Annex D: Tiered record source map

The record source map distinguishes between Tier 1 core ToR, Tier 2 conditional sources and Tier 3 process/assurance records. Tier 2 sources should not be searched automatically; they require a recorded trigger and Senior Working Group approval unless already included in the approved source-level search plan.

D1. Tier 1 core Terms of Reference sources

Record source	Rationale and owner	Search route / criteria	Output and limitations
Former OFMDFM/TEO records	Listed in Section 10.3 as a source to be considered. Owner: TEO departmental records lead.	File plans, EDRMS/legacy repositories, archived paper holdings and transfer references. Core period; agreed named/role terms; complaint, concern, correspondence, support and referral terms.	Owner return, search register entry, relevant references or nil return. Test retention/disposal, access restrictions, legacy systems and incomplete indexing.
OFMDFM Private Office records	Relevant because OFMDFM Private Office would have had frequent dealings with Junior Ministers and provided support services. Owner: OFMDFM/TEO Private Office or successor business area owner.	Private Office diaries, submissions, briefings, correspondence handling material, meeting notes/logs and archived holdings.	Search return, relevant references, nil return or access/transfer limitation. Test archived/restricted material and incomplete holdings.
HR records, where legally appropriate	Relevant to HR, employee relations, support and referral responsibilities. Owner: TEO legacy departmental HR/ER owner, with NICSHR operational owner and HRConnect personnel records route; People and	HR repositories, casework indexes, legacy departmental HR records and ER records, subject to DSO/IG advice. Dignity at Work, grievance,	Owner return recording relevance/existence without unnecessary sensitive detail. Test sensitive personal data, retention limits and historic departmental HR arrangements.

	OD for policy/strategy records.	discipline, welfare, employee relations, support and referral criteria.	
Correspondence logs	Relevant to formal correspondence or recorded concerns. Owner: departmental correspondence owner.	Correspondence tracking systems, logs, linked documents and archived correspondence files. Core period; agreed terms; complaint, concern, welfare, referral and support terms.	Hits reviewed, relevant references, nil return and duplicate handling. Test whether logs lack attachments or use inconsistent descriptors.
Complaint routes	Relevant to formal/informal complaint or staff concern mechanisms. Owner: TEO legacy departmental HR/ER owner, with NICSHR ER and HRConnect personnel records route; People and OD where policy route ownership is relevant.	Complaint, grievance, Dignity at Work, discipline and staff concern route records, where lawful.	Return identifying route searched, references, nil return and limitations. Test whether informal concerns were recorded and whether older routes are fragmented.
Welfare or support records, where legally appropriate	Relevant to support and safeguarding/welfare responsibilities. Owner: NICSHR Welfare/OH owner, with DoF Corporate HR legacy checks and HRConnect personnel records route for 2008 material.	Targeted confirmation of whether relevant welfare/support records exist, avoiding unnecessary clinical detail.	Existence/relevance/handling outcome and support/referral position where appropriate. Test confidentiality, special category data, restricted access and retention.
Records management systems	Relevant to file availability, retention, disposal, transfer and archive status. Owner: records management/information governance lead.	Retention schedules, file plans, disposal records, transfer records, archive/offsite indexes and PRONI	Availability status and evidence of survival, disposal, transfer or access restriction. May evidence status rather than content; metadata may be incomplete.

		references where appropriate.	

D2. Tier 2 conditional / triggered sources

The following sources should be searched only where triggered by Tier 1 results, owner return, relevant information received through the staff contact route, records management evidence, DSO/IG advice or Senior Working Group decision. The trigger and rationale should be recorded in the decision log.

Conditional source	Trigger / recommended treatment	Owner / route	Output and limitations
Other NICS-held information identified by Senior Working Group	Search only where the source, location/system, access basis, criteria and limits are defined before search.	Owner assigned by Senior Working Group. Search criteria must be linked to the agreed NICS remit and approved before search.	Approved search plan, owner return and limitations. Main limitation is scope creep if not controlled.
Legacy shared mailboxes and business area email accounts	Use if Tier 1 evidence suggests relevant NICS-held information may sit outside formal logs in shared or role-based accounts.	Relevant business area owner with IT/records support. Identify relevant shared/role mailboxes and archived email holdings; search only where lawful and proportionate.	Search register entry, evidence index references, nil return or access limitation. Test access, retention, archive availability, ownership and proportionality.
File plans, disposal certificates, transfer lists and legal hold/disposal suspension evidence	Use where needed to evidence whether records survived, were destroyed, transferred or held.	Records management/IG lead with DSO input where required. Check retention/disposal schedules, transfer lists, disposal certificates, offsite storage indexes and legal hold records where available.	Availability/disposal/transfer evidence linked to each source and limitation IDs. May not reveal content; absence of disposal evidence may itself be a limitation.

Historical HR policy and guidance records	Use where needed to understand complaint, grievance, discipline, dignity, conduct and welfare routes operating at the time.	People and OD policy/strategy owner, with NICSHR legacy checks and HRConnect route where earlier personnel record linkage is required.	Policy/version evidence and gaps in policy/version chronology. Test version-control gaps and unclear draft/live status.
Security, access, visitor or incident records held by NICS, if any	Use only if a NICS-held source is identified and a Tier 1 return, relevant information received through the staff contact route or Senior Working Group decision indicates potential relevance.	Relevant departmental facilities/security owner, if applicable. Search access logs, visitor records, incident books or facilities/security reports only where lawful and proportionate.	Owner return, nil return or limitation, with sensitivity controls. Test retention periods, data protection, system age and whether source is NICS-held.
Third-party information received by NICS	Use where information received from external bodies is held by NICS and within scope.	Relevant business area owner or liaison lead. Controlled check of correspondence, liaison logs, case files or other records showing information received from police, Assembly Commission or other organisations.	Owner return, evidence index reference, nil return or onward route decision. Test handling restrictions, remit boundary, confidentiality and data protection.
Contemporaneous notes, diaries, notebooks and informal business records	Use where Tier 1 evidence or owner knowledge suggests business records may have been created and retained.	Relevant business area owner, where business records are held. Targeted request to identify any contemporaneous business notes, diaries, notebooks or informal records held by the business area and within scope.	Owner return, evidence index reference, nil return or limitation. Records may be informal, incomplete, non-searchable, no longer held or difficult to evidence.

D3. Tier 3 process and assurance records

Records generated by this scoping exercise, including staff contact route records, liaison records, decision logs, escalation/referral logs and limitations logs, will be managed as current process and assurance records. They are not historical records search sources for the February 2008 to July 2009 period.