files (incl. Probation Order, Community service, DCS, ECO, Combination Orders and PPANI Cat 1)	5 years	Business Need	Destroy
13.4	Service User	Records for Schedule 1 (Offences against a child), Life Licence, Public Protection Sentences (ECS and ICS) and Sex offenders (those who are categorised under PPANI Categories 2 and 3)	99 years after DOB Review every 10 years	Business Need	PRONI Appraisal
13.5	Service User	Non-Statutory Case Files (Previously termed Inescapable Voluntaries) i.e. Service Users not on a statutory supervision order.	5 years	Business Need	Destroy
13.6	Service User	Non-Statutory Records for Schedule 1 (Offences against a child), Life Licence, Public Protection Sentences (ECS and ICS) and Sex offenders (those who are categorised under PPANI Categories 2 and 3)	99 years after DOB Review every 10 years	Business Need	PRONI Appraisal

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

* Information limited to name, DOB, commencement and termination dates of supervision are retained following the relevant retention period for operational records to ensure that PBNI has a record of the disposal of case files.

OPERATIONAL / SERVICE USER

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
13.7	Service User	GB Transfers	5 years	Business Need	Destroy
13.8	Service User	ARCO criminal Records (NOTE - Causeway criminal records not to be retained)	5 years	Business Need – to be retained for case management/recall purposes	Destroy

Programme Records

13.9	Administrative	Administrative files relating to programmes e.g. correspondence, external information.	5 years	Business Need	Destroy
13.10	Service User	Programmes	5 years	Business Need	Destroy
13.11	Service User	Video recordings of programmes	5 years from recording	Business Need	Destroy

Psychology files

13.12	Administrative	Administrative files relating to psychology department e.g. correspondence, external information.	5 years	Business Need	Destroy
13.13	Service User	Psychology Training Packs	5 years	Business Need	Destroy
13.14	Service User	Psychology case file (where a Service User is not the subject of PBNI supervision)	5 years	Business Need	Destroy
13.15	Service User	Psychology case file (statutory supervision service user)	5 years	Business Need	Destroy

1	HR
2	FINANCE
3	SECRETARIAT
4	MANAGEMENT
5	STATS & RES
6	IT
7	INFO SERVICES
8	ADMIN
9	COMPLAINTS
10	COMMS
11	COMPLIANCE
12	TRAINING
13	OPERATIONAL

OPERATIONAL / SERVICE USER

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
13.16	Service User	Psychology case file Records for Schedule 1 (Offences against a child), Life Licence, Public Protection Sentences (ECS and ICS) and Sex offenders (those who are categorised under PPANI Levels Categories 2 and 3)	99 years after DOB of the offender	Business Need	PRONI Appraisal
13.17	Service User	Psychology case file (non-statutory supervision)	5 years	Business Need	Destroy
Victim					
13.18	Administrative	Administrative files relating to Victims Unit e.g. correspondence, external information.	5 years	Business Need	Destroy
13.19	Service User	Victim case file Records for Schedule 1 (Offences against a child), Life Licence, Public Protection Sentences (ECS and ICS) and Sex offenders (those who are categorised under PPANI Categories 2 and 3)	99 years after the DOB of the Service User	Business Need	Destroy
13.20	Service User	Victim case file (statutory, non- statutory supervision case), Victims Unit database	5 years	Business Need	Destroy
13.21	Service User	PBNI Victims Unit Database for victims of Schedule 1 (Offences against a child), Life Licence, Public Protection Sentences (ECS and ICS) and Sex offenders (those who are categorised under PPANI Categories 2 and 3)	99 years after DOB of service user	Business Need	Destroy

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

OPERATIONAL / SERVICE USER

Ref No.	Type of Record	Example of Record	Retention period	Rationale	Final Action
Office Security					
13.22	Security	CCTV Requests Form 81	5 years	Business Need	Destroy
13.23	Security	CCTV Footage	30 days	CCTV Contract	Destroy (automatic deletion)
Prison					
13.24	Service User	Inductions (forms/notes/ cards etc)	1 year	Business Need	Destroy
13.25	Service User	Prison release dates	1 year	Business Need	Destroy
13.26	Service User	Time served lists	1 year	Business Need	Destroy
13.27	Service User	Warrants	5 years	Business Need	Destroy
Hostels					
13.28	Service User	Administrative files relating to hostels	5 years	Business Need	Destroy
13.29	Service User	Hostel Application forms	5 years/99 Years	Business Need	Destroy
13.30	Standards	Hostel Standards	Dispose of when updated	Business Need	Destroy
Substance Misuse Court					
13.31	Service User	Substance Misuse Court cases	2 years	Business Need	Destroy
Terrorist Related Offence					
13.32	Service User	Terrorist Related Offences (TRO)	5 years	Business Need	PRONI Appraisal

- 1 HR
- 2 FINANCE
- 3 SECRETARIAT
- 4 MANAGEMENT
- 5 STATS & RES
- 6 IT
- 7 INFO SERVICES
- 8 ADMIN
- 9 COMPLAINTS
- 10 COMMS
- 11 COMPLIANCE
- 12 TRAINING
- 13 OPERATIONAL

SECTION 5: SIGNATORIES

Signed in Accordance with the Public Records Act (Northern Ireland) 1923

Wesley Geddis

Wesley Geddis, Acting Head of Records Management Cataloguing and Access Section,
Public Records Office of Northern Ireland

David Huddleston

David Huddleston, Director, Public Record Office of Northern Ireland

John Greer

John Greer, Interim Permanent Secretary, Department for Communities

Amanda Stewart

Amanda Stewart, Chief Executive, Probation Board for Northern Ireland

Gail McGreevy

Gail McGreevy, Head of Communications, Probation Board for Northern Ireland

APPENDIX A: GLOSSARY

ACE	Assessment case management and evaluation system
AVC	Additional Voluntary Contributions
Causeway	This is a joint enterprise by the Criminal Justice organisations in Northern Ireland that seeks to improve their performance by sharing information electronically
CD1 Forms	Application for one off funding
CF 11 Forms	Area Manager's recommendations on funding application
CF 111 Forms	Community Development Evaluation form
CM	Content Manager
CO	Combination Order (a Probation Order and Community Service Order)
COSHH	Control of Substances Hazardous to Health
CPO	Custody Probation Order
CS	Community Service
CSO	Community Service Order
Deposition	Total package of Court documentation issued in respect of a case – includes witness statements, defence statements, etc
Disposal	The way in which information is discarded
DOB	Date of Birth
DOJ	Department of Justice
DPA	Data Protection Act
ECMS	Electronic Case Management System
ECS	Extended Custodial Sentence
EIR	Environmental Information Regulations
FOI	Freedom of Information
Gate Keeping	The process used to monitor and evaluate current practice and processes in relation to record keeping
HR	Human Resources
H & S	Health and Safety
ICS	Indeterminate Custodial Sentence
JJCO	Juvenile Justice Centre Order
JJCO YJU	Juvenile Justice Centre Order from the Youth Justice Unit
KPM	Key Performance Measures

APPENDIX A: GLOSSARY

Risk of Serious Harm	This refers to service users who have been assessed for risk of harm and risk of re-offending and have been deemed potentially dangerous
Mgt	Management
NIO	Northern Ireland Office
PAMS	Personnel Administrative Management System
PBNI	Probation Board for Northern Ireland
PDU	Programme Delivery Unit
PIMS	Probation information Management System.
PQ	Parliamentary Questions
Programmes	Probation run a number of programmes aimed at preventing re-offending. e.g. anger management; drink drive etc
PRONI	Public Record Office of Northern Ireland
PR	Public Relations
PSR	Pre-Sentence Report
Public Protection Sentences	These prison sentences are for sexual and violent offences and can only be used if the judge decides that there is a risk of the defendant committing further offences which cause serious harm to the public
Retention	This is the time period for which the information is kept
Schedule 1	Schedule 1 of the Children and Young Persons (NI) Act 1968 refers to any offence (physical or sexual) against a child (under 18)
SSP	Statutory Sick Pay
Stats	Statistics
Statutory Supervision	Service users who have gone through the court system and for whom PBNI have a legal obligation to supervise.
SU	Service User



PBNI Probation Board
for Northern Ireland

© Probation Board for Northern Ireland
80-90 North Street
Belfast BT1 1LD

T 028 9052 2522

E info@probation-ni.gov.uk

W www.pbni.org.uk

May 2025