



# Disposal Schedule

# **Tourism NI Retention and Disposal Schedule**

## **Section 1 - Introduction**

### Function of Tourism NI

Tourism NI is responsible for the development of tourism and the marketing of Northern Ireland as a tourist destination to visitors within Northern Ireland and from the Republic of Ireland.

### Tourism NI Records Management Policy

Tourism NI recognises that its administrative records are a unique and irreplaceable resource. The proper management of this resource is necessary to satisfy its internal business processes and to comply with legislation, including the Freedom of Information Act 2000, which provides for access to information, held by Tourism NI. Tourism NI's Information Management Policy Statement sets out a commitment to maintain an efficient and effective records management system. Crucial to the success of the policy is the development and implementation of a retention and disposal schedule.

### Purpose of the Retention and Disposal Schedule

This retention and disposal schedule aims to support the development of greater control over the records created by Tourism NI. It will enable Tourism NI 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 Tourism NI. A record is recorded information, in any form, created or received by Tourism NI or individual members of staff to support and show evidence of TOURISM NI activities. For the purpose of Tourism NI's Records Management Policy, records are defined as:

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

Within Tourism NI 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.

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 Tourism NI in terms of storage costs, administration and freedom of information and data protection obligations.

In almost all cases, the disposal periods given in the schedule relate to master copies of records which form the official version retained for regulatory or business reasons. Where it is clear that a master copy is being retained elsewhere within Tourism NI, 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 & Physical Material**

Tourism NI operates an electronic document and records management system (EDRMS) which enables the control, retention and transfer of records in electronic format.

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 Tourism NI'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

#### Determined on Review

These are records requiring appraisal. They are appraised by TOURISM NI 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.

#### Tourism NI Permanent Preservation

There are likely to be few records which fall into this category but they are records which Tourism NI needs to retain permanently for statutory or 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 when they reach 20 years old

#### Destroy

These are records which TOURISM NI 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.
- 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 Tourism NI in addition to the regulatory environment within which Tourism NI operates. The retention period required for each type of file is calculated from the point the file is closed.

### Destruction

Destruction of files will take place on a planned basis in line with the retention and disposal schedule recommendations. Destruction will be conducted by central services. All destruction decisions must be agreed to by Office Resources and the relevant business area before destruction can take place. A record of all file destruction will be kept for audit purposes and all files will be destroyed in line with the arrangements for the destruction of confidential waste.

### 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 20 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**

Tourism NI 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 Tourism NI has overall responsibility for ensuring that Tourism NI complies with the requirements of legislation affecting the management of records, and with any supporting regulations and codes.

The Computer Services Manager is responsible for:

- Ensuring that the Records Management Policy is implemented effectively;
- The provision of record management guidance to 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 TOURISM NI complies with NIRMS (Northern Ireland Records Management Standard).
- For the operation and maintenance of the EDRMS system to ensure all relevant action is captured on the system such that the system can produce reports to identify files which require action, such as review/dispose/transfer. The system can also produce reports to identify files which have been disposed and when the file was disposed.

Line Managers are responsible for:

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

All members of staff are responsible for:

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



- Section 5 - Retention and Disposal Schedule

Tourism NIs EDRMs system operates on the principal of Record types or 'Content Types'. Content types are a combination of a document template and a set of information (metadata) that will describe the content so that it can be easily located and managed. The content metadata also contains the disposal review date. Tourism NI has identified a set of 'Parent Content Types' from which all other content types are derived. In this way any new content types created by users inherit an appropriate disposal review date. All documents must be declared as a content type and therefore inherit a disposal review date.

Parent Content Type:	Disposal Action:
Strategic Documents	PRONI to determine on review after 5 years.
Executive Documents	Document retained by TOURISM NI permanently.
Case/Project – Financial Documents*	Document reviewed 7 years after last action and either retained for a further 7 years or destroyed
Case/Project – Other Documents*	Document reviewed 5 years after last action and either retained for a further 5 years or destroyed (subject to PRONI review)
Legal Documents	Document reviewed 7 years after last action and either retained for a further 7 years or destroyed (subject to PRONI review)
Financial Documents*	Document destroyed 7 years after last action.
Personnel Documents	Document destroyed 5 years after last action.
Administrative Documents	Document destroyed 5 years after last action.
General Documents/Records	Document destroyed 5 years after last action.

EU Programmes	BSP & Peace II Documents to be retained until 2015.  Sustainable Competitiveness Programme Documents to be retained until 2022.  IFI Documentation Policy documents to be retained by TourismNI all others destroyed after 8 years or until terms in letter of offer have elapsed after 10 years

\*- consider EU guidelines which over ride normal retention periods

Schedule detail:

<b>Strategic Documents:</b>		
<p>Strategic documents are documents relating to, involving the development or deployment of strategy, policies or business plans. They describe the changes occurring in the tourism environment in Northern Ireland and the role that Tourism NI plays in determining the strategic direction for tourism and how it influences decision making by its stakeholders and those with interests in the tourism economy.</p>		
<b>Disposal Action:</b>		
<p>Document reviewed by PRONI after 5 years.</p>		
<b>Associated Documents</b>		
Advice	Divisional Plan	Risk Log
Advisory	Memorandum of Understanding	Risk Register
Communications Plan	Programme	Statement
Consultation		Strategy
Director Report		

**Executive Documents:**

Executive Documents are documents relating to the development or the implementation of major and general decisions in Tourism NI and correspondence between and its stakeholder the Department of Enterprise Trade and Investment (DETI), the Northern Ireland Assembly and its Offices.

**Disposal Action:**

Document **retained by TOURISM NI** permanently. (Never to transfer to PRONI)

**Associated Documents**

Board Paper	Ministerial Invitation	TOURISM NI Report
Draft Reply	Ministerial Other	Paper
Honours Citation	Ministerial Submission	Policy
Line to Take	Ministerial Thank You	Quality Assurance Statement
Meeting Attendance	Ministerial Treat Official	Response
Ministerial Correspondence	Minutes	Review
Ministerial General Mail		Study
		Unit Plan

**Case-Project-Financial:**

Are documents relating to:

- A task or scheme that requires a large amount of time, effort and planning to complete;
- An organised unit of work;
- An extensive organised public undertaking; and
- Relating to or involving money or finance.

**Disposal Action:**

Document destroyed 7 years after last action Note consider EU funds guidelines which over ride normal retention periods

**Associated Documents**

Accrual Sheet	Letter of Offer	Post-Event Claim
Billing Report	Letter of Rejection	Pre-Event Claim
Contract	One Claim Only	Quote
Initiative	Payment	Tender
		Welcome Certificate

**Case-Project-Other:**

- A task or scheme that requires a large amount of time, effort and planning to complete;
- An organised unit of work; or An extensive organised public undertaking

**Disposal Action:**

Document **destroyed** 5 years after last action

Note consider EU funds guidelines which over ride normal retention periods

**Associated Documents**

Action Plan	EIR Request	Presentation
Action Point	Equality Screening Form	Press Clipping
Agency Management	ETI Committee Submission	Press Release
Annex 1.5 Chief Operating Officer	EU Claims Spreadsheet Claims 1-11	Private Office Request Process Review Report
Annex 1.5 Directors	Evaluation	Procurement Tracker
Annex 1.6 Managers	Event Brief	Programme-Critical Path
Application	Event List	Project Change Request
Appraisal	Event Proposal	Project Crib Sheet
Approval doc	Expenses Claim	Proposal
AQO	External Report	Publication
AQO - Supplementary	Ezine	Purchase Order
AQW	Fact Sheet	Quarterly Report
Assembly Tracker	Fam Trip Evaluation Form	Quick Advice and Draft Replies
Audit Tracker	File Note	Quotation
Background Note	FOI Request	Register
Board Car Request	Funding Agreement	Register of Interests
Briefing	GAU Return	

Budget Breakdown	GMS Template	Remuneration
Budget Forecast	Guidance Notes	Research
Budget Profile	Highlight Report	Research Database
Budget Sheet	Holding Reply	Research Paper
Budget Summary	Honours Bank	Research Report
Budget Transfer Form	Hospitality Request	Research Spreadsheet
Budget Variance Report	Info graphic	Risk Assessment
Business Card Request	Itinerary	Roads Service Consultation Response
Business Case	Leaflet	Sales Call Report
Business Case Approval	Leaflets	Scheme Build
Business Case For Travel	Leave Tracker	Scheme Launch Preparation
Business Case Proforma Cover	Letterhead Colour	Screening Questionnaire
Business Case Template and Guidance £250k - £1m	Map	Security Incident Report
Business Case Template and Guidance £50k - £250k	Media Enquiry	Situation Report
Business Case Template and Guidance up to £50k	Media Evaluation Report	Six Monthly Assurance
Business Case Template for Proposal to Engage Professional Services	Media Report - Board	SLA
Calendar	Media Schedule	SLA Evaluation
Change Request	Mineral Prospecting Licence Application	SLA Objective
Check Point Report	ML Consultation	SLA Payment Approval
Claim Form Check Out	ML Response	SMT Approval Form
CLU Briefing	Monitoring Conditions	SMT Request
	MPL Response	Specialist Advice
	News Article	Speech
	TOURISM NI Copy Brief	STA Form

Code of Practice	TOURISM NI Event	STA Guidance and Request for Approval Form
Competition Tracker	TOURISM NI Publication	STA Request for Approval Form Only
Consultation Response	OWTP	Standing Order
Contact Database	Part Input	State Aid Return
Contact List	Pen Portrait	Statement Internal Control
Content Plan	Performance Appraisal	Stationary Request
COR-GM-INV	Permissions Audit	Statistics
COR-INV-Part Input	Petroleum Licence Application	Stats Return
Correspondence	Photographic Briefing	Subject Access Request
Courier Request	PLA Response	Submission
CPD Advice	Planning Application	Supporting Documentation
Creative	Planning Consultation	Survey
Database List	Planning Consultation Response	Table Plan
Delegate List	Planning Objection	Terms of Reference
Deletion Request	Planning Support Documentation	Thank You Letter
Design Briefing	PO Request	Topical Questions
Deti Casework Committee Advanced Notice Template	Policy Consultation Response	Train Ticket Request
Deti Casework Committee Submission Template	Policy Memo	Training Material
DETI Return	Position Paper	Treat Official
Direct Award Contract Form	Position Statement	Web Briefing
Economic Appraisal	Post Project Evaluation Guidance and Form	Weekly Attendance
Economic Appraisal 51K-250K		WH Material request
		WH Other Courses Request



Economic Appraisal Checklist	PPE for Consultants	WH Plaque Request
Economic Appraisal Consultancy	PPL Response	WH Training Request
Economic Appraisal Tracker	PQO	White Paper
EFQM Assessor Report	PQW	Work Package
	PR Planning	
	Premises Details	

**Disposal Action for 'case-project':**

Document **reviewed** by PRONI 5 years after last action

Annual Report	Project Mandate	Policy Document
EU Report	Project Plan	Policy Meeting Minutes
Intelligence Brief	Project Update	Post Project Evaluation
Project Brief	Business Plan	SMT Paper
Project Check Point	Director Approval	SMT Report
Project Initiation Document	Economic Appraisal 250K-1M	

<p><b>Legal Documents:</b> law-related documents:</p> <ul style="list-style-type: none"> <li>• Relating to the law or to courts of law;</li> <li>• Relating to lawyers or to law as a profession;</li> <li>• Established under the law; or Recognised or established by a court of law</li> </ul>		
<p><b>Disposal Action:</b> Document destroyed (subject to PRONI review) 5 years after last action.</p>		
<p><b>Associated Documents</b></p>		
Legal Advice Endorsements	Insurance Certificates	Deeds Leases

<b>Financial Documents:</b>		
Documents relating to or involving money or finance		
<b>Disposal Action:</b>		
Document destroyed 7 years after last action		
<b>Associated Documents</b>		
Audit Return	Finance Spreadsheet	Invoices
Contracts	Financial Assistance	Credit Notes
Budget Forecasts	In-Year Bids	Variation to contract

<b>Personnel:</b>		
Documents relating to the department of Tourism NI that deals with employing staff and staffing issues (Human Resources) all documents dealing with recruitment, selection, performance management and salaries.		
<b>Disposal Action:</b>		
Document destroyed 5 years after last action		
<b>Associated Documents</b>		
Applicant Shortlist	Fit for Work	Occupational Health Outcome
Application Too Late (Recruitment)	Grievance Notification	Occupational Health Report
	Grievance Outcome	

Career Break Request	Half-pay Notification	Overtime Claim Form
Cause for Concern	Internal Application Form	Overtime Request Approval Form
Change of Hours Request	Internal Notice	Pension Quote
Disciplinary Appeal Outcome	Interview Booklet	Performance Review Letter
Disciplinary Outcome	Interview Recommendations	Recruitment Cancelled Letter
Early Retirement - DETI Request	Investigation Notes	Recruitment Specification
Early Retirement - DETI Response	JEGGS Application	Resignation Request
Early Retirement - Outcome	JEGGS Outcome	Resignation Response
Early Retirement Request	Job Advert	Return to Work Form
Early Return Outcome	Job Application	Salary Letter
Early Return Request	Job Description	Secondment Request
Exit Interview Notes	L+D Application	Shortlisting Grid
External Application Form	Letter of Offer (Recruitment)	Sickness Self-certification
Final Formalities Letter	Mat-Pat-Adopt Letter	Special Leave Request
First Written Warning	New Staff Request Form	SSP1 Form
	Nil-pay Notification	Stress Questionnaire

**General & Administrative Documents:**

Documents relating to the administration and management of the affairs of Tourism NI

**Disposal Action:**

Document destroyed 5 years after last action.

**Associated Documents**

Advice and Draft Reply	Flight Request	Log
Agenda	Guideline	Procedure
Budget File	HRNews	SMT Team Meeting
Complaint	Inventory	Speaking Note
EFQM Submission	Invitation	Step Change Memo
Flexi Sheet	Memo	Training Evaluation
Captions Sheet		User Guide
Internal Communications		Web Article
Literature Dispatch Request		

**EU / IFI Programmes**

Documents relating to The European Union Northern Ireland Programme for Building Sustainable Prosperity and/or The EU Programme for Peace and Reconciliation in Northern Ireland and the Border Region of Ireland (2000 – 2006) – known as the PEACE II Programme

Documents relating to The European Sustainable Competitiveness Programme is co-financed by the European Regional Development Fund (ERDF). The programme supports regional strategy by promoting investment in research and technological development and by encouraging enterprise and entrepreneurship in an overall context of sustainable development. The Managing Authority for the Programme is the Department of Enterprise, Trade and Investment (DETI).

The International Fund for Ireland was established as an independent international organisation by the British and Irish Governments in 1986. With contributions from the United States of America, the European Union, Canada, Australia and New Zealand, the total resources committed to the Fund to date amount to £707m / €890m, funding over 5,800 projects across the island of Ireland. The Fund focuses its efforts in Northern Ireland and the southern border counties of Cavan, Donegal, Leitrim, Louth, Monaghan and Sligo

**Disposal Action:**

IFI Policy documents to be retained all others destroyed after 8 years or until terms in letter of offer have elapsed after 10 years

Sustainable Competitiveness Programme Documents to be retained until 2022.

BSP & Peace II Documents to be retained until 2015

**Associated Documents**

EU Applications Tracker

EU LoO

EU Publicity Report

EU Guidance Notes

EU N+2 Forecast

EU State Aid Return

## section 6 – Signatories



### Tourism NI 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 20<sup>th</sup> January 1925.

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