

Local Government Staff Commission
For Northern Ireland



**RECORDS MANAGEMENT POLICY
AND
RETENTION AND DISPOSAL SCHEDULE**

June 2013

CONTENTS

PAGE

GLOSSARY OF TERMS

SECTION 1 – BACKGROUND AND INTRODUCTION

1

The Commission's Records Management Policy

2

Purpose of the Retention and Disposal Schedule

4

SECTION 2 – WHAT IS COVERED BY THIS SCHEDULE?

5

Electronic Documents/Material

5

Email

6

SECTION 3 – CATEGORIES OF RETENTION/DISPOSAL

7

Determined on Review

7

Commission Permanent Preservation

7

Public Record Office Permanent Preservation

7

Destroy

7

SECTION 4 – OPERATION OF THIS SCHEDULE

8

Closing a file

8

Retention Period

9

Destruction

9

Review

10

PRONI Permanent Preservation

11

Commitment to Preserving Files/Records

11

Roles and Responsibilities

12

SECTION 5 – LGSC RETENTION & DISPOSAL SCHEDULE

Business Area Function

Corporate Governance

13

Recruitment & Diversity

19

Talent & Development

22

People Strategies

25

Appendix 1 – Register of files/records destroyed

28

Appendix 2 - What Information does NOT need captured in the
Records Management System

29

SECTION 6 – DISPOSAL SCHEDULE SIGNATORIES

30

GLOSSARY OF TERMS

ADR	Alternative Dispute Resolution
APSE	Association of Public Service Excellence
DOE	Department of the Environment
HR	Human Resources
HRWG	Human Resources Working Group
ICE	Improvement, Collaboration and Efficiency
KPA	Key Performance Area
LGMA	Local Government Management Agency
LGRJF	Local Government Reform Joint Forum
LGSC	Local Government Staff Commission
LGTG	Local Government Training Group
LRA	Labour Relations Agency
NIHE	Northern Ireland Housing Executive
NILGA	Northern Ireland Local Government Association
OD	Organisational Development
PPMA	Public Sector People Managers' Association
PSC	Public Service Commission
RPA	Review of Public Administration
RTOB	Regional Transition Operational Board
SMT	Senior Management Team
SOLACE	Society of Local Authority Chief Executives

SECTION 1 – BACKGROUND AND INTRODUCTION

The Local Government Staff Commission for Northern Ireland (the Commission) is an Executive Non-Departmental Public Body established under the Local Government Act (NI) 1972. The Commission's powers were later extended under the Housing Orders 1976 and 1981 and the Local Government (Miscellaneous Provisions) (NI) Order 1992.

In general, the terms of reference for the Commission are to exercise:

'general oversight of matters connected with the recruitment, training and terms and conditions of employment of officers of councils and the Northern Ireland Housing Executive and of making recommendations to councils and the Northern Ireland Housing Executive on such matters.'

[Local Government Act (Northern Ireland) 1972 as amended by the Housing Orders (NI) 1976 and 1981]

This document sets out the Commission's approach and procedural arrangements for managing its documentation within the organisation, making specific reference to the retention and disposal of documentation and providing specific detail as to how documents are handled with the overall aim of bringing a standardised approach across the organisation.

This Document will replace the Commission's current Retention & Disposal Schedule approved by PRONI in 2008 and should be read by all employees and third parties wishing to access information held by the Commission.

The Commission's Records Management Policy

The Commission recognises that its administrative records are an irreplaceable account of the service it provides to local government. The proper management of this resource is necessary to satisfy its internal business processes and to comply with legislation, including the Freedom of Information Act 2000, which provides for access to information held by the Commission.

This document together with the accompanying Retention & Disposal Schedule at Section 5 is the Commission's commitment to developing and implementing a standardised records management system across the organisation. Crucial to its success will be standardised implementation of the records management system by Directors and senior officers.

The following summarises the Commission's service delivery structure reflected in the Retention & Disposal Schedule at Section 5.

Corporate Governance - Chief Executive's Department

This incorporates the Chief Executive's office, HR records, Corporate Documents, Staff Commission papers, including all those relating to Commission members, and all Finance and Policy documents relating to the Commission. The Commission's strategic objective for this area of work is 'To provide the highest level of public service standards in all areas of the Commission's operation.'

Recruitment and Diversity

A Commission Director is responsible for Recruitment and Diversity and the Strategic Objective for Recruitment is 'To ensure that councils and the Northern Ireland Housing Executive (NIHE) have effective recruitment practices which treat all applicants fairly and equitably'. This entails updating the Code of Procedures on Recruitment and Selection and conducting regular effectiveness audits on same, administering Chief Executive and senior Appointments in councils/NIHE, providing observers, assessment arrangements, independent assessors and ensuring adequate training and guidance is provided to the sector on implementing the Code. General employment queries are addressed on a regular basis.

The same Director is responsible for Diversity and linked to its oversight role, the Commission monitors the fair employment practices of councils, issues guidance, provides seminars, and agrees the practical application of equality and diversity policies for implementation across Local Government with the Equality Commission. The Director is secretariat to the Equality and Diversity Group and the Strategic Objective for Diversity is 'To ensure fair and equitable treatment for all by promoting an environment free from all forms of unlawful discrimination and where diversity is valued.'

Talent and Development

A Commission Director is responsible for Talent and Development. The Talent role involves assisting councils with the staffing implications of organisation design, development and change, together with researching and promoting Organisational Development (OD) tools and techniques in local government, particularly to support preparations for local government reform and/or the ICE programme implementation. The Strategic Objective for Talent is 'To ensure that local government sustains flexible, 'fit for purpose' organisations, which can respond to change and meet customer needs in an atmosphere of continuous improvement

While the Commission retains its oversight role in relation to training and development, in 1993 it established a provider body (The Local Government Training Group) (LGTG) consisting of end users to ensure that on-going joint Local Government training initiatives were relevant to the current and future needs of councils. This ensures that the Commission can set training standards and monitor performance without having to commit additional resources by way of training advisors or providers. A Commission Director is the secretariat to the LGTG and the Strategic Objective for Development is 'To support the development of a flexible workforce, with enhanced knowledge and skills and to build capacity in the sector to deliver strong, dynamic local government'.

People Strategies

A Commission Director is responsible for People Strategies and this entails leading the implementation of the People/OD Strategic Framework for local government, which involves co-ordinating the work of Pillar Working Groups and the Programme Board. The Strategic Objective for this area is 'To develop and implement a People/OD Strategy for local government which will deliver on the workforce issues necessary to address the business priorities of the sector.'

The same Director is responsible for Employee Relations which entails acting as secretariat to the Northern Ireland Joint Council for Local Government and the Local Government Reform Joint Forum and providing employee relations advice to councils and also provides them with information and support on meeting statutory health and safety strategy requirements and offers guidance on occupational health and improving staff well-being. The Strategic Objective for employee relations is 'To ensure that effective, productive and harmonious working environments and staff/management relationships are sustained within local government.'

More information on the work of the Commission is available at www.lgsc.org.uk

Purpose of the Retention and Disposal Schedule

The Retention & Disposal Schedule aims to support the development of greater control over the records created by the Commission. It will enable the Commission 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).

SECTION 2 - WHAT IS COVERED BY THIS RETENTION AND DISPOSAL SCHEDULE?

This schedule identifies the retention and disposal arrangements for all records created by the Commission. A record is recorded information, in any form, created or received by the Commission or individual members of staff to support and show evidence of Commission activities. For the purpose of the Commission's Records Management Policy, records are defined as:

“Recorded information, in any form, created or received and maintained by an Commission or person in the transaction of business or conduct of affairs and kept as evidence”

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

Electronic Documents/Material

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

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

Email

Emails potentially form part of the Commission's corporate record and, therefore, are subject to its records management policies and procedures. All staff, therefore, should review incoming and outgoing emails to decide whether the information they contain should be retained as part of the corporate record. As with other electronic documents and material, where an email message forms part of the corporate record, it should be printed off and placed on the relevant file. The email should then be deleted from the personal mailbox and any "deleted items" box.

Where a member of staff wishes to keep an email message for administrative or reference purposes, it should be moved into a relevant area. These messages should be deleted when they have ceased to be of use for reference purposes. Ephemeral email messages, which are not required for either administrative or reference purposes, should be deleted immediately.

Incoming and outgoing emails are potentially covered by the Data Protection Act if one or other of the following criteria is met:

- The sender or recipient is identifiable, either through their email address or the text of the email; or
- The text of the email contains personal data, i.e. facts, opinions or intentions about identifiable living individuals.

The Data Protection Act specifically requires that personal data should not be kept for longer than necessary. Any emails containing personal information should therefore be deleted as soon as they are no longer of administrative value.

SECTION 3 - CATEGORIES OF RETENTION / DISPOSAL

There are four broad categories of retention / disposal which apply to paper records, listed below.

Determined on Review

These are records requiring appraisal. They are appraised by Commission staff at specified periods to determine if there is a continuing business need for retention and by PRONI staff to determine if they are required for historical or research purposes.

Commission Permanent Preservation

There are likely to be few records which fall into this category but they are records which the Commission needs to retain permanently for business administrative needs.

Public Record Office Permanent Preservation

These are files/records which PRONI has decided are of long-term historical research value. These records must be transferred to PRONI.

Destroy

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

SECTION 4 - OPERATION OF THIS RETENTION AND DISPOSAL SCHEDULE

Closing a file

In order for this retention and disposal schedule to operate effectively, it is important to maintain a streamlined filing system through regular and systematic closure of files.

Closing a file does not mean that it has to be immediately removed from the filing system. What it does mean is that no additional papers should be added to the file and that it should be used only for reference. If files are not closed on a formalised and regular basis the following problems are likely to occur:

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

Regular file closure has the following benefits:

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

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

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

In addition, some files should be closed at:

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

When a file is due to be closed the appropriate member of staff should consult the retention and disposal schedule and indicate on the file the date on which it can be destroyed, transferred to the Public Record Office of Northern Ireland, or whether it should be subject to the normal review procedures.

Retention Period

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

Destruction

Directors/senior officers will dispose of files as determined in the Records and Disposal Schedule as detailed in Section 5. Destruction of files will take place in line with Commission's arrangements for the disposal of confidential files as authorised by the Chief Executive via Confidential Shredding.

A record of all files destroyed will be kept for audit purposes using the form attached as Appendix 1.

Review

Where the retention and disposal schedule indicates that the appropriate action in relation to any file is review, this will be carried out systematically, so as to eliminate redundant information and reduce the bulk of records held, while ensuring that no papers likely to be required for business continuity reasons and/or permanent preservation are destroyed. A file may be reviewed a number of times:

On Closure	A file should be reviewed immediately on being closed. The long term value may be quite clear at this stage and staff should indicate their decision on the file's retention / disposal when it is being closed, if not already specified in the retention and disposal schedule.
First Review	Review five years after the file was closed. Procedures shall be put in place to ensure that these records are reviewed at the appropriate stage.
Second Review	There may be occasions when it proves impossible to reach a decision on a file at first review. Such files may be put away for examination at a later stage, no more than 10 years after the file was opened. If this is the case systems shall be put in place to ensure that the second review takes place.

PRONI Permanent Preservation / Copy Sent To PRONI

Where the action is PRONI Permanent Preservation, the records need not undergo the normal review procedures. Appropriate arrangements will be put in place to ensure timely transfer to PRONI.

Commitment to Preserving Files/Records

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

- Removing paper clips and pins from papers before filing with particular; attention being given to those records, which, according to the Retention and Disposal Schedule, are to be preserved permanently;
- Removing any CDs and other storage devices from paper files and converting its contents to hard copy;
- Using files with file covers as opposed to buff folders, which do not offer the same protection to the papers inside;
- Using continuation files if files get too bulky (i.e. more than 2.5 cm thick);
- Punching papers to be filed 25mm in and 25mm down from the edge to minimise the danger of detachment and resulting loss of information;
- Storing bulky or outsize items in a pocket or envelope inside the file cover on the left hand side.

Roles and Responsibilities

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

The Office Manager (OM) and the Policy Officer (PO) are responsible for:

- Ensuring that the Records Management Policy is implemented effectively;
- The provision of record management guidance to Commission staff;
- Producing procedures documenting all necessary record management arrangements;
- Regularly reviewing and where necessary amending record management policies and procedure statements;
- Making recommendations to the Senior Management in relation to changes or improvements; and
- Liaising with the Public Record Office to ensure that the Commission complies with NIRMS (Northern Ireland Records Management Standard).

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

The Chief Executive/Directors are responsible for:

- Ensuring that the agreed Commission records management policy and procedures are fully observed and implemented within their area of responsibility;
- Ensuring that all staff within their area of responsibility receive the appropriate training.

All members of staff are responsible for:

- Documenting their actions and decisions, and for maintaining the records in accordance with the Commission's agreed policies and practices.

SECTION 5 – LOCAL GOVERNMENT STAFF COMMISSION RETENTION & DISPOSAL SCHEDULE

Business Area Function – CORPORATE GOVERNANCE - **STAFF COMMISSION**

Business Area – Corporate Governance - Staff Commission					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
SCB	Staff Commission: Agenda & Papers & Minutes Sub-Group/Committee Papers, eg, Audit Committee Commission Initiatives	Closed in line with records management guidelines	5 years	Retained in-house for reference purposes	Review by OM prior to disposal action. Disposal action being - Permanent Preservation to PRONI
SCB	Chairman’s Briefing Notes		For duration of meeting	Destroy after meeting	Review by OM prior to disposal action. Disposal action being – Destroy
SCB	Internal Meetings, eg, Senior Officer meetings	Closed after meeting	3 years	Retained in-house for reference purposes	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	Investor in People final reports	Closed in line with records management guidelines	6 years	Retained in-house for reference purposes	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	Legal Documents	Closed in line with records management guidelines	Indefinitely	Retained in-house for reference purposes	Determined on Review

Business Area Function – CORPORATE GOVERNANCE - STAFF COMMISSION

Business Area – Corporate Governance - Staff Commission					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
SCB	Commission Members' Register of Interests	Closed at the end of the Commission Members' term of office	5 years	For reference purposes	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	Commission Members' Assessments	Closed at the end of the Commission Members' term of office	5 years	For reference purposes Originals signed and submitted to DOE	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	Hospitality Register	Closed in line with records management guidelines	5 years	For reference purposes	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	Officers' Register of Interests	Closed annually	5 years	For reference purposes	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	Health & Safety Compliance related files – fire/asbestos/legionella/emergency lighting, etc	Closed in line with records management guidelines	Until replaced	For reference purposes	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	Review of the Staff Commission	Closed in line with records management guidelines	20 years	For reference purposes	Review by OM prior to disposal action. Disposal action being - Permanent Preservation to PRONI

Business Area Function – CORPORATE GOVERNANCE - STAFF COMMISSION

Business Area – Corporate Governance - Staff Commission

SCHEDULE OF RECORDS

File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
SCB	LGSC Recruitment Exercises	Closed when recruitment exercise is complete	1 year 3 years if a complaint is received	If a complaint is received keep <u>all</u> info for 3 years. Always keep for 3 years <u>summary</u> info (including monitoring forms, no of applicants, shortlisted, interviewed, etc to enable Monitoring Officer to complete Article 55 Review monitoring returned.	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	LGSC Personnel Records	Closed when officer leaves LGSC	3 years	Keep <u>all</u> info for 3 years. <u>Always keep</u> for 3 years <u>summary</u> info (including monitoring forms, no of applicants, shortlisted, interviewed, etc to enable Monitoring Officer to complete Article 55 Review monitoring returned.	Review by OM prior to disposal Disposal action being - Destroy Summary of personnel records should be kept for 100 years as per TNA guidance for personnel records
SCB	Freedom of Information requests and responses provided under the FOI Act	Closed in line with records management guidelines	3 years	Retained for reference purposes	Review by OM prior to disposal. Disposal action being - Destroy

Business Area Function – CORPORATE GOVERNANCE - STAFF COMMISSION

Business Area – Corporate Governance -Staff Commission					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
SCB	Annual Leave Records	Closed annually at end of leave year	1 year	Retained for reference purposes	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	Information from outside bodies, eg, SOLACE, CEF, APSE	Information file only	1 year	Retained for reference for one year back and destroyed	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	LGSC Sickness Records	Closed annually at end of leave year	3 years after person leaves	Retained 5 years back for current staff	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	RPA related files, including papers from RTOB WG, HRWG, Communication WG, etc	Closed in line with records management guidelines	3 years	Retained for reference	Review by Director prior to disposal action. Disposal action being - Destroy
SCB	ICE related files	Closed in line with records management guidelines	3 years	Retained for reference	Review by Director prior to disposal action. Disposal action being - Destroy
SCB	Information from PSC	Closed annually	3 years	Retained for reference purposes	Review by OM prior to disposal action. Disposal action being - Destroy

Business Area Function – CORPORATE GOVERNANCE - STAFF COMMISSION

Business Area – Corporate Governance -Staff Commission					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
SCB	Corporate Plans and Annual Reports	Closed annually	10 years	Retained in-house for reference purposes	Posted to PRONI for permanent preservation
SCB	Website Management and IT Maintenance Files	Closed annually	3 years	Retained for reference purposes	Review by OM prior to disposal action. Disposal action being - Destroy
SCB	LGSC Conference	Closed 3 months after conference	3 years	Retained for reference	Review by Director prior to disposal action. Disposal action being – Destroy
SCB	Files relating to ‘Liaison Meetings’, eg, LGSC/DOE and LGSC/DOE and NILGA	Closed in line with records management guidelines	5 years	Retained for reference	Review by OM prior to disposal action. Disposal action being – Determined on review
SCB	HR Standards and Working Group Papers	Closed in line with records management guidelines	5 years	Retained for reference	Review by Director prior to disposal. Disposal action being - Permanent Preservation to PRONI
SCB/F	Administration files containing general information e.g. payments & invoices, procedures, etc.	Closed on a financial year basis	7 years	Under Government Accounting NI Regulations (38.1.6) all financial papers must be retained for 7 years	Review by business area prior to disposal – Disposal Action being Destroy

Business Area Function – CORPORATE GOVERNANCE - STAFF COMMISSION

Business Area – Corporate Governance - Staff Commission

SCHEDULE OF RECORDS

File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
POL	Policy Files containing policies relating to employment and corporate governance of LGSC, eg, consultations, risk register, etc.	Closed in line with records management guidelines. Amended in line with DFP Guidance (on-going)	5 years	Important policy documents will go to Commission meetings and be preserved in Commission papers	Review by PO prior to disposal action. Disposal action being - Destroy
POL	Tender Documents for all areas of Commission work	Closed at the end of the tender exercise	Retained whilst active and then 3 years after conclusion of Contract	Retained in-house for reference purposes	Review by Director prior to disposal. Disposal action being Destroy
POL	Service Level Agreements LGSC/LGTG, LGSC/Newtownabbey BC (Procurement) etc.	Closed in line with records management guidelines	Retained whilst active and then 3 years after conclusion of Agreement	Retained in-house for reference purposes	Review by Director prior to disposal. Disposal action being - Determined on review

Business Area Function – RECRUITMENT & DIVERSITY

Business Area – Recruitment & Diversity					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
R&D	Observer Files (Observer Form and notes, Job Description, specification, etc.) *Observer information is retained in-house for <u>all</u> recruitment exercises administered by the Commission	Closed when recruitment exercise is complete	3 years	For reference	Review by Director prior to disposal action. Disposal action being - Destroy
R&D	Chief Executive Recruitment and all other recruitment exercises administered by the Commission	Closed when recruitment exercise is complete	Return file to council within 2 months of interview panel *See above re Observer files	Council to store file in line with Records Management Retain copy of workbook in-house for 3 years for reference purposes	Review by Director and return file to council – final action Destroy
R&D	Assessment Centres	Closed in line with records management guidelines	3 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
R&D	Chief Executive Recruitment Workbook Master and Templates	Retained indefinitely subject to updates	On-going	Master used for CEx recruitment – completed work book is with each CEx recruitment exercise.	Review by Director prior to disposal action. Disposal action being - Determined on review

Business Area Function – RECRUITMENT & DIVERSITY

Business Area – Recruitment & Diversity					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
R&D	Review of Code of Procedures on Recruitment and Selection <i>Actual Code is captured in Commission papers for Permanent Preservation</i>	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Determined on review
R&D	Code of Procedures queries	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
R&D	Observer training	Closed following training session	10 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
R&D	RPA Vacancy Control queries	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal Action being - Destroy
R&D	General information from other bodies, eg Equality Commission, etc	Closed in line with records management guidelines	3 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy

Business Area Function – RECRUITMENT & DIVERSITY

Business Area – Recruitment & Diversity					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
R&D	Equality and Diversity Group Agenda, Papers and Minutes	Minutes incorporated into LGSC minutes Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Determined on review
R&D	Equality & Diversity information	Closed in line with records management guidelines	3 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
R&D	LGSC Equality Scheme <i>Equality Scheme is captured in Commission papers for Permanent Preservation</i>	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
R&D	Network meetings	Closed in line with records management guidelines	3 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
R&D	LGSC Disability Action Plan	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy

Business Area Function – TALENT & DEVELOPMENT

Business Area –Talent & Development					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
T&D	LGTG Agendas, Papers and Minutes	Minutes incorporated into LGSC minutes Closed in line with records management guidelines	5 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal action being - Determined on review
T&D	LGTG Practitioners’ Group Agendas, Papers and Action Notes	Action Notes incorporated into LGTG minutes Closed in line with records management guidelines	5 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal Action being - Destroy
T&D	LGTG Elected Member Development Steering Group Agendas, Papers and Action Notes	Action Notes incorporated into LGTG minutes Closed in line with records management guidelines	5 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal Action being - Destroy

Business Area Function – TALENT & DEVELOPMENT

Business Area – Talent & Development					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
T&D	Select List of Trainers	Closed in line with records management guidelines	3 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal action being either Destroy
T&D	Research Papers	Closed in line with records management guidelines	5 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal action being Determined on review
T&D	Development Programmes	Closed in line with records management guidelines	5 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
T&D	Open Course Programmes	Closed in line with records management guidelines	3 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
T&D	L&D Initiatives, eg, Competency Framework, e-learning, etc	Closed in line with records management guidelines	5 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy

Business Area Function – **TALENT & DEVELOPMENT**

Business Area – Talent & Development					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
T&D	LGTC Constitution, Structure and Corporate Governance Arrangements	Closed in line with records management guidelines	5 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
T&D	Organisation Reviews	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
T&D	Organisation Development Documentation	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy

Business Area Function – PEOPLE STRATEGIES

Business Area – People Strategies					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
PS	Employee Relations Advice and Information	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
PS	Review of Code of Conduct for Local Government Employees	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Determined by review
PS	Review of Absence Management Policy	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
PS	Local Government Reform Joint Forum (LGRJF) Agendas, Papers and Minutes	Closed in line with records management guidelines	5 years	Retained in-house for reference purposes	Review by Director prior to disposal action. Disposal action being - Determined by review

Business Area Function – PEOPLE STRATEGIES

Business Area – People Strategies					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
PS	NI Joint Council for Local Government Services Agendas, Papers, Minutes	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Determined by review
PS	JNC for Chief Executives in NI	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Destroy
PS	Commission Investigations	Closed in line with records management guidelines	Hold notes for one year only after final report is agreed. Hold Final Report permanently	If a complaint is received keep <u>all</u> info for 3 years. Retained in house for reference purposes	Copy of Final Report = Permanent Preservation in-house Determined on review

Business Area Function – PEOPLE STRATEGIES

Business Area – People Strategies					
SCHEDULE OF RECORDS					
File Series	Description	File/Record Action	Retention Period	Reason	Action at end of administrative life of record
PS	People and Organisation Development Strategic Framework (PODSF)	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being – Determined on Review
PS	Programme Board Documentation, including Communication Bulletin, records of meetings, etc.	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being - Determined on review
PS	Pillar Working Group Documentation	Closed in line with records management guidelines	5 years	Retained in house for reference purposes	Review by Director prior to disposal action. Disposal action being either Determined on review

What Information does NOT need captured in the Records Management System

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

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

The above list is by no means exhaustive but does provide a guide. These categories of information should be destroyed as soon as reference to the information has ceased. Unnecessary retention of such information represents a resource burden for the Commission in terms of storage costs, administration and freedom of information and data protection obligations.



Department of
**Culture, Arts
and Leisure**
www.dcalni.gov.uk



THE LOCAL GOVERNMENT STAFF COMMISSION FOR NORTHERN IRELAND

Disposal and Retention Schedule

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

Janet Hawkins
Office Manager
Local Government Staff Commission for Northern Ireland

Dr Adrian E Kerr
Chief Executive
Local Government Staff Commission for Northern Ireland

THE LOCAL GOVERNMENT STAFF COMMISSION FOR NORTHERN IRELAND

Disposal and Retention Schedule

David Huddleston
Head of Records Management, Cataloguing and Access Section
Public Record Office of Northern Ireland

Aileen McClintock
Deputy Keeper of the Records
Public Record Office of Northern Ireland

Peter May
Permanent Secretary
Department of Culture, Arts & Leisure