

***Information Governance and Management Framework***

***Policy for the Retention and Disposal of  
Documents and Records Paper and Electronic***

Version 02.1

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## DOCUMENT CONTROL

<b>Document Responsibility</b>		
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## I The Retention Schedule

## Introduction

### 1. Scope of the Schedule

The retention schedule has been issued as a guide to assist Services throughout the Council to create good records and implement good records management practices of all records created, used and retained by Services in whatever format, including records held in electronic form.

Developing a retention schedule is part of good records' management practice. The schedule complies with the Scottish Ministers' Code of Practice on the Discharge of Functions by Public Authorities under the Freedom of Information (Scotland) Act 2002. This code was laid before the Scottish Parliament on 15 December 2010, pursuant to Section 60 (5) of the Freedom of Information (Scotland) Act 2002 ("FOISA") - Code of practice as to functions under the Act.

In addition, the schedule will assist the Council to comply in part with the obligations imposed upon it in terms of the Public Records (Scotland) Act 2011. That Act, which complements FOISA, supports better record keeping as well as good records management. It places an obligation on public authorities to prepare and implement a Records Management Plan.

It is intended for the schedule to be used as a tool to assist in determining whether a record should be preserved or destroyed once the record is no longer in active use.

The schedule reflects the legislative requirements, or best practice, as is appropriate.

The retention schedule has been arranged by the functions of the Council, rather than service area or department. This means that they are independent of any future changes to the organisational structure of the Council.

Each Service of the Council will have appointed officer(s) to:

- ensure officers who receive, create, hold, maintain, retain, share and/or dispose of records do so in line with the obligations set out in this policy;
- deal with the destruction or archiving of records in accordance with this policy;
- ensure there is an effective filing system for all Service records, including the destruction of those records;
- where queries arise, provide guidance to officers on the implementation of this policy;
- implement initiatives consistent with the Council's commitment to ensuring effective records management across the Council; and
- promote good records management practice throughout their Service.

With regard to the records created by an officer, Line Managers will ensure each officer knows which officer will carry out the above tasks in relation to the records they create.

### 2. Limitations of Scope

The schedule covers most Council records, but is not an exhaustive list. Please contact the Information Governance Officer if you find errors or omissions in this policy.

The schedule does not cover ephemeral material, see point 9 for explanation.

### **3. Legislative Compliance**

- Ensure compliance with the Freedom of Information (Scotland) Act 2002
- Ensure compliance with the Data Protection Act 2018
- Ensure compliance with the General Data Protection Regulation
- Ensure compliance with the Public Records (Scotland) Act 2011
- Ensure compliance with Disclosure Scotland - The Disclosure Scotland Code of Practice issued by Scottish Ministers regarding the correct handling, usage, retention, storage and destroying of Disclosure information provided by Disclosure Scotland under Part V of the Police Act 1997, for the purposes of assessing applicants' suitability for positions of trust.

### **4. Aims of the Schedule**

- Assist in identifying records that should be permanently preserved and transferred to the officer responsible for the management of your records for archiving.
- Discussions about how to archive electronic records are on-going.
- Prevent the premature destruction of records that should be retained according to legislation or other best practice guidance.
- Ensure consistency in practices in the disposal of records across the Council.
- Reduce the occurrence of duplicate records, and also the chance of the records being kept for different time periods.
- Promote the benefits of improved and consistent Records Management practices within the Council.

### **5. Benefits of Managing Records according to a Retention Schedule**

Managing records according to a retention schedule is deemed to be "normal processing" under the Data Protection Act 2018 and Freedom of Information (Scotland) Act 2002. Provided members of staff are managing records according to an agreed Retention & Disposal schedule they cannot be found guilty of unauthorised tampering with files once a freedom of information request or a subject access request has been made.

Officers can be confident that they are destroying information at the correct time.

Information subject to Freedom of Information and Data Protection legislation will be available when required.

Information is not being maintained and stored unnecessarily, which is costly to the Council in terms of physical storage space and server space.

The original record is the record bound by the retention schedule. Copies and duplicates are normally destroyed as soon as they are finished with.

### **6. Service level retention schedules**

The Policy for The Retention and Disposal of Documents and Records Paper and Electronic lists all of the records held by the Council and is therefore a very large document. The

Information Governance Officer can work with teams to create department specific retention guidance. The Policy for The Retention and Disposal of Documents and Records Paper and Electronic is presented in a clear and concise way, making it easier for staff to find relevant retention procedures for their own team. The document can be designed to include key points on improving information management relevant to the team, helping to improve information management compliance.

## **7. Electronic Records – Documents scanned into Electronic Document Records Management Systems**

In accordance with BIP 0008 code of practice for legal admissibility and evidential weight of information communicated electronically as revised or replaced from time to time – Services need to have in place robust scanning procedures, standard operating procedures and quality control to make sure all paper documents are scanned consistently and accurately. Procedures should ensure that the electronic documents are authentic, reliable, accessible and secure. If this is done then the electronic documents should be legally admissible.

If these procedures are in place then any paper documents which are scanned into an EDRMS system may be destroyed at an agreed date after scanning, once the scanned copies have been checked and authenticated.

Legal document and documents with an original signature such as Contracts or original stamp such as Building Plans but excluding original letters received by the Council or internal Council memos should not be destroyed even if scanned. Please contact the officer responsible for the managing your records to discuss.

## **8. Disposal of Records by Transfer of Records to Officer responsible for managing your records for archiving or Destruction**

Records may be disposed of by:-

- Transferring to the officer responsible for archiving your records – permanent preservation
- Destroying – e.g. by shredding

Records selected for permanent preservation should be transferred to the officer responsible for archiving your records – once the records are no longer of current use and are not operationally required. Prior to transferring the records you must weed out all duplicates and pass this information to the officer responsible for the archiving of your records.

With regards to records identified in this schedule as S - 'offer to officer responsible for the management of your records to sample' - offer these records that officer to choose/ select a sample of records for permanent preservation. The remainder of the records not chosen should be destroyed in accordance with this policy. Guidance on the appraisal of records is being developed.

Where lengthy periods have been allocated to records, staff may wish to consider converting paper records to other media to reduce physical storage space. Consideration must be given to legal admissibility and scanning procedures to ensure that any copies are faithful representations of the original paper document. Also the life span of the media chosen and the

ability to migrate data should always be considered. Staff should remove duplicates etc. before transferring to storage to reduce costs.

Records selected for destruction may be destroyed in accordance with the schedule. Duplicate and/or backup copies stored on alternative media must also be destroyed at the same time, in order to ensure compliance with Data Protection and Freedom of Information legislation.

Officer(s) appointed to manage the records of a Service should maintain a list of the records that have been disposed of, which should include:

- The date of destruction
- The manner of disposal either destruction or transfer to the officer responsible for the archiving of the record
- Description of records and dates
- The name of the authorising officer

This is required under the Code of Practice on Records Management – Freedom of Information (Scotland) Act 2002. Please see Part D.

An Electronic Document Records Management System (EDRMS) should also be capable of maintaining an audit trail of records held and disposed of from the system.

Records identified for destruction should not be destroyed if there is any pending litigation or a request for information under Freedom of Information or Data Protection legislation has been received relating to those records. In these cases the records should be preserved until the litigation process is completed and all appeals have been exhausted, after which time they may be destroyed.

## **9. Ephemeral Material**

Ephemeral material refers to information that is of short-term value, but does not have any lasting value and as such does not form part of the long-term corporate memory of the Council. This information can be destroyed as soon as possible by the creator or creating Service and can be destroyed as soon as they reach the end of their current use.

The retention schedule does not include ephemeral material as it is up to the creating Service to determine when usage has finished and to decide on an appropriate method of destruction of such material. This is normally unimportant or duplicated material, and is frequently something which has a "one time only" use. Their destruction should be a routine part of office management standard operating procedures.

Examples of such documents include:-

- Working documents, and notes taken to inform a later document
- Copies and duplicates where the original exists
- Trivial notes or emails
- Post-it notes
- Superseded distribution lists, address books, annual reports, manuals
- Delegates' copies of minutes. The agreed or signed set is the Record

- Compliments and message slips
- Electronic copies of records that have been printed off and filed
- Journals and catalogues
- Faxes once a copy has been filed
- Personal emails and documents – see Council's policy on Acceptable Use of Information Systems
- Emails not related to Council business
- Travel literature
- 'with compliments' slips
- Superseded versions of order forms, templates etc.

If in doubt whether specific material should be treated as ephemeral material or as a record, contact the officer responsible for the management of your records.

Remember to destroy emails (printed out or in electronic form) in a secure manner as they contain personal information – email addresses and names.

## **10. Review of Retention Schedule**

The retention schedule will be reviewed on an ongoing basis as part of a consultation process between the Information Governance Steering Group and the Records Management Working Group and the creating Services, and any other key stakeholders.

The retention schedule is a work in progress, and as new file types are created, or existing file types are amended, the details of which will be added to the schedule.

Each time the schedule is amended a new version of the policy will be created.

It is the responsibility of the creating Services to contact the officer(s) responsible for the management of their records as and when changes occur to ensure the retention schedule is amended accordingly.

The schedule will be amended regularly in light of amending legislation such as the implementation of The Public Records (Scotland) Act 2011 with a general review being undertaken at least every 4 years.

## **11. Useful Contacts**

Information and Records Management Society  
[www.irms.org.uk](http://www.irms.org.uk)

Scottish Information Commissioner –  
<http://www.itspublicknowledge.info/>

The National Archives of Scotland  
<http://www.nrscotland.gov.uk>

The National Archives  
<http://www.tna.gov.uk>



## **B. Transfer of Records to Semi Current Storage**

Once records are no longer required for current administrative purposes they may be transferred to semi current storage. Each Service will be responsible for managing their own semi current storage areas and for the disposal of their records by transferring them to the officer(s) appointed to manage their records for archiving or by destroying them.

### Remember

- a. The records should be kept securely with limited access to designated staff only.
- b. The records should be signed in and out if they are required from storage.
- c. Use standard size bankers or leaflet boxes which have lids and can be written on
- d. All boxes should be labelled with the contents.
- e. All boxes should have the destruction/review/archive date marked on them according to the retention schedule.
- f. Remove paper clips, elastic bands, plastic wallets, treasury tags etc. from records before boxing (this allows records to be destroyed more easily once their destruction date has been reached).
- g. Remove duplicates and ephemera from files before transferring to storage to reduce storage space and therefore costs.
- h. If material has a long retention period consider converting to another media. Remember that a copy must be a faithful representation of the original, capable of being migrated and read at a later date and faithfully reproduced and read. The records should be usable and authentic.
- i. Keep a list of what has been transferred to semi current storage. This will make compiling a destruction/disposal record easier.
- j. When the records have reached their disposal dates get a senior officer within the Service to sign off the destruction/disposal form.



## Table of Definitions

File Type	This refers to the record. It can also describe the business function, activities and processes that the record supports.
Retention Period	This entry specifies the period of time the record should be kept from closure or following the retention trigger event. Unless otherwise specified the numbers are in years
Fate	This entry specifies the action that will occur once the retention period is over
Notes	This entry provides information about the retention period or the method of destruction

## Meaning of Symbols

A	Archive
A[E]	Records archived in electronic format
D	Destroy – use appropriate destruction method for confidential and non-confidential material
DOB	Date of Birth
[E]	Records held in electronic format
P	Permanent
R	Review
S	Offer to officer responsible for managing your records to Sample
T	Transfer

All time periods are in years unless otherwise stated.

## **E. Glossary**

### **Administrative use**

Refers to the time when the record is in current use for administrative and business purposes.

### **Archive**

Records which are of enduring historical value and which must be kept indefinitely. These will form part of the council archive and should, unless otherwise stated in this document, be archived by the officer appointed to manage your records and transferred to Inverclyde Archives.

Increasingly records are being archived electronically. Please seek advice from the officer appointed to manage your records and ICT concerning this.

### **Closure**

A record/file is closed when it is no longer active. After closure, no new papers may be added; instead a new record/file should be created.

### **Closure period**

The specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public, which may be determined by statutory requirements e.g. the Data Protection Act.

### **Common practice**

The standard practice followed by local authority records managers who are members of the Information and Records Management Society and administrators.

### **Copy**

A "copy" of a record usually belongs to someone other than the originator.

### **Duplicate**

A "duplicate" is the originator's copy of the original record.

### **Last Action**

Date of most recent amendment/addition/deletion of information.

### **Original**

The document as created by a member of staff for a particular purpose or function. Any other records created from this original will be copies or duplicates. The original document should become the record of the event it was created for. The retention schedule refers to these documents and any versions created from it which are filed and kept as the 'Record' of the event being documented.

### **Record**

The record (original) is bound by the retention schedule. Copies and duplicates are normally destroyed as soon as they are finished with. An example of an original would be the signed copy of the minutes of a meeting or a signed agreement.

### **The definition of 'document' and 'record' <sup>1</sup>**

In records management it is important to be clear about the difference between a document and a record.

A document is any piece of written information in any form, produced or received by an organisation or person. It can include databases, website, email messages, word and excel files, letters, and memos. Some of these documents will be ephemeral or of very short-term value and should never end up in a records management system (such as invitations to lunch).

Some documents will need to be kept as evidence of business transactions, routine activities or as a result of legal obligations, such as policy documents. These should be placed into an official filing system and at this point, they become official **records**.

In other words, all records start off as documents, but not all documents will ultimately become records.

### **Permanent/Archive**

Records which are of enduring historical value and which must be kept indefinitely or permanently are called Archives and should be archived by the officer appointed to manage your records and held by the Service.

### **Semi-Current**

Records which are no longer required for day to day administrative purposes will be deemed as semi current and will be transferred to storage areas not kept in office space. They will be boxed, labelled and marked with their destruction or review dates – please see section C. Access to them should be restricted and their retrieval from storage recorded. They should not need to be referred to on a regular basis.

## **F. Updating the Schedule**

The retention and disposal schedule is a working document. It will always be updated and revised.

If you create new records or have records which do not appear in the schedule please contact the officer responsible for managing your records.

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<sup>1</sup> The National Records of Scotland

## G. How to treat different types of records during a clear-out

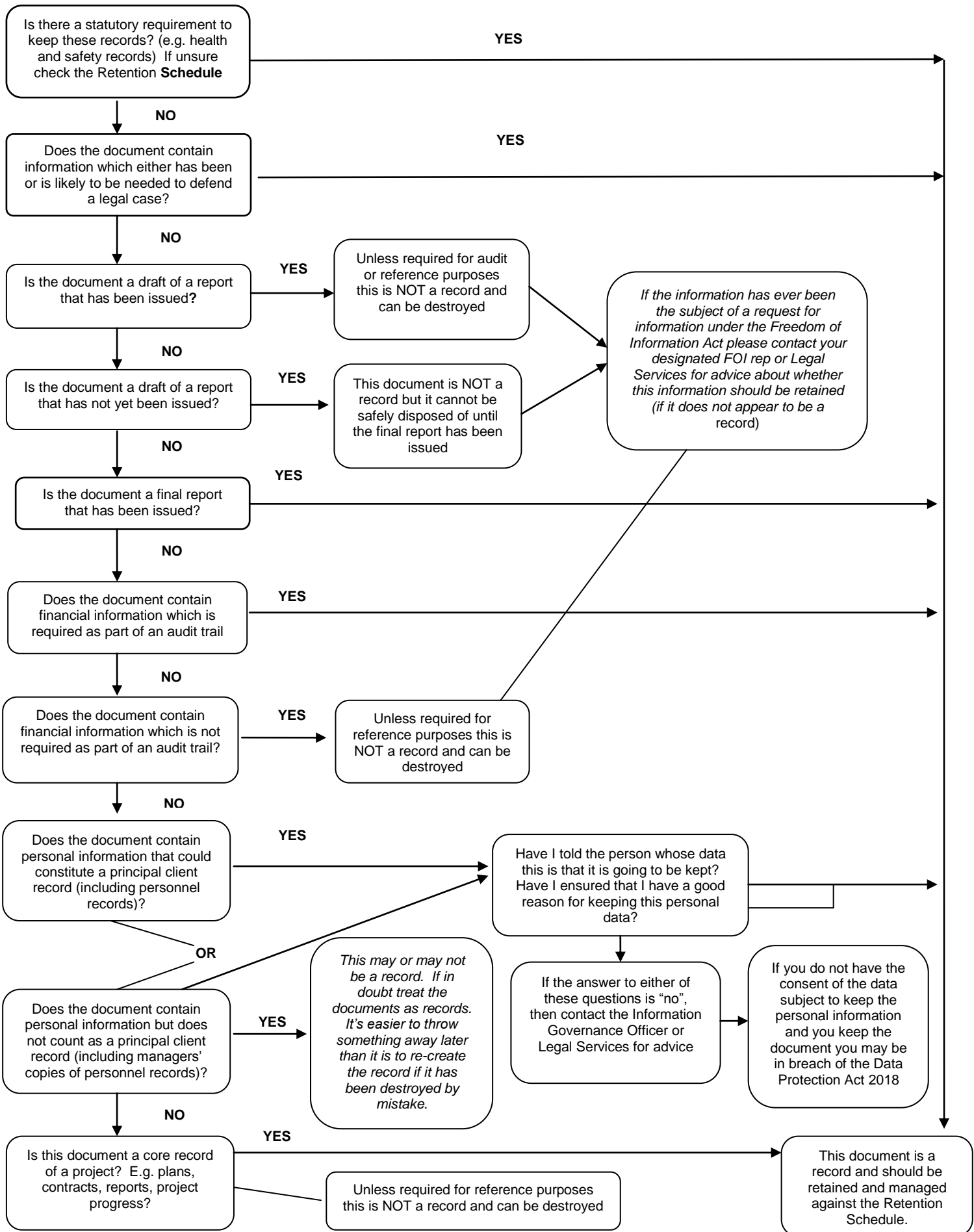
Record Type	What to do?
<ul style="list-style-type: none"> <li>All Records</li> </ul>	<ul style="list-style-type: none"> <li>Refer to The Retention Schedule.</li> <li>For any records which are not listed or where statutory and regulatory retention periods do not exist, refer to retention schedules developed by the Scottish Council on Archives (SCARRS) for guidance on retention of records and their disposal. <a href="http://www.scottisharchives.org.uk/scarrs/schedules">http://www.scottisharchives.org.uk/scarrs/schedules</a></li> <li>Refer to the thought tree to assist you in identifying whether it is a record and what to do with it.</li> <li>Remember if it is not a record and has no reference purpose then it should be disposed of.</li> <li>If you are still unsure about how to treat a record contact the officer responsible for the record or your records management contact.</li> </ul>
<ul style="list-style-type: none"> <li>Active records which are still part of an on-going business process and which need to be filed (or re-filed) in the appropriate operational filing systems.</li> </ul>	<p>These records should be kept, filed in appropriate filing system, i.e. on shared drive folder (electronic records), existing storage facility for live paper records in office.</p>
<ul style="list-style-type: none"> <li>Semi-active records which are still required for business or statutory purposes but which do not need to be held in active records storage space, e.g. within the office.</li> </ul>	<p>Once records are no longer required for current administrative purposes they may be transferred to semi current storage. Each Service will be responsible for managing their own semi current storage areas and for the disposal of their records.</p> <p>Remember:</p> <ul style="list-style-type: none"> <li>k. The records should be kept securely with limited access to designated staff only.</li> <li>l. The records should be signed in and out if they are required from storage.</li> <li>m. Use standard size bankers or leaflet boxes which have lids and can be written on.</li> <li>n. All boxes should be labelled with the contents.</li> <li>o. All boxes should have the destruction/review/archive date marked on them according to the retention schedule.</li> <li>p. Remove paper clips, elastic bands, plastic wallets, treasury tags etc. from records before boxing (this allows records to be destroyed more easily once their destruction date has been reached).</li> <li>q. Remove duplicates and ephemera from files before transferring to storage to reduce storage space and therefore costs.</li> <li>r. If material has a long retention period consider converting to another media. Remember that a copy must be a faithful representation of the original, capable of being migrated and read at a later date and faithfully reproduced and read. The records should be usable and authentic.</li> <li>s. Keep a list of what has been transferred to semi current</li> </ul>

Record Type	What to do?
	<p>storage. This will make compiling a destruction/disposal record easier.</p> <p>t. When the records have reached their disposal dates get a senior officer within the Service to sign off the destruction/disposal form.</p>
<ul style="list-style-type: none"> <li>Records which have reached the end of their operational/statutory retention period and can be safely destroyed.</li> </ul>	<p>These records may be destroyed in accordance with the schedule. Records containing confidential, personal or sensitive information must be disposed of securely. Duplicate and/or backup copies stored on alternative media must also be destroyed at the same time, in order to ensure compliance with the Data Protection and Freedom of Information legislation.</p> <p>NB – do not destroy records where there is any pending litigation or a request under the Freedom of Information or Data Protection legislation has been received to those records. In these cases the records should be preserved until the litigation process is completed and all appeals have been exhausted, after which time they; may be destroyed. (if in any doubt contact your service FOI / SAR Rep or Legal Services).</p>
<ul style="list-style-type: none"> <li>Records which have reached the end of their operational/statutory retention period and which should be offered to the archives</li> </ul>	<p>You will need to get advice from an archivist to advise about records which should be transferred to an archive for permanent preservation. Speak to the manager of the records in the first instance.</p> <p>This is only in the case where you think you may have records of historical value, e.g. it will depend on the type of records in your service.</p>
<ul style="list-style-type: none"> <li>Printed publications which are held elsewhere</li> </ul>	<p>These can be disposed of</p>
<ul style="list-style-type: none"> <li>Duplicate material which is not the principal copy</li> </ul>	<p>These can be disposed of</p>
<p><b><u>Ephemeral Material</u></b>  This information that is of short-term value, but does not have any lasting value and should therefore not be treated as a record.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>Working documents, and notes taken to inform a later document</li> <li>Copies and duplicates where the original exists</li> <li>Trivial notes or emails</li> <li>Post-it notes</li> <li>Superseded distribution lists, address books, annual reports, manuals</li> </ul>	<p>This information can be destroyed as soon as possible by the creator or creating service and can be destroyed as soon as they reach the end of their current use. Decide on appropriate method of destruction for such material.</p> <p>If in any doubt whether material should be treated as ephemeral or as a record, contact your line manager or your records management contact.</p>

Record Type	What to do?
<ul style="list-style-type: none"> <li>• Delegates' copies of minutes.</li> <li>• Electronic copies of records that have been printed off and filed</li> <li>• Journals and catalogues</li> <li>• Faxes once a copy has been filed</li> <li>• Personal emails and documents – see Council's policy on Acceptable Use of Information Systems</li> <li>• Emails not related to Council business</li> <li>• Travel literature</li> <li>• 'with compliments' slips</li> <li>• Superseded versions of order forms, templates etc.</li> </ul>	



## H. Thought tree to assist you identifying a record



## I. The Retention Schedule

### 1. Democratic Processes

<b>Council &amp; Committee Processes</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Council minutes	P	A	Signed set retained by Committee Services after administrative use is concluded
	Council and Committee meeting records:- - council agenda and business papers & reports - council notice papers and proceedings	P [E]	A [E]	Held and archived electronically  Minutes, agendas, reports are available on the Inverclyde Council website
	Committee minutes	P	A[E]	Held and archived electronically by Committee Services
	External committees, partnerships and agencies meeting records where the Council does own the record (documents establishing the committee, agenda, minutes, business papers and reports, meeting notice papers, proceedings). (e.g. Riverside Inverclyde; Integration Joint Board; Regeneration Forums)	P	A(E)	Held and archived electronically by Committee Services  Retain master record-copies should be destroyed
	External committees, partnerships and agencies meeting records where the Council does not own the record (documents establishing the committee, agenda, minutes, reports, recommendations, supporting documents such as briefing and discussion papers). (e.g. Outside Bodies)	10 from Date of Meeting	D	
	Register of Gifts and Hospitality (Officers)	P	A	
	Minutes of the Shadow Inverclyde Council - 1995 – 1996	P	A	Minutes of the Shadow Council held by Committee Services
	Minutes of the Inverclyde District Council – 1975 to 1996	P	A	Volumes of minutes held by Committee Services
	Draft notes of meetings	Until minutes approved by Committee with the exception of quasi-judicial bodies where they	D	

<b>Council &amp; Committee Processes</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
		are retained for 6 months from the date of the meeting <sup>2</sup>		
	Working Groups	Date of Meeting +10	D	
	Standing Orders and Scheme of Administration	P	A(E)	Held and archived electronically by Committee Services
	Scheme of Delegation – Officers	P	A(E)	Held and archived electronically by Committee Services
	Standing Orders Relating to Contracts	P	A(E)	Held and archived electronically by Committee Services

<b>Integration Joint Board</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Integration Scheme	P	A[E]	Held and archived electronically by Legal Services
	Standing Orders	P	A[E]	Held and archived electronically by Committee Services
	Scheme of Delegation to Officers	P	A[E]	Held and archived electronically by Committee Services
	Integration Joint Board Member's Declarations and Register of Interests	Date member leaves office +10	D	Review for historical value
	Code of Conduct	Date administrative use is concluded +10	D	
	Register of Gifts and Hospitality	Date member leaves office +10	D	Review for historical value
	Strategic Plan	P	A[E]	
	Publication Scheme	Superseded + 3	D	

<b>Members' Services</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Members' – Personal Files	Current term of	D	

<sup>2</sup> The quasi judicial bodies referred to are (i) Planning Board; (ii) General Purposes Board; (iii) HR Appeals Board; (iv) Education Appeals Board, (v) Licensing Board and (v) Local Review Body

<b>Members' Services</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
		Appointment + previous term (if applicable) + 1 year		
	Register of Interests	Current term of Appointment + previous term (if applicable) + 1 Year	D	
	Members' Expenses	Current term of Appointment + previous term (if applicable) + 1 year	D	
	Training & Development records	Current term of Appointment + 1 year	D	
	General Correspondence relating to members'	Current term of Appointment + 1 year	D	
	Outside Bodies	2 years + current meeting	D	
	Surgeries	Current term of Appointment	D	
	Catering Expenses	5 Years	D	
	Civic Receptions	Current + 10 Years	D	
	Ceremonial Events	Current + 10 Years	D	
	Invoices	Current + 5	D	

<b>Inverclyde Children's Panel and Children's Panel Advisory Committee</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Children's Panel Member – Personal File	Term of Appointment + 10 Years	D	
	Safeguarder – Personal File	Term of Appointment + 10 Years	D	
	Legal Representative – Personal File	Term of Appointment + 10 Years	D	
	Curator Ad Litem – Personal File	Term of Appointment + 10 Years	D	
	Children's Panel Member Expenses	Term of Appointment + 10 Years	D	
	Events – Recruitment, Re-	Current + 10	D	

<b>Inverclyde Children's Panel and Children's Panel Advisory Committee</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Appointment, AGM etc/	Years		
	Children's Panel Advisory Committee Member – Personal File	Term of Appointment + 10 Years	D	
	Children's Panel Member Expenses	Current + 10 Years	D	
	Scottish Government Correspondence, Circulars etc.	Current + 7 Years	D	
	General Correspondence	Current + 2 Years	D	
	SCRA Expenses	Current + 10 Years	D	
	Minutes & Agendas of Meetings	Current + 10 Years	D	
	Training Records	Term of Appointment + 1 Year	D	

<b>Electoral Processes</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Electoral Register – full registers held by Legal Services for election purposes	Until superseded	D	
	Ballot papers	Close of poll + 1 year	D	Statutory. Held by Legal Services
	Records of results	P	A	Statutory. Held by Legal Services

## 2. Management and Administration

<b>General or Common Documents created by Services</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Complaints	Resolution of complaint /last action point + 5	D	
	Complaints which result in policy change	P	A	
	Complaint System – to record complaints	Current +10 years	D	
	Complaints – Analysis, statistics and anonymised responses	Current +5 years	R	
	Complaints Register	Current +10 years	D	
	Council notes copied to Services	Current year	D	
	Annual Accounts	Current year + 6	D	
	Inter-Service accounts	Current year + 6	D	
	Unsuccessful tender documents	Current + 1	D	
	Successful tender documents	Termination of	D	

General or Common Documents created by Services				
	File Type	Retention Period	Fate	Notes
		contract + 5		
	Staff development and review	3	D	
	Flexi-time Sheets	Current + 2	D	
	Flexi-time update forms	1	D	
	Staff Interview notes	6 months	D	
	Recruitment forms	6 months	D	
	Staff development appraisal files	5	D	
	Service meetings - minutes	Date of Meeting + 1	D	
	Emails – save important emails as records also keep thread discussions together	Treat saved messages as records Review email inboxes every 90 days	Store as appropriate in Service filing system e.g. folders or delete	Destroy records no longer required. Keep rest and review after another 90 days or retain permanently as record on shared system
	General correspondence	Closure of file + 2	D	
	Disclosure Scotland records and checks	30 days	Top Section transfer to Personnel File  Bottom Section destroy	Code of Practice, issued by Scottish Ministers, regarding the correct handling, holding and destroying of Disclosure information provided by Disclosure Scotland under Part V of the Police Act 1997 (“the 1997 Act” ), for the purposes of assessing applicants' suitability for positions of trust. Data Protection Act (2018)
	Disclosure Scotland Spreadsheet (electronic)	Current + 10 Years	D	Records original application number, surname, forename, Date of Birth, Post, Service, enhanced or standard, dates, certificate number, decision
	Disclosure Scotland Policy	P	A	Stored electronically
	Operating Procedures	P	A	
	Working Party minutes	Date of meeting + 10	A [E]	Working party has Councillors on the membership

Management & Strategy				
	File Type	Retention Period	Fate	Notes
<b>Reporting</b>				
	Agendas	6 months from meeting	D	
	Minutes & reports of Corporate Management Team (CMT)	P	A	
	Minutes & Reports of Directorate Management Team (DMT)	P	A	
	Minutes & Reports of Senior Management Team (SMT)	P	A	
	Minutes & Reports of Service	P	A	

	Development Group			
	CMT notes	Date of meeting + 1	D	Kept by Chief Executives support team.
	Meeting notes	Date of meeting + 1	D	
	Drafts for committee	Current	D	Destroy once final version agreed.
<b>Strategy &amp; Policy</b>				
	Corporate Development Plan	P	A	Archive final version of plan and destroy drafts
	Service Improvement Plan	P	A	Archive final version of plan and destroy drafts
	Team Plan	P	A	Archive final version of plan and destroy drafts
	Policies - Corporate	P	A	
	Strategies	P	A	
<b>Strategy and Policy</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Strategy documents	Until superseded	D	
	Plan - Corporate	P	A	
	Plan - Service	Until superseded	D	
<b>Public Reporting and Quality Assurance Monitoring (Quality and Performance Management)</b>				
	Scottish Government reports	Date of Issue + 7	D	
	Reports to Scottish Government	Date of issue + 7	D	
	Annual Reports	P	A	
	Reports	Current	D	Once gone to Committee. Available as above
	Public Performance Reporting	P	A	Destroy drafts
	Performance Indicators	Current + 5	D	
	Monitoring and reviewing strategy etc.	Closure + 5	D	
	Best Value Review – Council	P	A	
	Public Service Improvement Framework Assessment – internal/Service	Date of Issue + 5	D	The process of monitoring or reviewing the quality efficiency or performance of a local authority service or unit
	Documents used in the process of assessing the quality, efficiency or performance of a local authority service or unit	Closure + 2 years	D	Examples of documents e.g. assessment forms.
<b>Complaints</b>				
	Complaints – case file – records documenting the handling of complaint	Resolution/last action on + 5	D	
	Comments and enquiries – case files	Resolution + 1	R	Review for archival and re-use value
	Comments and enquiries – analysis – statistics and anonymised responses	Current +3 years	R	Review for archival and re-use value
	Complaints database/register	Resolution/last action on + 10	D	
	Complaints – minutes of meetings	Resolution + 5	R	Review and keep for 5 or destroy. Agendas can be destroyed after date of meeting
	Management of enquiries, complaints	P	A	

	which result in significant changes to policy: reports			
	Complaints – procedures	P	A	
	Complaints – analysis and statistics	Current + 5	D	Review for archival value
<b>Public Consultations</b>				
	Public consultation: policy	Closure + 5	D	
	Discussion/Consultation	Date of creation + 3	D	
	Citizens' Panel surveys	Closure + 5	D	Unless major policy change in which case P A
	Records relating to discussion, consultation resolution	Closure + 3	D	
	Management of responses on council actions, policy etc.	Conclusion of administrative use + 6	D	
<b>Administration</b>				
	Assessment forms	Date of issue + 2	D	
	Management System manual	Superseded + 5	D	
	Employee Review and Development Process (ERDP)	Completed action + 3	D	Restricted access to files
	Accession registers and depositor files	P	A	
	Disposal certificates	Last action + 12	D	Common practice based on Limitation Act 1980
	Correspondence files	Closure + 2	D	
	Diaries	Current year + 2	D	
	Leave records	Completed + 3	D	
	Telephone lists	Until superseded	D	

<b>Information Management (including Freedom of Information and Data Protection)</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Contact Lists	Superseded – none	D	
	Information Asset lists	Superseded + 2 years	D	
	Geographic Information System (GIS) I&R Source data for SVDLS for loading to GIS. System itself to be kept up to date	Data of survey completion +5 years	Transfer to Archive	
	Policies and procedures	Until superseded	D	
	Records Surveys – information in relation to record audits	Current + 2 years		
	Classification Schemes	Current – until superseded	Review for Historical value	
	Forms development – standard	Superseded	1 year	



	Image Capture	Date of Scan – Nil	D	Paper information may be destroyed immediately after the scanned image has been checked and accepted if the scanning is completed to the relevant BSI standard
	Retention & Disposal Schedule	Until superseded 20 years	D	Destroy obsolete versions
	Lists of Records destroyed – record destruction register	Date of destruction + 100 years	D	
	Records disposal certificated	Date of destruction + 20 years	D	
	Record retention issues log	Date of last action + 6 years	D	
	Training manuals	Until superseded	D	
	Responses to external consultations	3 years	D	
<b>Freedom of Information (Scotland) Act</b>				
	Freedom of Information (FoISA) – processing of requests for information. Initial request, response, related correspondence and other supporting documentation	Completion of request + 3 years	D	
	Freedom of Information (Scotland) Act 2002 - guidelines	Until superseded	D	
	Freedom of Information (Scotland) Act 2002 - Case files, including consideration of exemptions and reviews	Date of closure + 3	D	Unless a precedent was set in which case Archive
	Freedom of Information (Scotland) Act 2002 - processing of requests for information where appeal made to OSIC – initial request, response related correspondence, appeal records and related.)	Outcome of Appeal + 6 years.	D	Unless a precedent was set in which case Archive
	Freedom of Information (Scotland) Act 2002 - statistical data	Date of creation + 10	D	
	Environment Information regulations – processing requests for information	Completion of request + 3 years	D	
	Environmental Information regulations – processing requests for information where appeal made to OSIC initial request, response related correspondence, appeal records and related.)	Outcome of Appeal + 6 years	D	
	Council Publication Scheme	Superseded + 3 years	Review for historical value	

<b>Data Protection Act</b>				
Access to Information				
	Data Protection – record of subject access request processing initial request, response, related correspondence and other supporting documentation	On completion of request + 3 years	D	
	Data Protection – record of subject access request processing where appeal made to UK Information Commissioner	Outcome of appeal + 6 years	D	
	Data protection general compliance records. Files regarding audits, general compliance, data breaches, security, training etc.)	Current year + 3 years	D	
	Data Protection Act (2018) - guidelines	Until superseded	D	
	Data Protection Act (2018) - case files, including reviews and appeals	Date of closure + 3	D	Unless a precedent was set in which case Archive
	Data Protection Act (2018) - statistical data	Date of creation + 10	D	

<b>Technology Management (ICT)</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Licence agreements	Expiry + 6	D	Limitation Act
	Contracts	Termination of contract + 5	D	
	Disaster recovery plans	Until superseded	D	
	Information Security Documentation	Current +5	D	

<b>Communications, Events &amp; Media Relations</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Publications, promoting campaigns and events	P	A(E)	Retained by graphic design team as pdfs. Some hardcopy publications retained for lifetime of the campaign – can be between 1 - 12 months.
	Recording of ceremonial events and civic occasions	P	A	
	All paperwork regarding organising of annual events	Conclusion of event + 12 months	D	Retained for 12 months to help inform following year's requirements.
	Press releases - reactive	P	A(E)	Held on approved PR system (Solcara) indefinitely.
	Press releases - proactive	P	A(E)	Held on approved PR system (Solcara) indefinitely.
	News stories relating to Inverclyde Council	6 months	D	
	Advertising	Until completion of advert appearing	D	Retained for 12 months to help inform following year's

## Communications, Events & Media Relations

	File Type	Retention Period	Fate	Notes
		in publication required + 12 months		requirements.
	On-line updates (intranet and internet)	Until completion of delivery of key messages	D	Real time media with content having a short shelf life.
	Chief Executive briefings	Date of issue + 5	D	
	Newsletter – council	P	A	Final version. Destroy drafts
	Newsletter – current and suggested articles	Current	D	
	Webcast	Automatically deleted from system after 6 months	D	NB - dvd of webcast kept by committee services for 10 years
	Webcast training manual	Current until superseded	D	Large pdf zip file
	Webcast procedures	Current until superseded	D	
	Public-i Rate Card	Keep for 1 year	D	
	Webcast Diary	Keep for 1 year	D	
	Webcast viewing figures	Keep for 1 year	D	
	Publication Design	Date of issue + 3	D	

### 3. Client Services

#### Housing

	File Type	Retention Period	Fate	Notes
<b>Housing</b>	Housing adaptation grant files and registers	Date of award - current +10	D	
	Local Housing Strategy (LHS)	Date superseded - 5 Years	D	Strategy document and associated records
	Strategic Housing Investment Plan (SHIP)	Date superseded - 5 Years	D	Plan and associated records
	House sale data packs	Date HNDA work complete	D	
	Home energy efficiency referrals (HEEPS, EES, ECO flex, etc.)	Date of referral – current + 6	D	
	Empty homes cases	Date case closed – current + 1	D	
	Housing condition survey	Date superseded - Permanent	A	Survey research document Paper copy held in office premises  <b>Retain for historic value</b>

#### Social Work

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

File Type	Description	Retention Period	Fate	Notes
<b>Criminal Justice</b>				
<b>Supporting Offenders</b>				
Case file – Community Service Order where offender is over 21 years old	The activities involved in managing individual cases of service users who are subject to Community Service Orders, Diversion from Prosecution, Fine Supervision Orders, Probation Orders, Supervised Attendance Orders and/or receive throughcare services	5 Years 5 Years	D D	<p><b>Trigger</b></p> <ol style="list-style-type: none"> <li>1. Completion of order</li> <li>2. Death of offender</li> </ol> <p>See - Rehabilitation of Offenders Act 1974 as amended by Legal Aid, Sentencing and Punishment of Offenders Act 2012. Part 3 Chapter 8</p> <p><b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b></p> <ul style="list-style-type: none"> <li>209 - Social services - needs assessment</li> <li>1091 - Social services - bail accommodation</li> <li>1092 - Social services - bail information</li> <li>1093 - Social services - bail supervision</li> <li>1096 - Social services - Community Reparation Orders</li> <li>1097 - Social services - community service orders</li> <li>1099 - Social services - diversion from prosecution scheme</li> <li>1100 - Social services - drug treatment and testing orders</li> <li>1103 - Social services - parole reports</li> <li>1104 - Social services - probation orders</li> <li>1105 - Social services - Social Enquiry Reports</li> <li>1106 - Social services - supervising attendance orders</li> <li>1107 - Social services – throughcare</li> </ul>
Case file – Community Service Order/Community Payback Order where offender is 16-21 years old		10 Years	D	<p><b>Trigger</b></p> <p>Completion of order</p> <p>Excluding: Schedule 1/Circular 11/Sex Offenders – Sexual Offences (Scotland) Act, Criminal Procedure (Scotland) Act 1995 as amended by the Sexual</p>

<b>Social Work</b> Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Criminal Justice</b>				
				Offences (Procedure and Evidence) (Scotland) Act 2002; and Circular SWSG 11/1994 – none of which contain retention periods Criminal Justice and Licensing (Scotland) Act 2010, s 14 regarding Community Payback Orders
Case file – Community Supervision Orders/Community Payback Order <b>where offender is over 21 years old</b>	Community Reparation Order (CRO), Supervised Attendance Order (SAO), Community Service (CS), Probation, Fine Supervision Order (FSO), Drug Treatment & Testing Order (DTTO), English Short-licence	5 Years 5 Years	D D	<b>Trigger</b> 1. Completion of order 2. Death of offender  Criminal Justice and Licensing (Scotland) Act 2010, s 14 regarding Community Payback Orders
Case file – Community Supervision Orders/Community Payback Order <b>where offender is 16-21 years old</b>	including Community Reparation Order (CRO), Supervised Attendance Order (SAO), Community Service (CS), Probation, Fine Supervision Order (FSO), Drug Treatment & Testing Order (DTTO), English Short-licence	5 Years	D	<b>Trigger</b> Completion of order  Criminal Justice and Licensing (Scotland) Act 2010, s 14 regarding Community Payback Orders
Case file – Schedule 1/Circular 11/Sex offenders		100 Years	D	<b>Trigger</b> Last action on case  (People who have been convicted of an offence listed in the Sexual Offences (Scotland) Act, Criminal Procedure (Scotland) Act 1995 and Circular SWSG 11/1994 Sexual Offences Act 2003 (Remedial) (Scotland) Order 2011 Regulation 1 See also 88C of the Act. Interlocutor to be in writing. Date of discharge is – where the offender aged 18 or over on the relevant date, the date falling 15 years after that date. Where the offender was aged under 18 on the relevant date, the date falling 8 years after that

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Criminal Justice</b>				
				date
Records documenting the provision of support to the family of a prisoner		3 Years	D	<b>Trigger</b> Last action on case
Case file - Throughcare - home background reports and other pre-release work in relation to a prisoner, where no post-release social work involvement is required.		3 Years	D	<b>Trigger</b> Last action on case
Case file – Throughcare: Supervised Attendance Order		5 Years	D	<b>Trigger</b> Termination of order
Case file – Throughcare: Life Licence, Extended Sentence, Non-Parole Licence, Parole Licence		50 Years	D	<b>Trigger</b> Prison release date or completion of license
Case file – Throughcare: Voluntary		5 Years	D	<b>Trigger</b> Last action on case
Case file - where service user found not guilty, not proven or who have had their appeal upheld, resulting in a conviction being overturned	Referral forms; Indictment(s) or Complaint(s); Case management system records; Letters of appointment; Correspondence pertaining to the case; SER; Associated reports;	None	Review and Destroy	<b>Trigger</b> Notification of Court Disposal  Review contents of service users' files and remove all papers referring to this particular event.  The destruction of these documents should be immediate, and secure on notification of Court Disposal
<b>Community Supervision Programme Management</b>				
Keep in case file – See Community	The activities involved in managing the provision of social	5 Years	D	<b>SCOTTISH SERVICES / NATIONAL INTERNAL</b>

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Criminal Justice</b>				
Supervision Orders/Community Payback Orders	work services to offenders who are subject to community supervision.  Activities include: establishing and managing community work schemes and activities; developing probation programmes.			<b>SERVICES LIST MAPPING</b>  1096 - Social services - Community Reparation Orders 1097 - Social services - community service orders
<b>Court Social Work Service Management</b>				
Records documenting the provision of social work services to a court.	Court reports, record of post-sentence interviews with offenders, records of liaison with court and sheriff	5 Years	D	<b>Trigger</b> Date record approved  <b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b>  1102 - Social services - Means Enquiry Reports 1105 - Social services - Social Enquiry Reports
Records documenting the provision of a Social Enquiry Report (SER) on an offender, where there is no further social work involvement.		5 Years	D	<b>Trigger</b> Last action on case
Records documenting the provision of a Means Enquiry Report for a court.		5 Years	D	<b>Trigger</b> Last action on case

<b>Social Work</b> Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Children &amp; Families</b>				
<b>Adoption and Fostering</b>				
Fostering and adoption panel records	Records documenting the appointment of a person as a member of a fostering or adoption panel.	5 Years	D	<b>Trigger</b> Termination of appointment  <b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b>  925 - Children and young people - registration of responsibilities for children 159 - Social services - fostering 160 - Social services - adoptive homes
Council registration as an adoption/fostering service	Application	5 Years	D	<b>Trigger</b> Date of acceptance  Record required by Regulation of Care (Scotland) Act 2001. 2001 asp 8, Sections 7 & 33 - no retention period specified
	Certificate of registration	6 Years	D	<b>Trigger</b> Until superseded or obsolete  Record required by Regulation of Care (Scotland) Act 2001. 2001 asp 8, Section 9 - no retention period specified
Register of "looked after" children		100 Years	D	<b>Trigger</b> Date of birth
Carer recruitment activity records		5 Years	R	<b>Trigger</b> End of current calendar year  Review for archival value
Carer and adopters assessment criteria records		10 Years	R	<b>Trigger</b> Superseded  Review for archival value
Carer training programme records		5 Years	R	<b>Trigger</b> Superseded



**Social Work**

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<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Children &amp; Families</b>				
				Record of individual training to be entered on personnel file  Review for ongoing value
Case file – Pre-approval carers and adopters – <b>initial enquiry</b>	Records where case progressed to initial inquiry only	5 Years	D	<b>Trigger</b> Case closure
Case file – Pre-approval carers and adopters – <b>initial interview only – no concerns</b>	Records where case progressed to initial interview only – no other concerns	5 Years	D	<b>Trigger</b> Case closure
Cases file – Pre-approval carers and adopters – <b>initial interview only – concerns</b>	Records where case progressed to initial interview only –concerns about enquirer or enquirer advised not to proceed	10 Years	D	<b>Trigger</b> Case closure
Case file – Pre-approval carers and adopters – background preparation only	Records where case progressed to preparation group/home study/reference checks only	10 Years	D	<b>Trigger</b> Case closure
Case file – Pre approval carers and adopters – <b>not approved/withdrawn</b>	Records where case progressed to panel/agency decision – not approved/ approved but carer withdraws	25 Years	D	<b>Trigger</b> Date of decision or date of prospective carer/adopter's death if earlier  The Looked After Children (Scotland) Regulations SI/2009 No. 210 Part 32(1)
Case file – Approved carers		25 Years	D	<b>Trigger</b> Termination of approval or date of death of carer if earlier  The Looked After Children (Scotland) Regulations SI/2009 No. 210 Part 32(1)
Case file – Kinship carers		25 Years	D	<b>Trigger</b> Termination of last placement or date of death of carer if earlier  The Looked After Children (Scotland) Regulations

<b>Social Work</b>				
Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Children &amp; Families</b>				
				SI/2009 No. 210 Part 16(1)
Case file – Prospective adopters – no adoption order	Prospective adopters, in relation to whom an adoption order is not made	10 Years	D	<b>Trigger</b> Last action on case  The Adoption Agencies (Scotland) Regulations 2009 SSI 154 Regulation 28(3)b
Case file – Adopters		100 Years	D	<b>Trigger</b> Date of granting the adoption order  The Adoption Agencies (Scotland) Regulations 2009 SSI 154 Regulation 28(3)a
Case file – Private fostering	Records documenting the monitoring of a private fostering arrangement	5 Years	D	<b>Trigger</b> Last action on case  Foster Children (Scotland) Act 1984; Foster Children (Private Fostering) (Scotland) Regulations 1985;
Case file – adopted children		100 Years	D	<b>Trigger</b> Date of adoption order  The Adoption Agencies (Scotland) Regulations 2009 SSI 154 Regulation 28(3)a
Indexes to adoption case files		100 Years	D	<b>Trigger</b> Last entry on index  The Adoption Agencies (Scotland) Regulations 2009 SSI 154 Regulation 28(3)a
<b>Child protection</b>				
Case file – Child investigated and placed on Child Protection Register		35 Years	D	<b>Trigger</b> Case closure  Unless child looked after where 100 years from date of birth retention period

<b>Social Work</b>				
Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Children &amp; Families</b>				
				applies
Case file – Child investigated but not placed on Child Protection Register		35 Years	D	<b>Trigger</b> Case closure  Unless child looked after where 100 years from date of birth retention period applies
Child Protection Register records		100 Years	D	<b>Trigger</b> Date of birth of child
Register of Schedule 1 offenders		100 Years	D	<b>Trigger</b> Date of entry on register
<b>Child minding</b>				
Register – list of registered childminders		100 Years	D	<b>Trigger</b> Superseded
<b>Children looked after in care</b>				
Case file - Looked after children, including children freed for adoption but not adopted, fostered children and children on a Residential Supervision Requirement		100 Years  25 Years	D  D	<b>Trigger</b> 1. Date of child's birth or  2. Date of death where child dies before 18th birthday  The Looked After Children (Scotland) Regulations SI/2009 No. 210. Regulation 43(1). Case file to contain the Childs Plan and information specified under Regulations 12,15,36,42
Case file – Throughcare and aftercare	Pathway assessment Pathway views Pathway plan Reviews of the pathway plan Procedures for making representations.	75 Years  25 Years	D  D	<b>Trigger</b> 1. Date of child's birth or  2. Date of death where child dies before 18th birthday  The Support and Assistance of Young People Leaving Care (Scotland) Regulations 2003. SSI 2003 No 608 Regulations 3, 15

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Children &amp; Families</b>				
<b>Residential Homes</b>				
Service file - Residential home/Home Care Service management records - major records	Strategy, planning, monitoring, meetings, correspondence visitors books,	6 Years 6 Years 3 Years	D D D	<p><b>Trigger</b> Until superseded</p> <p>Current year</p> <p>Records required by Residential Establishments - Child Care (Scotland) Regulations 1996 SI1996/3256 Regulation 5. Records required by The Regulation of Care (Requirements as to Care Services) (Scotland) Regulations 2002 SSI 2002/114</p> <p>For Child records (Regs 13 and 17) see Case files</p> <p>The Regulation of Care (Applications and Provision of Advice) (Scotland) Regulations 2002 SS1 2002/113 Regulation 1(3) - no retention period specified</p>
Service file - Residential home/Home Care Service management records - minor records		2 Years	D	<p><b>Trigger</b> Current</p>
Notification records from a residential home to the Care Inspectorate	Death of service user, details of medication administered to service user without their consent (or the consent of people authorised to consent on their behalf), the appointment of a manager for a home care service, proposed absence of a manager of a home care service for a continuous period of 28 days or more , proposed changes to the management of a home care	3 Years	D	<p><b>Trigger</b> Date of event</p> <p>Records required by The Regulation of Care (Requirements as to Care Services) (Scotland) Regulations 2002 SSI 2002/114 Regulations 17,20,21,22,23 -no retention period specified. Details of medication administered</p>

<b>Social Work</b>				
Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Children &amp; Families</b>				
	service			should be added to case file.
Children's home register		P	A	<b>Trigger</b> Last entry on register  Transfer to archive for permanent retention
	Residential Financial Records	Current + 5 Years	D	
	Children's homes inspection records	100 Years	D	Held with Care Inspectorate
<b>Supporting children</b>				
Case file – Children and families not included in any other case file categories		5 Years	D	<b>Trigger</b> Case closure or one year from date of death
Case file – Children's rights office		100 Years 15 Years	D D	<b>Trigger</b> Date of birth Date of death if child dies before 18
Movement restriction care plan		25 Years	D	<b>Trigger</b> Date of birth  Intensive Support and Monitoring (Scotland) Regulations 2005. SSI 2005 No 201 Regulation 2 Amends Regulation 4 of SSI 2005 No 129. To be in writing. Regulation 4 (2)
<b>Supporting disabilities</b>				
Kept in client case file and follow appropriate retention period				
<b>Training</b>				
Records of training provided to individuals working with children and young people		25 Years	D	<b>Trigger</b> End of employment
<b>Youth justice</b>				
Case file – young offenders	Records of court procedures, action plan orders,	5 Years	D	<b>Trigger</b> Closure

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Children &amp; Families</b>				
	implementation of orders, reparation orders, supervision orders, probation orders and referral orders			Unless child looked after where 100 year from date of birth retention period applies

<b>Social Work</b> Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Adult Care Services</b>				
<b>Asylum seekers</b>				
Case file – asylum seekers		5 Years 3 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult  Retention period allows time for audit.  <b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b> 77 - Asylum seekers - advice and support 915 - Asylum seekers - nationality checking
<b>Carers</b>				
Carers files – see SCARRS Retention Schedule 15: Human Resources				<b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b> 225 - Carers - adult 227 - Carers - adult - respite care 229 - Care - shared care for adults 298 - Carers - support groups and organisations 732 - Care - alternative providers 1121 - Social services - adult placement 162 - Carers - advocacy 728 - Social services - advocacy for clients
For carers of children and young people, see : CHILDREN & FAMILIES				
<b>Community Support</b>				
Kept in client case file and follow appropriate retention period				<b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b> 296 - Social services - community and day centres 297 - Social services - community support groups and organisations -

<b>Social Work</b> Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Adult Care Services</b>				
				information
<b>Care Services (including, Residential homes Home care and housing support services)</b>				<b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b> 292 - Social services - residential care - adult
Service file -Care Service management records -	Strategy, planning, monitoring, register of admissions and discharges, visitors books, meetings, correspondence	6 Years	D	<b>Trigger</b> Current year
Service user file	Records documenting the preparation, review and revision of a 'personal plan' for a service user, financial transactions undertaken for a service user; liaisons with social workers regarding the type of care being provided to a service user or problems with providing home care, administration of medicines to a service user. Records held must include:	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult
Service user file	Personal Plans			Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 5
Service user file	Records for service users. Name, address, date of birth Details of next of kin or person authorised to act on their behalf. Details of users general practitioner Date service was first provided			Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (1)
Service user file	Details of any restraint used; Incidents detrimental to the health or welfare of a service user; Complaints, outcome and action taken; Money and valuables deposited by a service user / when returned/what used for; Date and time of death of any service user who has died including doctor certifying death;			Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (3)



**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

File Type	Description	Retention Period	Fate	Notes
<b>Adult Care Services</b>				
	Details of medication without consent			
Care service records	Fire and emergency procedures. Fire drills and alarm tests. Maintenance of equipment. Daily list of persons employed. Date and time of death of any service user who has died including doctor certifying death. Medicines kept on the premises.	5 Years	D	<b>Trigger</b> Current Year  Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (3)
Records of persons employed	Full name, address, date of birth, qualifications, training and experience. Date of commencement. Date of termination Positions held Registration (if appropriate) Any disciplinary action and outcome			<b>Trigger</b> Retained as Personal File – HR Schedule  Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (2)
Notification of death, illness and other events sent to the Care Inspectorate		3 Years	D	<b>Trigger</b> Current Year  Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 21
Notification of absence sent to the Care Inspectorate	Proposed absence of manager for a continuous period of more than 28 days.	3 Years	D	<b>Trigger</b> End of period of absence  Regulation of Care (Requirements as to Care Services) (Scotland) Regulations. SSI 2002 No 114. Regulation 22
Notification of changes sent to the Care Inspectorate	Change of provider. Change of manager Change of premises Change of name of an individual Change of ownership of a body corporate or identity of its officers. Change of identity of partners	3 Years	D	<b>Trigger</b> Current year  Regulation of Care (Requirements as to Care Services) (Scotland) Regulations. SSI 2002 No

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

File Type	Description	Retention Period	Fate	Notes
<b>Adult Care Services</b>				
				114. Regulation 23 (1)
Notification of complaints procedure sent to the Care Inspectorate	Copy of complaints procedure	Nil	D	<b>Trigger</b> Until superseded  Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114.  Regulation 25
Notification from a care service to the Care Inspectorate	Notification of unfitness	5 Years	D	<b>Trigger</b> Date of notification  Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 8
Notification from a care service to the Care Inspectorate	Appointment of a manager	5 Years	D	<b>Trigger</b> Date of notification  Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 17
Application by Local Authority to register a care service under s33(1)c Regulation of Care (Scotland) Act 2001	A statement that the local authority have determined that they must provide the service in order to fulfil a statutory duty; and  A statement of the reasons for that determination (including identification of the statutory provisions which in the opinion of the local authority give rise to that duty).	5 Years	D	<b>Trigger</b> Until superseded  The Regulation of Care (Applications and Provision of Advice) (Scotland) Regulations 2002 SSI 2002/113(3)
Statement of aims and objectives		5 Years	D	<b>Trigger</b> Until superseded  Regulation of Care (Requirements as to Care

<b>Social Work</b> Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Adult Care Services</b>				
				Services) (Scotland) Regulations SSI 2002 No 114. Regulation 3
Certificate of registration		5 Years	D	<b>Trigger</b> Until superseded  Regulation of Care (Scotland) Act 2001. 2001 asp 8 Section 9. To be displayed on premises concerned.
Dismissal of social worker notification to Scottish Social Services Council		6 Years	D	<b>Trigger</b> Dismissal  Smoking, Health and Social Care (Scotland) Act 2005 asp 13. Section 32. Inserts section 57A into the 2001 Act. To be in writing
<b>Social issues</b>				
Kept in client case file and follow appropriate retention period				<b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b>  727 - Social services - alcohol - advice and support 730 - Social services - drugs - advice and support 1100 - Social services - drug treatment and testing orders
<b>Supporting adults</b>				<b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b>  163 - Social services - counselling 164 - Social services - harassment - advice and support 180 - Social services - occupational therapy 200 - Social services - hospitalisation - pet care 202 - Social services - HIV / AIDS - advice and support

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

File Type	Description	Retention Period	Fate	Notes
<b>Adult Care Services</b>				
				for adults 232 - Social services - client contact problems 242 - Care - at home 271 - Social services - incontinence laundry service 287 - Social services - direct payments 293 - Social services - hospice care - adults 279 - Disabled people - parking permits - blue badge 309 - Social services - power of attorney – applications 312 - Social services - out of hours support 315 - Social services - meals on wheels 640 - Older people - activities 645 - Council - complaints - advocacy for complainants 651 - Social services - debt counselling 731 - Social services - vulnerable adults - protection 854 - Refuse - household waste - assisted collection 917 - Social services - management of personal financial affairs 209 - Social services - needs assessment 316 - Care - home assessment 1115 - Social services - Single Shared Assessment
Register of adults with learning difficulties who received social work services		100 Years	D	<b>Trigger</b> Current Year
Case file - adult with learning difficulties, where statutory	Referral / Request for service or service transferred to another provider, Assessment and referral	10 Years 10 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Adult Care Services</b>				
measures <b>were</b> taken.	reports, Care plan, contact info of client (and carer where relevant)			
Case file - adult with learning difficulties, where statutory measures <b>were not</b> taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult
Register of adults with mental health problems who received social work services.		100 Years	D	<b>Trigger</b> Current Year
Case file - adult with mental health problems, where statutory measures <b>were</b> taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	10 Years 10 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult
Case file - adult with mental health problems, where statutory measures <b>were not</b> taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	10 Years 10 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult
Case file - Occupational therapy	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult
Register of adults with physical disabilities who received social work services.		100 Years	D	<b>Trigger</b> Current year
Case file - physical disabilities	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult
Case file - all other adults which do not fit into categories above	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult
Plan of use of the service (Personal		5 Years	D	<b>Trigger</b> 1. Superseded

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

File Type	Description	Retention Period	Fate	Notes
<b>Adult Care Services</b>				
Plans)		5 Years	D	2. Death of adult  The Regulation of Care (Requirements as to Care Services) (Scotland) Amendment Regulations 2004. SSI 2004 No 94. Regulation 2 – Amends SSI 2002 No 114 as amended by SSI 2003 No 149 and SSI 2003 No 572. To be in writing
NHS/LA agreement		5 Years 5 Years	D D	<b>Trigger</b> 1. Superseded 2. Death of adult  The Community Care (Joint Working etc.) (Scotland) Regulations 2002. SSI 2002 No 533 Regulations 2 (b), 3 (b) To be in writing Reg. 9
Part 9 Care Plan (under the Mental Health (Care and Treatment) (Scotland) Act 2003, Part 9 - Compulsion Orders)	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Superseded 2. Death of adult  Mental Health (Content and amendment of care plans) (Scotland) Regulations 2005. SSI 2005 No 309
Social Circumstances report - under the Mental Health (Care and Treatment) (Scotland) Act 2003	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult  Mental Health (Social Circumstances Reports) (Scotland) regulations 2005. SSI 2005 No 310 Regulation 2
Content of Part 9 Care Plan	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult  Mental Health (content and amendment of Part 9 care plans) (Scotland) Regulations 2005.

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

File Type	Description	Retention Period	Fate	Notes
<b>Adult Care Services</b>				
				SSI2005 No 312 Regulation 2
Interviews	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult  Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 8
Medical examinations	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult  Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 9
Request for records	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of Adult  Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 10. When not made during a visit then the request must be in writing This includes electronic means
Assessment orders (Issued by Sheriff. Expires 7 days from issue.)	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult  Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 11
Removal orders (Issued by Sheriff. Expires 7 days from issue.)	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

File Type	Description	Retention Period	Fate	Notes
<b>Adult Care Services</b>				
				Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 14
Banning order	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult  Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 19. Expires (a) On a specified date; (b) The date recalled; or (c) 6 months after it is granted
Report of a visit  (It is assumed a report of a visit under Section 36 will be required)	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult  Adult Support and Protection (Scotland) Act 2007. 2007 asp10. Section 36
Adult Protection Committee	Procedures, practices, arrangements	5 Years	Destroy or Transfer to Archive	<b>Trigger</b> Until superseded  Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 42. Consider for permanent preservation in an archive. See Democracy schedule.
Adult Protection Committee	Minutes	5 Years	Destroy or Transfer to Archive	<b>Trigger</b> Current year  Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 42. Consider for permanent preservation in an archive. See Democracy schedule.
Adult Protection	Biennial report	5 Years	Destroy	<b>Trigger</b>



<b>Social Work</b> Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Adult Care Services</b>				
Committee			or Transfer to Archive	Current year  Adult Support and Protection (Scotland) Act 2007. 2007 asp10. Section 46. Consider for permanent preservation in an archive. See Democracy schedule.
Records of the exercise of the withdrawer's powers	Retain on case file	5 Years 5 Years	D D	<b>Trigger</b> 1. Last action 2. Death of adult  Adult Support and Protection (Scotland) Act 2007. 2007 asp10. Section 30B
Patient Care Record		Recommend all records be retained until the 75 <sup>th</sup> birthday or 25 years after date of death whichever is later	D	<b>Trigger</b> 1. 75 <sup>th</sup> birthday 2. Death of adult  Healthcare Improvement Scotland (requirements as to Independent Health Care Services) Regulations 2011. SSI 2011 No 182. Regulation 4
<b>Supporting disabilities</b>				
Kept in client case file and follow appropriate retention period	Service related to enabling equal access, opportunities and providing aids to adults with physical disabilities			<b>SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING</b>  239 - Disabled people - employment and training schemes 205 - Disabled people - specialist equipment 204 - Disabled people - independence at home 276 - Disabled people - personal transport - motability scheme
<b>Adults with incapacity</b>	Service related to supporting adults under the terms of the Adults With Incapacity (Scotland) Act 2000			

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Adult Care Services</b>				
Complaints relating to Guardianship		5 Years	D	<b>Trigger</b> Current Year  Adults with Incapacity (Scotland) Act 2000. asp 4 Section 10
Power of Attorney		5 Years	D	<b>Trigger</b> Power of Attorney ceases  Adults with Incapacity (Scotland) Act 2000. 2000 asp 4 Section 15 The Adults with Incapacity (Certificate in Relation to Powers of Attorney) (Scotland) Regulations 2001. SSI 2001 No 80. To be in writing
Records – Attorneys A continuing or welfare attorney shall keep records of the exercise of his powers		5 Years	D	<b>Trigger</b> Guardianship ceases  Adults with Incapacity (Scotland) Act 2000. 2000 asp 4 Sections 21, 30 To be in writing
Statement of resident's affairs		5 Years	D	<b>Trigger</b> Guardianship ceases  Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Section 43. To be in writing
Intervention orders A person authorised under an intervention order shall keep records of the exercise of his powers.		5 Years	D	<b>Trigger</b> Guardianship ceases  Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Section 53 (3), 54. To be in writing
Guardianship Order A guardian shall keep records of the exercise of his powers		5 Years	D	<b>Trigger</b> Guardianship ceases  Adults with Incapacity

<b>Social Work</b> Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan				
<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Adult Care Services</b>				
				(Scotland) Act 2000. 2000 asp 4. Sections 57, 65. To be in writing
Management Plan		5 Years	D	<b>Trigger</b> Guardianship ceases  Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Schedule 2-1. To be in writing
Inventory of estate		5 Years	D	<b>Trigger</b> Guardianship ceases  Adults with Incapacity (Scotland) Act 2000. 2000. 2000 asp 4. Schedule 2 - 3. To be in writing
Accounts		5 Years	D	<b>Trigger</b> Current financial year  Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Schedule 2 - 7 As prescribed by the Public Guardian
Medical treatment certificates		5 Years	D	<b>Trigger</b> Death or Guardianship ceases  The Adults with Incapacity (Medical Treatment Certificates) (Scotland) Regulations 2002 SI 2002 No 208. Regulation 2. As per schedule
Certificate of Incapacity		5 Years	D	<b>Trigger</b> Certificate lapses  The Adults with Incapacity (Management of Residents' Finances) (Scotland) Regulations 2003. SSI 2003 No 155. Regulation 2. To be in

**Social Work**

Matrimonial Proceedings Act 1958; Social Work Scotland Act 1968; The Children (Scotland) Act 1995; Regulation of Care (Scotland) Act 2001; Adoption and Children (Scotland) Act 2007 Community Care Children's Services Plan

<b>File Type</b>	<b>Description</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Adult Care Services</b>				
				writing Schedule 1 & 2
Certificate of Incapacity		5 Years	D	<b>Trigger</b> Certificate lapses  The Adults with Incapacity (Management of Residents' Finances) (No 2) (Scotland) Regulations 2003. SSI 2003 No 266. Regulation 2 To be writing. Schedules 2 & 2

## Community Care

See also **Community Care Case Recording Procedure** on the Inverclyde Council Intranet under Documents for detailed Service Procedures

	Client case files	Closure + 5	D	
	Client case files inc Day Services– Learning Disabilities (Mental Handicap)	Closure + 5	D	On closure transfer to Learning Disability Team. Restricted access to archives under Data Sharing Protocols and Data Protection
	Client Case files (Mental Health Officer) – Learning Disabilities (Mental Handicap) - guardianship	75	D	On closure transfer to Learning Disability Team. Restricted access under Data Sharing Protocols and Data Protection
	Client Case files (Mental Health Officer)– Learning Disabilities (Mental Handicap) -Scottish Ministers	75	D	On closure transfer to Learning Disability Team. Restricted access under Data Sharing Protocols and Data Protection
	Client Case files – Learning disability (Mental Handicap) – Curator Bonis	5	D	On closure transfer to Learning Disability Team. Restricted access under Data Sharing Protocols and Data Protection
	Client Case files – Mental illness – Health Social Work	Closure + 10	D	Community Mental Health Team – records will be marked with 'last worked on date' and destroyed + 10 years from this time. If re-opened the + 10 period will restart once the record has ceased to be worked on as before
	Client Case files - Deceased Clients <b>(not fostering &amp; adoption records or Learning Disabilities records)</b>	Closure + 5	D	See also Fostering and Adoption records under Children and Families section. See above for Learning Disabilities records
	Client Case files – Old Age Psychiatry	Reviewed regularly	D	
	Client Case files – Advice and Assistance - general	5	D	
	Client Case files – General Welfare – Sect 12	5	D	SW(S) Act 1968
	Client Case files – Blind Welfare	5	D	
	Client Case files – Occupational Therapy	5	D	
	Client Case files – Aids & Adaptations	5	D	
	Client Case files – Domiciliary care	5	D	
	Client Case files-Elderly residential care	5	D	
	Day Service – Client 'CASER' files	Current + 3	D	
	Contact Record sheets	Current + 1	D	
	Review minutes	Original, last until superseded, current	D	

	Personal Plans	Original, last until superseded, current	D	
	Financial papers held on behalf of client	Current until superseded	D	
	Single Shared Assessment – original signed copy	Closure + 5	D	
	Monitoring records	Closure + 10	D	
	Assessments	Current + 3	D	
	Copy assessments	Current	D	
	Resident's medical / progress notes	Current + 5	D	
	Resident's / Client's log books	Current + 25	D	
	Establishment log book / diary	Current + 25	D	
	Establishment / Home Inspection & Registration files	10	D	
	Closed enquiries re: Establishments / Homes	5	D	
	Closure of residential home records	25	D	
	Client referrals	Current + 5	D	
	Call up letter and service specification	Retain for life of case file	D	
	Notification of Rates for Community Care Services	Current + 5	D	
	Confirmation of service provided	Current + 5	D	
	Commissioning Community Care Services operational guidance - Care proposal budget pro-forma	Current + 5	D	
	Authorised providers list application form	Current + 5	D	
	Application for Community Care Services Contract	Current + 5	D	
	Registration staff-copy of applications, copy reports, copy certificates	Current + 25	D	
	PFA staff - notification of fee being chargeable	Current + 25	D	
	Applications, reports, copy certificates	Current + 25	D	
	Application form	Current + 5	D	
	Standard letter to applicant regretting no award	Current + 5	D	
	Standard memo to Finance requesting payment	Current + 5	D	
	Standard letter to voluntary organisations notifying amounts approved for individual applicants	Current + 5	D	
	Grant claim related forms	Current + 5	D	
	Occupational Therapy files	Closure of file + 5	D	

### Fostering and Adoption

Note Certain retention period of 75 years raised to **100 years** to reflect longer life expectancy of clients

	Adoption panel minutes	Closure + 5	D	
	Fostering Resource Panel Minutes	Closure + 5	D	
	Adoption Client Case files - children.	DOB +100 (to reflect longer life	D	Adoption Agencies (Scotland)

		cycle)		<p>Regulations 1996 - reg.23</p> <p>Adoption Agencies (Scotland) Regulations 2009 - reg.28</p> <p>Kept by Local Office for 5 years and then archived in secure conditions.</p>
	Adoption Client Case files – adoptive parents.	DOB +100	D	<p>Adoption Agencies (Scotland) Regulations 1996 - reg.23</p> <p>Adoption Agencies (Scotland) Regulations 2009 - reg.28</p> <p>Kept by Local Office for 5 years and then archived in secure conditions.</p>
	Case file – prospective adopters where adoption order not granted	Closure +10	D	<p>Adoption Agencies (Scotland) Regulations 2009 - reg.28</p> <p>Kept by Local Office for 5 years and then archived in secure conditions.</p>
	Indexes to Adoption Case files	100 years from entry	D	<p>Adoption Agencies (Scotland) Regulations 2009 - reg.28</p>
	Foster carers files – This must include applications which do not proceed	25 years from termination of approval or death (whichever is earlier)	D	<p>Fostering of Children (Scotland) Regulations 1995 - Reg. 19.</p> <p>The Looked After Children (Scotland) Regulations 2009 - reg 32</p> <p>Kept by Local Office for 5 years and then archived in secure</p>

				conditions.
	Kinship Carer files	Closure + 25	D	The Looked After Children (Scotland) Regulations 2009 - reg 16  Kept by Local Office for 5 years and then archived in secure conditions.
<b>Children &amp; Families</b>				
Note Certain retention period of 75 years raised to <b>100 years</b> to reflect longer life expectancy of clients				
	Child Protection Register & records	100	D	TBC - Under discussion by the Child Protection Committee
	Child Protection Investigation	30 years from 18 <sup>th</sup> birthday	D	TBC
	Voluntary Allocated Client Case files – not in care	Closure + 5	D	Short term respite care – under 120 days
	Short Contact Client Case files	1 year	D	
	Referrals – Client Case files	1 year	D	
	Client Case files – deceased	Closure + 5	D	
	Residential homes - log books	100	D	
	Residential homes - looked after children's files	100*	D	Arrangements to Look After Children (Scotland) Regulations 1996 - reg. 12. *100 <sup>th</sup> birthday/ 25 years from date of death
	Residential homes - financial records	Current + 5	D	Audit requirements.
	Children's homes inspection records	100	D	
	Client Case files - Child Care - C&F Sect 10 Mat Pro	DOB 100	D	Matrimonial Proceedings Act (MPA) 1958
	Client Case files - Child Care - C&F Sect 12 Mat Pro	DOB + 100	D	MPA1958
	Client Case files - Child Care – C&F Sect 16	DOB + 100	D	SWSA 1968 Resolution by the Local Authority in respect of assumption and vesting of parental rights and powers
	Client Case files - Child Care - C&F Sect 11	DOB + 100	D	The Children (Scotland) Act 1995 Under the Act anyone who claims an interest may in respect of a child apply for an order in relation to parental responsibilities/rights/guardianship, provided the person is not the Local Authority



	PRO (Parental Responsibilities Orders)	DOB + 100	D	The Children (Scotland) Act 1995  Kept by Local Office for 5 years and then archived in secure conditions
	Permanence Orders	DOB + 100	D	The Adoption and Children (Scotland) Act 2007  Kept by Local Office for 5 years and then archived in secure conditions
	Client Case files - Child Care - C&F Sect 25	DOB + 100	D	The Children (Scotland) Act 1995
	Client Case files - Child Care - C&F Sect 15	DOB + 100	D	Social Work Scotland Act (SWSA) 1968
	Client Case files-Child Care - C&F Sect 70 (3) (1)	DOB + 100	D	The Children (Scotland) Act 1995 – Home Supervision
	Client Case files - Child Care - C&F Sect 44(1)A	DOB + 100	D	SWSA 1968 - Home Supervision
	Client Case files-Child Care - C&F Sect 70(3)	DOB + 100	D	The Children (Scotland) Act 1995 – Looked after/accommodated children
	Client Case files - Child Care - C&F Sect 44(1)A CR	DOB + 100	D	SWSA 1968 – residential care
	Client Case files - Child Care - C&F Sect 44(1)B	DOB + 100	D	SWSA 1968 – residential care
	Client Case files - Child Care - C&F Sect 86	DOB + 100	D	The Children (Scotland) Act 1995
	AA1 Adoption allowance-payment authorisation	Current + 5	D	
	AA2 Adoption Allowance record of payments	Current + 5	D	
	AA3 Approved Adoption Allowance - Confirmation of Circumstances	Current + 5	D	
	AA3A Adoption Allowance - Confirmation of Circumstances	Current + 5	D	
	AA4 Adoption Allowance - request for payment	Current + 5	D	
	Fostering Allowances	Current + 5	D	
	Fostering Fees	Current + 5	D	
	Fostering – other expenses	Current + 5	D	
	Kinship Care Allowances	Current + 5	D	
<b>General – Common Records</b>				
	Staff Supervision Minutes (professional development/training/case details/work plans/annual ERDP)	Closure + 5	D	

	Correspondence files	Last Action + 2	D	
	Disclosure Scotland checks	30 days	Top section to Relevant File Bottom Section D	Code of Practice, issued by Scottish Ministers, regarding the correct handling, holding and destroying of Disclosure information provided by Disclosure Scotland under Part V of the Police Act 1997 ("the 1997 Act"), for the purposes of assessing applicants' suitability for positions of trust. Data Protection Act (2018)
	Disclosure Database	Check with HR	D	Lists name of disclosure subject, date of disclosure, certificate number and confirms if any convictions disclosed in line with Code of Practice
	Short Cases/Referrals	1	D	
	Project files	Closure of file + 5	D	
	Voluntary Case files	Closure of file + 5	D	
	Research files	Closure of file + 5	D	
	Strategy documents	Until superseded	D	
	Conference reports	Until superseded	D	
	Publications	5	D	
	Policies and Procedures	Until superseded	D	
	A1 Assessment - board & lodgings	Current + 5	D	
	A2 Residents contribution	Current + 5	D	
	Independent Fund cash book	Current + 25	D	
	Recreation cash book	Current + 25	D	
	Holiday Allowance claim for reimbursement of VAT	Current + 5	D	
	Confirmation	Current + 5	D	
	Clients a/c cash book	Current + 5	D	
	Clients a/c record card	Current + 5	D	
	Clients a/c-Reconciliation sheet	Current + 5	D	
	Clients a/c-bank reconc. form	Current + 5	D	
	Clients a/c-Letter of indemnity	Current + 5	D	
	Clients a/c-expenditure voucher	Current + 5	D	
	Clients DLA application form	Current + 5	D	
	Clients requests for help	Current + 5	D	
	Pocket money record book	Current + 5	D	
	Savings record card	Current + 5	D	
	Cared budget proposal schedules	Retain for life of agreement	D	
	Clothing record card - individual	Current + 5	D	
	Clothing claim form	Current + 5	D	
	Clothing for cash advance	Current + 5	D	
	Club Profile pro-forma	Current + 5	D	
	Controlled stationery control sheet	Current + 5	D	
	Controlled stationery receipt	Current + 5	D	
	Diary	Current year + 5	D	
	Discharge form	Current + 5	D	
	Expenditure voucher	Current + 5	D	

Grants control log	25	D	
General a/c record card	Current + 5	D	
General bank a/c -reconc. form	Current + 5	D	
Handcrafts-stock record book	Current + 5	D	
Handcrafts-sales record book	Current + 5	D	
Handcrafts-finished crafts record	Current + 5	D	
Income monitoring form	Current + 5	D	
Internal supplies requisition	Current + 5	D	
Letter to QLTR Form A	Current + 5	D	
Letter to QLTR Form B	Current + 5	D	
Letter to Bank/Bdg Soc Form A	Current + 5	D	
Letter to Bank/Bdg Soc Form B	Current + 5	D	
Letter to Insurance Company	Current + 5	D	
Medical examination claim form	Current + 5	D	
Medical examination fees	Current + 5	D	
Meals income return	Current + 5 Current + 6 (for residence)	D	
Monthly maintenance return	Current + 5	D	
Property/savings receipt	Current + 5	D	
Property release form	Current + 5	D	
Property gift form	Current + 5	D	
Property receipt	Current + 5	D	
Property envelope	Retain until property released		
Remittance advice	5	D	
Residents property in own keeping	Current + 1	D	
Resident's property register	Current + 5	D	
Residents property transfer form	Current + 5	D	
Residents property record card	Current + 5	D	
Residents accommodation charges	Current + 5	D	
Residents accommodation Charges-wkly summary	Current + 5	D	
Residential accommodation for elderly/handicapped - residents paying by monthly bankers s/o	Current + 5	D	
Request for withdrawal from resident's/client's savings account	Current + 5	D	
Section 12 Application for assistance	Retain for life of case file	D	SWSA 1968
Section 12 Repayment agreement	Retain for life of case file	D	
Section 12 loan record card	5 years after repayment or write-off by auditor	D	
Section 12 loan record-control card	Current + 5	D	
Section 12 Reminder letter	Current + 5	D	
Section 12 Final reminder	Current + 5	D	
Section 12 Monthly return	Current + 5	D	
Section 22 Application for Assistance	Retain for life of case file	D	The Children (Scotland) Act 1995
Section 22 – Grant record card	Current + 5	D	SWSA 1968
Sessional medical exam fee claim	Current + 5	D	

	visiting med officer for LA home etc.			
	Telephone income book	Current + 5	D	
	Travel tickets receipt	5	D	
	Travel requisition	Current + 5	D	
	Travel ticket requests	Current + 5	D	
	Travel tickets memo	Current + 5	D	
	Transport provision analysis	Current + 5	D	
	Transport request form	Current + 5	D	
	Club pick-up list	Current + 5	D	
	Escort overtime claim form	Current + 5	D	
	Letter to existing clubs which have returned profile	Current + 1	D	
	Letter to existing clubs which have not returned profiles	Current + 1	D	
	Assessment form (Transport assessment for community groups)	Current + 1	D	
<b>Training</b>				
	HNC Applications	2 years	D	Mandate and signed copy. Summary held in database while person employed with council.
	SVQ Candidate files	1 year from completion of course	D	Summary held in database while person employed with council.
	Staff Data Collection Form	Paper copy 1 year	R	Data transferred to electronic database which will be kept permanently.
	Staff timesheets – duplicates	1 year	D	

#### 4. Legal

File Type	Retention Period	Fate	Notes
<b>Legal Documents</b>			
Adoption records	Date of order/ decision or closure of file + 100 years if adoption order made 10 years if no order made	D	
Advice (Case Files for provision of legal advice to all services)	5 from date of last correspondence or action	D Advice where expert opinion of Counsel received is to be retained permanently	

File Type	Retention Period	Fate	Notes
Agreements	10 from agreement expiry	D	Signed agreements should be kept in the deed safe for 10 years following duration or lifespan.
Anti-Social Behaviour Cases	10 from order expiration/conclusion of court action	D	
Byelaws – Enactments	P	A	
Byelaws – Case files	5 from date of last correspondence or action	D	
Charging Orders	P	A	Charging Order and Discharge permanently retained in Deed Safe. Correspondence file can be destroyed as per Community Care files.
Children’s Panel records	All documents and files retained as per Children’s Hearing Scotland instructions and retention schedule.		
Civic Government General	6 from date of last correspondence or	D	
Civic Government Application forms	6 from date of last correspondence or	D	
Civic Government Licences Public Register	P	A	
All Civil court actions including insurance claims <sup>3</sup> , Judicial Review, Sheriff Court, Court of Session, Lands Tribunal	10 years from date action concluded/ court order expires	D	

<sup>3</sup> If injury is caused to a child or is a disease claim, documentation should be kept indefinitely as further action may occur in later years if developments take place.

File Type	Retention Period	Fate	Notes
Child Protection Orders	Date of order/ decision or closure of file + 100 years if an adoption Order made 10 years if no order	D	
Closing Orders	6 years from compliance with notice.	D	
Community Care files	10 from date of last correspondence or action	D	
Compulsory Purchase	P	A	
Contracts, Tenders and Files	Termination of contract + 5 years	D	
Title Deeds	Disposal of Property	Transfer to New Owner	
COSLA	10 from date of last correspondence or action	D	
Debt recovery / rent	5	D	
Demolition Orders	6 years from compliance with notice.	D	
General Correspondence Files	10 from date of last correspondence or action	D	
Fatal Accident Inquiry	10 from date of last correspondence or action	D	
Grant Applications	20 from Date of Grant Payment	D	
Harbours	10 from date of last correspondence or action	D	
HMO Licensing	7 from date licence	D	
Improvement Grant file	10 from date of grant payment	D	
Improvement Grant – copy of grant	10 from date of grant payment	D	
Leases	P	A	
Legal files for example files covering compulsory purchase, conveyancing purchase and sales and related missives, leases, Section 75 Agreements	10 from date of last correspondence or action	S	Offer significant cases to office responsible for managing your records to sample. Destroy the remainder.

File Type	Retention Period	Fate	Notes
etc.			
Licensing Board – General	6 from date of last correspondence or action	D	
Licensing Board – Premises	5 after Premises Licence ceases to be in place.	D	
Licensing – Refused/ Withdrawn	5 from the date of event e.g. refused / withdrawn.	D	
Management and Staffing	6 from leaving date	D	
Mental Health (all papers)	10 from date of last correspondence or action	D	
Performance Guarantee Bonds	Expiry Date	Transfer back to Guarantor/Contractor	
Performance Guarantee Bonds – Copy of Bond	P	A	
Permanence Orders	Date of order/ decision or closure of file +100 years if an Adoption Order made 10 years if no order made	D	
Placing Request Applications/Appeals	10 from date of last correspondence or action	D	
Planning Appeal Files (appeals against Planning Authority decision, Local Review Body and Appeals to Scottish Ministers)	10 from date of last correspondence or action	D	
Planning Enforcement Orders	10 years from compliance with notice/last correspondence or action.	D	
PPP	P	A	
Property Enquiry Certificates	10 from date of last correspondence or action	D	
Public Enquiry	5 from date of last correspondence or	D	

File Type	Retention Period	Fate	Notes
	action		
Public Liability Claims <sup>4</sup>	10 from date of last correspondence or action	D	
Residence, Contact and Kinship	20 from date of order/ decision or closure of file	D	
Rights of Way	P	A	General correspondence file can be destroyed 10 years from date of last correspondence or action. Map/description/formal Right of Way legal documents to be retained in deed safe.
Roads Bonds	Expiry Date	Transfer back to guarantor/contractor	
Roads Bonds – copy of Bond	P	A	
Road Traffic Order files	5 from date of last correspondence or action	D	
Road Traffic Orders – copy of Order	P	A	
Section 75 Agreements – signed agreement	P	A	
Servitudes and Wayleaves – signed deed	P	A	
Statutory Appeals	5 from date of last correspondence or action	D	
Statutory Notices	5 from date of last correspondence or action	D	
Statutory Orders	5 from date of last correspondence or action	D	
Taxi Licensing files	5 from date of last correspondence or action	D	
Taxi Licensing Refused/Withdrawn	5 from the date of event e.g. refused / withdrawn.	D	
Tree Preservation Orders	P	A	
Trusts	10	D	
Trusts – copy of Trust Deed	P	A	

y as further action may occur in later years if developments take place.





File Type	Retention Period	Fate	Notes
Register of Cases	P	A	

**Contracts & Tenders**

File Type	Retention Period	Fate	Notes
Contracts	Termination of contract + 5 years	D	
Measured term contracts	Termination of contract + 5 years	D	
Copy Contracts	Termination of contract + 5 years	D	
Contract tenders – successful	Termination of contract + 5 years	D	
Contract tenders – unsuccessful	Current + 1 year	D	
Contracts under Seal	Termination of contract + 12 years	D	
Building Contracts & Professional Appointments	Termination of contract +12	D	
Contract under signature	Termination of contract + 5 years	D	
Contract monitoring records	Current + 2 years	D	
Tender Return Sheets/Register of Tenders	P	A	

**Procurement**

File Type	Retention Period	Fate	Notes
Tender Record Sheets (Paper)	5	D	
Tender Submissions Electronic (Successful)	Contract Term + 5	D	
Tender Submissions Electronic (Unsuccessful)	Award of Contract + 1	D	
Tender Evaluation Electronic (Successful)	Contract Term + 5	D	
Tender Evaluation Electronic (Unsuccessful)	Award of Contract + 1	D	
Contract Monitoring/Management (Electronic)	Contract Term + 5	D	
Successful Contract Award Letters (Paper)	Contract Term + 5	D	

## 5. Statutory Services

Registrations of Births, Marriages and Deaths				
	File Type	Retention Period	Fate	Notes
	Births Register	P	A	Transfer to GROS once administrative use is finished.
	Deaths Register	P	A	Transfer to GROS once administrative use is finished.
	Marriages Register	P	A	Transfer to GROS once administrative use is finished.
	Notice of marriage	Last action + 3	D	
	Forms including marriage, civil partnership notices, medical certificates, form 49D, forms of particulars and form RR3	Completion + 3	D after consultation with district examiner or GROS	

## 6. Human Resources

Human Resources - Personnel				
	File Type	Retention Period	Fate	Notes
	Employment Register – Frontier (Chris21)	Current + 5 Years from date of leaving	D	New start information. Need to investigate how to archive electronic data.
	Personnel files	Termination + 7 years	D	Paper files – weeded before transfer to semi current store pending destruction.
	Personnel files - staff working with children	Termination + 25 years	D	
	Agreements, awards, negotiations etc.	10 Years	D/S	Offer to officer responsible for managing your records to sample, and the remainder to be destroyed.
	Disciplinary – oral warning	6 months	D	Warnings involving incidents with children to be placed on personnel file permanently. Otherwise remove from file
	Disciplinary – written warnings	6 months	D	
	Disciplinary – final warning	12 months	D	
	Disciplinary – incidents involving children	Termination + 6 years	D	Permanently in personnel file. Destroy according to Personnel files Termination + 6 years D
	Disciplinary/Grievance/Harassment etc. File	Current + 3 years	D	Record of investigation where allegations are Unsubstantiated = 6 months. <i>[a note may be retained showing investigation took place but allegation was unsubstantiated.]</i>
	Appeal as above	Current + 5 years	D	
	Policies – Personnel	Current + previous version	R	Keep previous version until superseded for comparison

## Human Resources - Personnel

	File Type	Retention Period	Fate	Notes
	Occupational Health records, not relating to health surveillance or Health and safety – kept on personnel file	Termination + 6	D	Produced by commercial company. HR get a copy of report.
	Occupational Health Records – kept on personnel file relating to Health Surveillance or Health and Safety issues. Including for hazardous substances (including biological monitoring) and physical agents (e.g. audiometry, HAVS etc.)	40 years from termination of employment.	D	Records are classified as medical information and produced and retained by a Commercial company. OD, HR and Performance get a summarised report.
	Occupational Health Records containing details of employee's exposure to asbestos.	40 Years from termination of employment	D	
	Recruitment records including interview notes and recruitment records and forms – unsuccessful applicants	Recruitment finalised + 6 months	D	
	Recruitment records including interview notes and recruitment records and forms – successful applicant	Termination + 7 years	D	With personnel files
	Teaching application forms (copies)	Date of interview + 6 months	D	
	Pre-employment vetting information	Date of check + 6 months	D	
	Performance Appraisal records	Completed action + 3 years	D	
	Staff leave records	Completed action + 2 years	D	
	Absence management records	Current	D	
	Sickness absence – Service records	1 year	D	
	Flexi Timesheets	Current + 1 year	D	
	Timesheets	Current + 5 years	D	
	Financial reward records	Keep with personnel file	D	
	Minutes of Trades Union Officers meetings	Current + 6 Years	D	
	Pension records			These are held by Council who administer pensions on behalf of the Inverclyde Council
	Identification and School Badges	1 year	D	
	Interview Notes	6 months	D	
	Temporary teachers update forms	Keep until superseded	D	Sent out twice yearly to supply teachers for confirmation that details are correct. Details entered onto database.
	Temporary teachers declaration form	1 Year	D	Indicates acceptance of details being held and published electronically
	Salary cards	Last date of employment + 85 years	D	
	Maternity pay records	Current year + 6	D	Documents relating to maternity

<b>Human Resources - Personnel</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
		years		/ paternity / parental / adoption leave or flexible working (other than pay records) kept in personnel file.
	Records held under retired benefits schemes	Current year + 6 years	D	
<b>Training</b>				
	Training records routine (not occupational health or involving children)	Current + 2 years	D	
	Training records (concerning children)	Completion of training + 35 years	D	
	Training records - Occupational Health and Safety training records	Completion of training + 6 years or 40 years.	D	e.g. OH & S training register. Where records relate to training associated with the reason for statutory health surveillance then these records should be retained for the same length of time as the individual's health record.  Records may be required to defend litigation.
	Training materials (Not Health and safety)	Course superseded + 1 year.	D	Health and Safety Training materials need to be kept for longer.
	Training materials – Health and Safety	Completion of training + 6 years or 40 years.	D	Where records relate to training associated with the reason for statutory health surveillance then these records should be retained for the same length of time as the individual's health record.  Records may be required to defend litigation.
<b>Disclosure Scotland</b>				
	Disclosure Scotland records	30 days	Top Section transferred to Personnel File (see above)  Bottom Section D	Code of Practice, issued by Scottish Ministers, regarding the correct handling, holding and destroying of Disclosure information provided by Disclosure Scotland under Part V of the Police Act 1997 ("the 1997 Act" ), for the purposes of assessing applicants' suitability for positions of trust. Data Protection Act (2018)
	Disclosure Scotland spreadsheet (electronic)	Current +10 Years	D	Records original application number, surname, forename, Date of birth, Post, Service, enhanced or standard,

Human Resources - Personnel				
	File Type	Retention Period	Fate	Notes
				dates, certificate number and decision
	Disclosure Scotland Policy	P	A	Stored electronically
Payroll				
	Payroll prints	Current + 5	D	
	Payroll records	Conclusion of financial transaction + 7	D	
	Payroll certificates (pension entitlement)	13	D	

Health and Safety				
Accident and Incident Records				
	Accident/Incident reporting: Adults – Accident book, Incident report forms and accident investigation reports.	Current year +6 years	D	RIDDOR 2013, Social Security (claims and payments) regulations 1979.
	Accident/Incident reporting: Children – Accident book, Incident report forms and accident investigation reports.	Current year + 25 years	D	RIDDOR 2013
	Recording and reporting of accidents involving Group 3 or Group 4 biological agents, asbestos, lead, other hazardous substances which could cause long term effects, or physical agents. i.e. HAVs Noise etc.	40 years from date of incident	D	Control of Substances Hazardous to Health Regulations 2002. Control of Asbestos 2012
	Violence to staff Incident Forms	Current year + 6 years	D	
Assessments and Monitoring				
	COSHH Assessments and Recommended Actions	Current year + 6 years	D	
	Process of monitoring of areas where employees and persons are likely to have come into contact with asbestos	Last action + 40	D	
	Process of monitoring of areas where employees and persons are likely to have come into contact with radiation	Last action + 50	D	
	Air monitoring (no surveillance requirement)	6 years	D	
	Air monitoring (health surveillance requirement)	40 years after date created.	D	
	Manual Handling assessments	6 years after assessment reviewed or for personal assessments, termination of contract.	D	
	DSE Assessments	6 years after	D	

		assessment review.		
	DSE (Glasses Voucher records)	6 years after date created.	D	
	Risk assessments and recommended actions	Next assessment plus 6 years.	D	
	Fire Risk Assessments	3 years after no longer relevant to the building.	D	
	First Aider notification	Date superseded	D	
	PPE risk assessments and records of issue	6 years from date of issue	D	
	Record of maintenance of PPE	3 years from date superseded	D	
	Test certificates/calibration certificates (not statutory requirements)	3 years from date superseded	D	
<b>Inspections, Audits Working methods</b>				
	Site safety inspections	6 years after date created	D	
	H&S Audits and inspections	6 years after audit superseded/reviewed	D	
	Method statements, safe systems of work, procedures, guidance documents	6 years from date superseded unless it relates to an area requiring Health surveillance.	D	
	Method statements, safe systems of work, procedures, guidance documents (relating to area requiring health surveillance)	40 years	D	
	Instruction Manuals	6 years after date superseded		
<b>H&amp;S Policy</b>				
	Health and Safety Policy and Arrangements (Not requiring Health Surveillance)	Date of expiry/modification plus 6 years.		
	Health and Safety Policy and Arrangements (Requiring Health Surveillance)	50 Years after modification		
	Guidance documents and information sheets (Not requiring health surveillance)	Date of expiry/modification plus 6 years.		
	Guidance documents and information sheets (Requiring health surveillance)	50 Years after modification		

## 7. Financial Management

Finance				
	File Type	Retention Period	Fate	Notes
	Annual Accounts and Reports	P	A	Annual Accounts x 1 Members Letter x 1
	Annual account working file	Current + 6	D	
	General Ledger	Current + 6	A	7 years (i.e. current plus 6) in line with HMRC, in practice we will be longer while we retain current ledger but would then place a limit on retained info if we changed ledger.
	Asset Register	Current + 5	A	Tie in with Re-evaluation Cycle
	Subsidiary asset register	Conclusion of financial transaction + 7	D	
	Inventories, stocktaking etc.	Conclusion of administrative use + 2	D	
	Annual budget and background papers	Current year + 6	D	
	Journals and subsidiary ledgers (annual)	Current + 6	D	
	Invoices	Current + 6	D	Statutory
	Copy Invoices	Current year + 2	D	Service should not need to keep copy invoices as originals are held by Finance
	Receipts	Current + 6	D	Statutory
	Bank statements	Current + 6	D	Statutory
	Credit card statements	Current + 6	D	Statutory
	Cash books, cheque counterfoils	Current + 6	D	Statutory
	Reconciliation records	Current + 6	D	
	Taxation records (including VAT return/records)	Current + 6	D	
	P60	Current + 2	D	
	P45 (Income tax – employee leaving)	Current + 5	D	Taxes Management Act 1970
	Time cards/sheets	Current + 2	D	
	Sickness forms	Current + 5	D	
	Employee pay records	Conclusion of financial transaction + 7	D	
	Employee taxation records	Conclusion of financial transaction + 7	D	
	Summary employee pay reports	Administrative use concluded	D	
	Creditors reports	Current + 6	D	Year-end procedures follow annual account retention rules
	<b>European Grant funding records</b>	<b>Date of Closure of Programme + 7</b>	<b>D</b>	
	Loan files	Current + 6	D	

## Finance

	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Insurance policies	P	A	Insurance policy documents (but not claims files/paperwork) need to be kept permanently.
	Public Liability Insurance policies	P	A	Public liability Insurance policy documents (but not claims files/paperwork) need to be kept permanently.
	Public liability claims	Date of settlement + 6	D	If injury is caused to a child or is disease claim documentation should be kept indefinitely as further action may occur in later years if developments take place.
	Employers liability claims	Date of settlement + 7	D	
	Property Claims	Date of settlement + 5	D	
	Vehicle claims	Date of settlement + 5	D	
	Council tax valuation lists	Year of valuation + 10	D	
	Council tax records	Current + 6	D	
	Council tax records (debts still outstanding)	Debt extinguished + 6	D	
	Rate books, rate register	Current + 6	D/S	After administrative use is finished offer to officer responsible for managing your records to sample. Destroy the remainder.
	Records relating to property rates	Last action + 6	D	
	Legal documents relating to sales/purchases, leases etc.	Conclusion of obligations + 6	D	
	Contracts < 10K	Termination of contract + 5	D	
	Contracts > 10K	Termination of contract + 10	D	
	Purchase Order books	Current + 3	D	
	Purchase orders	Current + 3	D	
	Previously used purchase orders	Current + 3	D	
	Dept purchase order books	Current + 3	D	
	Benefit records	6	D	
	Correspondence files	Closure + 2	D	
	Performance indicators	Current + 2	D	
	Service improvement plan	Current + 2	D	
	Minutes of Service	Date of meeting + 1	D	
	Travel and Subsistence Claims & Authorisation	6	D	
	Financial reward records	Completed action + 7	D	
	Trusts and Endowments - Applications	10	D	
	S55 Claim Forms (authorisation of financial codes – temporary teachers)	Current +5	D	



<b>Finance</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Cash income vouchers	Current year + 6	D	
	Bank Pay- in books/counterfoils	Current year + 6	D	
	Petty cash records	Current year +3	D	
	Expenditure vouchers	Current +6	D	
	Purchase card requisition forms	Current +1	D	
	Timesheets, sick pay	Current year + 6	D	Financial Regulations
	Loans and grants	Date on last payment of loan + 12 months except where grants are used to match fund EU grants where retention is Date of Closure of Programme + 7	S	Offer to officer responsible for managing your records to sample for permanent preservation, and the remainder to be destroyed
	Contracts: monitoring records	Current year + 2	D	

## 8. General Public Services

<b>Education Records - Headquarters</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Administration</b>				
	Children's Performance Licence	3	D	
	Copyright correspondence	Closure of file + 5	D	
	Employment of children correspondence	Closure of file + 3	D	
	Minutes of meetings	Date of Meeting + 1	D	
	Placing request applications, appeals and correspondence	3	D	
	Trusts and Endowments – Terms of Criteria	P	A	
	Pupil Transport Request Forms	1	D	Scottish Government recommendations
	School Transport Policy	5	D/R	Scottish Government recommendations
	Placing Request guidelines	P	A	Consider historical value
	School Transport Contracts	7	D	
	School Transport Eligibility	3	D	
	Admission appeals	7	D	
	LAAC Case Records	100	D	
	Exclusion records	7	D	
	First Aid Books	3	D	
	ID Badges	1	D	
<b>Staffing</b>				
	Staff annual performance appraisals	3	D	

	Flexi-time update forms	1	D	
	Flexi Timesheets	Current + 2	D	
	HR files of staff not working with children	6	D	Retain for 6 years from date of leaving
	HR files of staff working with children	25	D	Retain for 25 years from date of leaving
	Recruitment paperwork	6 months	D	For successful candidate, add to HR file
<b>Home Education</b>				
	Home Education records	5	D	
<b>Finance</b>				
	Devolved School Management documents	Current + 3	D	
	Education Maintenance Allowance (EMA) student data	6	D	Scottish Government recommendations
	EMA applications and learning agreements	6	D	Scottish Government recommendations
	EMA contracts	2	D	Scottish Government recommendations
	EMA Payment authorisations	6	D	Scottish Government recommendations
	EMA Payment transactions	6	D	Scottish Government recommendations
	EMA Student correspondence	6	D	Scottish Government recommendations
<b>Pre-school</b>				
	Annual Partnership contracts	Termination of contract + 1	D	
	Priority Admissions to Nursery Schools	2	D	
	Census returns	2	D	
	Centre listings	2	D	
	Development plans	3	D	
	Early assessment records	Current year	D	
	Correspondence with parents	Closure of file + 2	D	
	Grant payments	2	D	
	Outcome of offers	2	D	
	Registration forms	2	D	
	Workshop notes	2	D	
<b>Her Majesty's Inspectors of Education</b>				
	HMI Inspection reports	P	A	
<b>Music Instruction</b>				
	General correspondence	2	D	
	Invoice details	Current + 6	D	
	Music Instructors timetables	1	D	
<b>Senior Leadership Team</b>				
	School development plans	Closure +6	S	Offer to officer responsible for managing your records to archive
<b>Finance</b>				
	Applications for free school meals, travel, etc.	Whilst child is at school	D	
	Free school meals register	Current year + 6	D	

	Student Grant applications	Current year + 3	D	
<b>Agreements</b>				
	Service Level Agreements	Until superseded	D	
<b>School Records</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Administration</b>				
	Children's Performance Licence	3	D	
	Complaints	Resolution of Complaints +5	D	
	Copyright Correspondence	Closure of file +5	D	
	Minutes of Meetings	Date of Meeting +1	D	
<b>Staffing</b>				
	Staff annual performance appraisal/PRD	3	D	
	HR files of staff not working with children	6	D	Retain for 6 years from date of leaving
	HR files of staff working with children	25	D	Retain for 25 years from date of leaving
	Recruitment paperwork	6 months	D	For successful candidate, add to HR file
<b>Parent Councils</b>				
	Correspondence	Closure of file + 2	D	
	Minutes	P	A	
<b>Pre-school</b>				
	Correspondence with parents	Closure of file +2	D	
	Registration Forms	2	D	
	Workshop notes	2	D	
<b>Work Experience</b>				
	Additional placement requests	2	D	
	Employers Acceptance Forms	3	D	
	Employers Questionnaires	3	D	
<b>Her Majesty's Inspectors of Education</b>				
	Establishment files	Once closed	D	
	Questionnaire	1	D	
	HMI Inspection reports	P	A	
<b>Senior Leadership Team</b>				
	Minutes: principal signed set	P	A	Retain in school for 6 years from date of meeting. Transfer to officer responsible for managing your records to Archive.
	Minutes: inspection copies	Date of meeting + 3	D	
	Agendas	Date of meeting + 6 months	D	
	Reports	Date of meeting + 6	S	Retain in school for 6 years. Offer to officer responsible for managing your records to sample for permanent preservation, and the remainder to be destroyed.
	Annual Parents' meeting papers	Date of meeting +	S	Retain in school for 6 years. Offer

		6		to officer responsible for managing your records to sample for permanent preservation, and the remainder to be destroyed.
	Action Plans	Date of action plan + 3	D	
	School Plans/Policy documents	Expiry of Policy	S	Retain in school whilst policy is operational. Offer to officer responsible for managing your records to sample for permanent preservation, and the remainder to be destroyed.
	Complaints files	Date of resolution of complaint + 5	D	
	School Improvement Plans and Standards & Quality Reports	Date of report + 10	S	Offer to officer responsible for managing your records to sample for permanent preservation, and the remainder to be destroyed.
	Newsletters (for staff, parents and pupils)	Current year + 1	S	Offer to officer responsible for managing your records to sample for permanent preservation. These often replace the log book as a way of seeing what activities are done in a school
	Minutes of Senior Management and other internal administrative bodies	Date of meeting + 5	S	Retain in the school for 5 years from meeting. Offer to officer responsible for managing your records to sample for permanent preservation, and the remainder to be destroyed.
	Reports made by the head teacher or the management team	Date of report + 3	S	Retain in the school 3 years from report. Offer to officer responsible for managing your records to sample for permanent preservation, and the remainder to be destroyed
	Records created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities	Closure of file + 6	D	
	Correspondence created by head teachers, deputy head teachers, heads of year and other members of staff with administrative responsibilities	Date of correspondence + 3	D	
	Professional development plans	Closure + 6	D	
	School improvement plans	Closure + 6	S	Offer to officer responsible for managing your records to Archive.
<b>Pupils</b>				
	Admission registers	P	A	Info held on SEEMIS. Retain in the school from school from date of birth + 25 years. Transfer to officer responsible for managing your records to archive. Records closed to general public scrutiny for a further 30 years
	Admission and Leavers information –	P	A[E]	Info held on SEEMIS. Retain in the

				school from pupil date of birth + 25 years. Transfer certain fields of information to officer responsible for managing your records to archive on suitable electronic or other media storage or paper format. Contact Administrator for information. Records closed to general public scrutiny for a further 30 years
	Attendance registers	Date of register + 4	D	Info held on SEEMIS
	Pupil record cards: Nursery	Retain for the time the pupil remains at the nursery school. Transfer to next school when child leaves		Info held on SEEMIS. Transfer to next school
	Pupil record cards: Primary	Retain for the time the pupil remains at primary school. Transfer to next school when child leaves.		Info held on SEEMIS. Transfer to next school
	Pupil record cards: Secondary	DOB of the pupil + 25	D	
	Pupil Progress Report (PPR) – Personal Pupil Record - Nursery	Retain for the time the pupil is at school. Transfer to next school when child leaves.		
	Pupil Progress Report (PPR) – Personal Pupil Record - Primary	Retain for the time the pupil is at school. Transfer to next school when child leaves.		
	Pupil Progress Report (PPR) – Personal Pupil Record - Secondary	DOB of the pupil + 25	D	
	Special Educational Needs files, reviews and Individual Education Plans	DOB of the pupil + 25	D	
	Letters authorising absence	Date of absence + 2	D	
	Examination results: SQA	Year of examination + 6	D	
	Examination results: Internal Assessments	Year of examination + 6	D	
	Pupil miscellaneous records - any other records created in the course of contact with pupils	Current Year + 3	R	Review at the end of 3 years and either allocate a further retention period or destroy.
	Administration of Medicines	DOB + 25	D	
<b>Curriculum</b>				
	Curriculum	Current year + 6	D	
	Curriculum returns	Current year + 3	D	
	Course Materials	Current year + 1	R	Review at the end of 1 year and either allocate a new retention period or destroy.

	Schemes of work	Current year + 1	R	Review at the end of 1 year and either allocate a new retention period or destroy.
	Timetable	Current year + 1	R	Review at the end of 1 year and either allocate a new retention period or destroy.
	Class record books	Current year + 1	R	Review at the end of 1 year and either allocate a new retention period or destroy.
	Mark books	Current year + 1	R	Review at the end of 1 year and either allocate a new retention period or destroy.
	Record of homework set	Current year + 1	R	Review at the end of 1 year and either allocate a new retention period or destroy.
	Pupils' work	Current year + 1	R	Review at the end of 1 year and either allocate a new retention period or destroy.
	SQA School Level Summary Results		P	
<b>Personnel</b>				
	Annual appraisal records	Current year + 5	D	
<b>Health and Safety</b>				
	Accessibility plans	Current year + 6	D	Disability Discrimination Act 1995
	Accident reports visitors and staff	Current year + 3	D	
	Accident reporting: children	DOB + 25	D	
	Hazardous Substances COSHH reports	Current year +10	D	
	Incident reports	Current year + 20	D	
	Critical Incident Forms	Current year + 20	D	
	Risk Assessments	Current year + 3	D	
	Process of monitoring of areas where employees and persons are likely to have come into contact with asbestos	Last action + 40	D	
	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	Last action + 50	D	
	Fire precautions log books	Current year + 6	D	
<b>Administrative</b>				
	Employer's liability certificate	P while school is open	D	Permanent whilst the school is open. Destroy on issue of new certificate.
	Inventories of equipment and furniture	Current year + 6	D	
	School brochure/prospectus	Current year + 3	S	Retain in school for 3 years. Offer to officer responsible for managing your records to sample for permanent preservation, and the remainder to be destroyed.
	Visitors' book	Current year + 2	S	Retain in school for 2 years. Offer to officer responsible for managing your records for permanent preservation.
	Parent Council Paperwork	Current year + 3	S	Retain in school for 3 years. Offer to officer responsible for managing your records to sample for

				permanent preservation, and the remainder to be destroyed.
<b>Finance – Education</b>				
	Year End paperwork	Current year + 6	S	Financial Regulations. Offer to officer responsible for managing your records to archive.
	Delivery documentation	Current year + 6	D	
	School Fund – cheque books	Current year + 3	D	
	School Fund – paying in books	Current year + 6	D	
	School Fund – signed cash books	Current year + 6	D	
	School Fund – Invoices	Current year + 6	D	
	School Fund – Receipts	Current year + 6	D	
	School Fund – Bank statements	Current year + 6	D	
	Free school meals register	Current year + 6	D	Info held on SEEMIS
	Petty cash books	Current year + 6	D	Statutory
	Bank statements	Current + 6	D	
	Cash books	Current + 6	D	Statutory
	Grant to Voluntary Organisations	Current + 5	D	
	Parentpay refunds	6	D	
<b>Property - Education</b>				
	Lettings	Current year + 3	D	
	Burglary, theft and vandalism reports	Current year + 6	D	
	Maintenance log books	Last entry + 10	D	
	Contractors' reports	Current year + 6	D	
<b>Agreements</b>				
	Work Experience agreement	DOB of child + 18	D	
<b>School Meals</b>				

<b>Libraries, Museums &amp; Archives</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Service management</b>				
	General correspondence.	Closure + 2	D	Kept electronically on shared drives.
	Meeting minutes.	3 years from meeting	D	Kept electronically on shared drives.
	Strategies, policies, procedures & instruction manuals.	Until superseded	D	Kept electronically on shared drives.
	Service improvement plans.	Superseded + 5	D	Kept electronically on shared drives.
	Statistics.	Current + 5	D	Kept electronically on shared drives.
	Equal opportunities monitoring database.	Permanent	R	Anonymised personal information. Kept electronically on shared drives.
	Complaints, compliments,	Resolution + 3	D	Complaints held in LAGAN.

<b>Libraries, Museums &amp; Archives</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	suggestions.			Compliments, suggestions & other feedback on shared drives.
	Accident report forms.	Current + 3	D	Kept electronically on shared drives.
	Project work (including research).	Permanent (subject to appraisal)	R	Kept electronically on shared drives.
	Surveys (final reports).	Current + 5	D	Kept electronically on shared drives.
<b>Personnel</b>				
	Staff personal information files (all Libraries, Museums and Archives staff work with children).	Termination + 25	D	Paper files kept in locked cupboard.
	Recruitment files (candidates unsuccessful at interview).	Date of interview + 6 months	D	Paper files kept in locked cupboard.
	Volunteers / student placement records.	Current + 6	D	Electronic & paper – kept on restricted shared drives and in locked cupboards.
<b>Financial</b>				
	Purchase orders and manual stock orders.	Current + 5	D	Guidance from Audit.
	Till rolls.	Current + 5	D	Guidance from Audit.
	Copy invoices.	Current + 5	D	Guidance from Audit.
	Purchase card journals.	Current + 5	D	Guidance from Audit.
<b>Library membership &amp; use</b>				
	Library membership records (Spydus library management system and Netloan booking system).	Retain while current.	D + A (members with fines/charges archived & anonymised after 7 years.	Current = 2 years from registration or 7 years from registration if member has fines/charges. Expiry date set on Spydus / Netloan.
	Guest user forms.	Retain while current.	D	Current = 2 years from registration.



<b>Libraries, Museums &amp; Archives</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Reading Challenge databases.	Until superseded.	D	Until superseded = 1 year.
	Media consent forms.	Retain while current.	D or A	Current = 5 years from date of event where photos were taken. Photos of historically significant events will be considered for Archiving.
	Copyright declaration forms.	Current + 4 years	D	Statutory.
	Group and event registers.	Duration of group or event.	D	Electronic files kept on shared drives and paper files kept in locked cupboard.
	Bookbug trainee database.	Retain while current.	D	Current = duration of Leader status.
	Filtering request forms.	Retain while current.	D	Current = 1 month from approval/decline.
	Individual Learning Accounts paperwork.	Retain while current.	D	Current = 6 years from service withdrawal in 2018 (2024)
	British Computer Society paperwork.	Retain while current.	D	Current = 3 years from service withdrawal in 2018 (2021)
<b>Electoral processes</b>				
	Electoral register – full version.	P	A (except branch copies which are destroyed)	Held in paper form at Greenock Central Library. Each branch library has a copy for their catchment area.
<b>Council minutes</b>				
	Inverclyde Council Minutes – bound copies.	P	A	Up to date minutes are held on Inverclyde Council's website.

<b>Museum and Archives</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Museum accessions database (PastPerfect)	Permanent	R	Kept on Museum server.
	Museum accessions register.	Permanent	R	Hard copy.
	Museum depositor records.	Permanent	R	Hard copy.

<b>Museum and Archives</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Museum day book.	Permanent	R	Hard copy.
	Museum loan box agreement forms.	Current + 1	D	Hard copy.
	Museum photograph orders and publishing permissions.	Permanent	R	Hard copy.
	Museum collection disposals record.	Permanent	R	Hard copy.
	Museum Trustee minute books.	Permanent	R	Hard copy.
	Archives accession register.	Permanent	R	Kept on shared drive and in hard copy.
	Archives accession forms.	P	R	Kept on shared drive and in hard copy.
	Archives loan forms.	Current + 1	D	Hard copy.
	Oral or written history consent forms.	Permanent	R	Hard copy.
	Local/family history enquiry forms.	Current + 3 months	D	Current = while open.

<b>Environmental Health</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Environmental Health – Investigation, inspections, and monitoring</b>	Food safety investigations	Date of action – current year + 6	D	Inspection forms, inspection reports and any other records created during intervention processes e.g. photos, sample, and correspondence records
	Workplace safety investigations	Date of action – current year + 6 (current year + 40 if relating to asbestos incident)	D	Inspection forms and any other records created during the investigation process e.g. photo, sample, and correspondence records  <b><i>Includes interventions relating to caravan sites, petroleum and storage of explosives licensing. Copy of petroleum interventions passed to Contaminated Land Officer to consider for archiving as environmental quality record.</i></b>

Environmental Health				
	File Type	Retention Period	Fate	Notes
	Private water supply investigations	Date of action – current year + 15	D	Correspondence, photos, sample records, risk assessments, etc.
	Environmental health & housing standards investigations (service request/enforcement procedures)	Date of action – current year + 2	Review/D	Records relating to investigations/processes triggered by either service requests or general enforcement activities. Correspondence, photos, noise recordings, sample records, warning letters, etc.  <b>Excludes food and health &amp; safety at work processes</b>
	Environmental enforcement investigations (dog fouling, fly tipping, littering, and smoking)	Date of action – current year + 2	D	Records relating to investigations/processes triggered by either service requests or general enforcement activities. Correspondence, photos, video recordings, sample records, warning letters, etc.
	Dangerous dog investigations	Date of action – current year + 2	D	
	Private landlord registration investigations	Date of action – current year + 3	Review/D	Records relating to administration, investigation and enforcement of landlord registration process. General correspondence, warning letters, etc.
	Air quality monitoring and assessment	Date of action – Permanent	A	Monitoring data, progress reports, etc. (includes radiation and mobile phone mast monitoring).  <b>Retain for historic value</b>
	Land & water environment quality monitoring and assessment (potentially contaminated land)	Date of action – Permanent	A	Monitoring data, investigation reports, sample records, remediation details, photos, etc. (contaminated land)  <b>Retain for historic value</b>
<b>Environmental Health – enforcement/prosecution of offences</b>	Food safety notices	Date of notice – current year + 6	D	
	Health & safety at work notices	Date of notice - current year + 6	D	Improvement notice and prohibition notice
	Noise warning notice (ASB)	Date of notice - current year + 2	D	
	Control of Pollution Act notices	Date of notice – current year + 2	Review/D	

Environmental Health				
	File Type	Retention Period	Fate	Notes
	EPA Section 80 notices	Date of notice - current year + 2	Review/D	
	Dog control notice	Date notice withdrawn - current year + 2	D	May be destroyed either in the event of notification of dog's death or 20 years from date of notice
	Public health and housing standards enforcement notices	Date of notice – current year + 2	Review/D	Civic Government (Scotland) Act 1982, Housing (Scotland) Act 2006 Section 186 30 & 62, Prevention of Damage by Pests Act 1949 Section 4 & 6, Sewerage (Scotland) Act, Rent Penalty Notices, etc.
	Closing Orders	Date of resolution - current year + 2	D	
	Demolition Orders	Date of demolition – current year + 2	D	
	Fixed penalty notices	Date of notice - current year + 6	D	FPN copies and entries on FPN register (dog fouling, littering, smoking, EPA, noise, etc.)
	Contaminated land regime notices	Date of notice - Permanent	A	<b>Retain for historic value</b>
	Private water supply notices	Date of notice - current year + 15	D	
	DVLA enquiry audit records	Date of review – current year +2	D	
	Prosecution of offences case files	Date of conclusion of case – current year + 7	D	
	Prosecution reports to procurator fiscal	Date of report – current year + 5	D	
	Prosecution registers	Date of entry – permanent	A	<b>Retain for historic value</b>
<b>Environmental Health – registration, certification, and licensing</b>	Food premises register	Date of cessation of operation - current year + 6	D	Register of regulated food premises
	Food premises registration forms	Date of cessation of operation - current year + 6	D	Registration form for food operators
	Private water supply register	Date removed from register - current year + 15	D	Register of private water supplies
	Cooling towers register	Date of cessation of operation - current year + 2	D	Register of cooling towers
	Dog warden register	Date of entry on register – current year + 2	D	Register of uplifted dogs

<b>Environmental Health</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Smoke control areas register	Date of entry on register - Permanent	A	Register of smoke control areas.  <b>Retain for historic value</b>
	Contaminated land register	Date of entry on register - Permanent	A	Register of sites determined as contaminated land  <b>Retain for historic value</b>
	Animal boarding licences	Date registration lapses - current year + 2	D	Copy of licence and records associated with the operation of the licence
	Explosives storage certificates and register	Date registration lapses - Current year + 2	D	Copy of licence and records associated with the operation of the licence
	Zoo licences	Date registration lapses - current year + 2	D	Copy of licence and records associated with the operation of the licence
	Riding establishment licences	Date registration lapses - current year + 2	D	Copy of licence and records associated with the operation of the licence
	Pet shop licences	Date registration lapses - Current year + 2	D	Copy of licence and records associated with the operation of the licence
	Animal breeding licences	Date registration lapses - current year + 2	D	Copy of licence and records associated with the operation of the licence
	Petroleum licences	Date of registration - Permanent	A	Copy of licence and records associated with the operation of the licence (e.g. site plans)  <b>Retain for historic value</b>
	Ship sanitation certificate	Date of issue - current year + 1	D	Ship sanitation certificate and certificate register entry
	Export health certificate	Date of issue – current year + 3	D	
	Street trader certificate of compliance	Date of cessation of operation - current year + 1	D	Certificate of compliance and certificate register entry
	Alarm key holder registrations	Date removed from register	D	
	Private landlord register	Date of register removal/expiry - 5 years	D	
<b>Environmental Health - general</b>	Environmental health and housing standards service requests/enquiries	Date of request - Current year + 2	D	Requests for service in relation to environmental health functions (e.g. public health & housing, pest control, workplace safety, food safety, noise nuisance, etc.)

Environmental Health				
	File Type	Retention Period	Fate	Notes
	Environmental enforcement service requests/enquiries (dog fouling, fly tipping, littering, and smoking)	Date of request - Current year + 2	D	
	Food alerts	Date of alert - current year + 2	D	
	Food poisoning / infectious disease notifications	Date of notification - current year + 2	D	
	Food complaint	Date of complaint - current year + 6	D	
	Private water supply grants	Date of application - current year + 15		
	Accident notification	Date of notification - Current year + 6 (Current year + 40 if relating to asbestos incident)	D	
	Public health funeral records	Date created - current year + 5	D	National Assistance Act 1948 (S50)
	Planning consultations	Date of response - current year + 1	D	Copy of consultation comments (original with planning)
	Building standards consultations	Date of response - current year + 1	D	Copy of consultation comments (original with building standards)
	Licensing consultations	Date of response - current year + 1	D	Copy of consultation comments (original with licensing)
	Property enquiry consultations	Date of response - current year + 1	D	Information relative to the preparation of property enquiry certificates (original with legal)
	Strategy for management of land contamination	Date superseded - current year	D	

Trading Standards				
	File Type	Retention Period	Fate	Notes
<b>Trading Standards - investigation, inspections, and monitoring</b>	Trading standards investigations (service request/enforcement procedures)	Date of action - current year + 5	Review/D	Records relating to investigations/processes triggered by either service requests or general enforcement activities. Correspondence, photos, sample records, TS notifications, etc.

<b>Trading Standards</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Equipment inspection records	Date of equipment disposal – current + 5	D	
	Animal health & welfare – sheep & goats	Date of record – current + 2	D	Inventory
	Licensing standards investigations	Date of action – current + 2	D	
	Civic government investigations	Date of action – current + 2	D	
<b>Trading Standards – enforcement/ prosecution of offences</b>	Animal health and welfare - care notices	Date of notice - current + 6	D	
	Animal health BSE - notices	Date of resolution - current + 3	D	
	Animal health avian flu - declaration and notices	Date of notice - current + 3	D	
	Animal health avian flu - notice of restriction	Date of notice - current + 3	D	
	Animal health avian flu - notice to prohibit the keeping of poultry or other birds	Date of expiry - current + 3	D	
	Animal health avian flu - notice directing that birds specified are to be killed; emergency vaccination notice	Date of notice - current + 3	D	
	Swine Vesicular disease	Date of declaration/notice - current + 2	D	declaration of zone; Approvals, declarations, designations, directions or notice
	Fixed penalty notices	Date of notice - current year + 6	D	FPN copies and entries on FPN register (tobacco)
	Safety notices (under the Consumer Protection Act)	Date of notice - current year + 5	D	
	Improvement notices	Date of notice - current + 5	D	
	TS notification books	Date of notice – current + 5	D	
	Wine regulation notices	Date of notice – current + 2	D	
	Animal Health – BSE notices	Date of notice – current + 3	D	
	Records connected with the enforcing of restriction on the movement of animals	Date of restriction order - current + 6	D	
	Animal feed regulation notices (suspension)	End of approval or registration - current + 5	D	Notice of temporary suspension of registration or approval; Notification of lifting of suspension

Trading Standards				
	File Type	Retention Period	Fate	Notes
	Animal health – avian flu	Date of notice – current + 3	D	Notice directing that the birds specified are to be killed; emergency vaccination notice
	Swine vesicular disease	Date of declaration/notice – current + 2	D	
	Animal feed regulation notices	Date of notice - current + 5	D	Notice of revocation of registration or approval; Feed business improvement notice; Feed business prohibition orders
	Notice requiring the disposal of animal products	Date of notice - current + 5	D	
	Prosecution of offences case files	Date of conclusion of case – current year + 7	D	
	Prosecution reports to procurator fiscal	Date of report – current year + 5	D	
	Prosecution registers	Date of entry – permanent	A	Retain for historic value
<b>Trading Standards - registration, certification, and licensing</b>	Business premises register	Date of cessation of operation - current year + 6	D	
	Animal health and welfare - animal dealers	Date of entry on register - permanent	A	Register of animal dealing licences
	Animal health disease control	Date of receipt - 6 months	D	Declaration (copy sent to the local authority - schedules 2, 3, 4, 6, 7)
	Animal health and welfare - pigs	Date of receipt – 6 months	D	Movement of pigs declaration
	Animal health and welfare – pigs (holding register)	Date of entry on register – current + 3	D	
	Animal health - cattle - BSE	Date of receipt - current + 3	D	Approvals, authorisations, licences, and registrations
	Animal health and welfare - avian flu	Date end of licence - current + 5	D	Licence
	Animal health and welfare - animal feed	End of approval or registration - current + 3	D	Application for approval; Application for amendment to approval or registration
	Animal health and welfare - Foot and Mouth disease - Licence for movement	Date of receipt by local authority - current + 5	D	
	Certificate of veterinary clearance	Date of certificate - current + 5	D	



<b>Trading Standards</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Trading Standards - general</b>	Service requests	Date of request - current + 5	D	Requests for service in relation to consumer protection, trading regulations, age-restricted sales, animal health & feed - including consumer advice referrals/notifications
	Animal health & welfare contingency plan	End of revocation or plan - current + 3	D	
	Trusted Trader scheme members	Date removed/refused from scheme - current + 1	D	
	Trusted Trader scheme reviews	Date reviewed trader removed from scheme - current year + 1	D	
	Equipment calibration records	Date of equipment disposal - current year + 5	D	

<b>Community Safety</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
<b>Community Safety</b>	Anti-social behaviour strategy	Date superseded + 5 Years	D	
	Community safety strategic assessment	Date superseded - + 5 Years	D	
	Domestic abuse strategy	Date superseded + 5 Years	D	
	Community safety analytical reports	Date of report - current + 1 year	D	Community council reports, multi-agency meeting reports, project reports, etc.
	Public space CCTV incidents	Date of incident - current + 5 years	D	
	Public space CCTV recordings	Day of recording - 28 days	D	
	Anti-social behaviour service requests	Date of request - current year + 5	D	Requests for service in relation to anti-social behaviour, including self-generated community warden incidents
	Community warden notebooks	Date of last entry - current year + 5	D	
	Anti-social behaviour investigations	Date created – current year + 6	Review/ D	Records relating to ASB investigations. Correspondence, images, video, witness statements, Acceptable Behaviour Contracts, etc.
Anti-Social Behaviour Orders (copies - original held by court)	Date expiry, revoked or recalled - 3 years	D	Copies of ASBO and entry on ASBO register	

Community Safety				
	File Type	Retention Period	Fate	Notes
	Community mediation case files	Date closed - current + 5 years	D	handwritten notes destroyed on closure of case
Road Safety	Road safety training programme	Date programme completed - 3 years	D	junior road safety officer programme
	School crossing patrol - site risk assessments	Date of assessment - 10 years	D	
	School crossing patrol - PV2 assessments	Date of assessment - 20 years	D	

Economic Development				
	File Type	Retention Period	Fate	Notes
	Project files including Fairer Scotland Fund	Completion of project + 7	D	All project documentation relating to EU programmes should be kept until otherwise instructed by the EU Secretariat. Each programme is required to keep all project documentation for three years after the EU Commission has made their final payment to the UK. It is also required to keep some documentation for a longer period. The EU Secretariat will send out further instructions saying when it is safe to destroy records for past programmes. - Refer Retention Policy Document January 2015.
	2007-2013 ERDF/ESF Programme	To be retained at least until 22 December 2022	R	
	SERI Skills Development Scotland Funding	Completion of project +7	D	
	Employability Fund	Completion of project +7	D	
	Modern Apprentice files	Completion of project +7	D	
	Property enquiries re available commercial premises	Current + 5	D	
	Record of Council commercial properties including current and past tenants (incl summary spreadsheets)	P	A	
	Small business property grant scheme and Port Glasgow Industrial Estate demolition fund	Completion of project + 10	D	

Customer Service Centre <sup>5</sup>				
	File Type	Retention Period	Fate	Notes
	Personnel Files	Term of	D	

<sup>5</sup> Given the Customer Service Centre acts as an interface between Customers and relevant Services, unless otherwise stated below, the retention schedule of the relevant Service will be followed by the Customer Service Centre.

	employment with Service		
Attendance Records	Term of employment with Service	A	Retained electronically
Absence Books	Terms of employment with service	D	
Training and Performance Improvement Plans	Terms of employment with service	D	
Instruction Manuals and Procedures	Until superseded	D	Hard and electronic copies retained by Service
Policies	Until superseded	D	Hard and electronic copies retained by Service
Service Improvement Plans	Superseded + 5	D	Retained electronically
Service Reports	Date of Meeting + 6	S	Retained electronically
Action Plans relating to audits	Date of action plan + 3	D	Retained electronically
Minutes of senior staff meetings	Date of meeting + 1	D	Retained electronically
Minutes of team meetings	Date of meeting + 1	D	Retained electronically
Minutes of Working Groups	Date of meeting + 1	D	Retained electronically
Performance Indicator Submissions	Current + 2	D	Retained electronically
Performance Indicator trend reports	Current + 2	D	Retained electronically
LAGAN Case records	Closure of case + 5	A	Retained electronically
In QUEUE records	Closure of case + 5	A	Retained electronically
Cash Reconciliation Records	Current + 5	D	
Petty cash documentation	Current + 6	D	Statutory
General correspondence	Current + 2	Review by creator	Destroy correspondence no longer required. Keep rest and review after another 2 years or retain permanently.
Correspondence concerning policy and management including disciplinary matters	Current + 6	Review by creator	Destroy correspondence no longer required. Keep rest and review after another 6 years or retain permanently.

### Asset Management Services

	File Type	Retention Period	Fate	Notes
	Property annual reports	P	A	In process to be retained electronically
	Site register, register of leases	P	A	In process to be retained electronically
	Plans – property acquisition and disposal	Life of property + 12	D/S	Offer material relating to significant property to officer responsible for managing your records to sample.

<b>Asset Management Services</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
				Destroy the remainder.
	Legal documents relating to sale, conditions of contract etc.	Concluded action + 15	D	
	Special interest buildings – plans etc.	P	A	In process to be retained electronically
	Other buildings – plans etc.	Life of property	D	
	Work orders	Last action + 7	D	
	Tender documents	Last action + 7	D	
	Conditions of contract	Last action + 7	D	
	Property lease agreements	Expiry of lease + 15	D	
	Applications for leases, licences and rental revision	Expiry of lease + 15	D	
	Tenant movement forms	5	D	
	Job files	End of job + 5	D	
	Requests for work contracts, cleaning etc.	Current + 5	D	
	Stock monitoring records	Last action + 4	D	

## 9. Planning and Land Use

Planning & Building Standards				
Building Standards				
	File Type	Retention Period	Fate	Notes
	Building Standards Register Part 2: Building warrant files May 2005 + (incl. alternative compliance views, Compliance and Enforcement Notices)	25 years for minor applications. 50 years for major applications. From date building warrant granted.	A and A[E]	25 years and thereafter for such period as the local authority having regard to any guidance issued by the Scottish Ministers considers reasonable As The Building (Procedure) (Scotland) Regulations 2004 Section 57(2) (b) & 57(4) and Procedural Handbook 2010.
	Building Standards Register Part 1, including details of certificates from approved certifiers, and copies of Compliance and Enforcement Notices	P Notices and related docs. - 25 years or longer if Charging Order taken out which has not yet been paid off.	A and A[E]	Permanent To be in electronic format Part One of the Register To be maintained by the local authority for all time. Refer Building (Scotland) Act 2003, Section 24 and The Building (Procedure) (Scotland) Regulations 2004 Section 57 (2)(a) & Section 57(3)
	Building Warrant pre -application discussion. Correspondence, plans and documents	Current + 5	D/S	For security reasons some drawings may be returned to applicant.
	Building warrant files 1985- April 2005	P	A	All paper files retained in full.
	Building warrant files 1984	P	A	Variable paper records only.
	Building warrant files 1978-83	P	A	All files stored on microfilm.
	Building warrant files 1950's - 78	P	A	Variable files on microfilm.
	Building control registers (1959 Act)	P	A and A[E]	Paper documents and electronic from 1990
	Building standards general files	Current + 5	D/S	Offer to officer responsible for managing your records to sample
	Building standards enforcement files (1959 Act)	P	A	All paper files retained in full.
	Letters of Intent (formerly letters of comfort)	P	A and A[E]	Paper documents – could be scanned to electronic archive.
	Requests for building warrant histories and documents	P	A	
Development Management				
	File Type	Retention Period	Fate	Notes
	Planning application files 1986 + (including listed buildings, conservation area consents, advertisement consents, certificates of lawfulness, tree works, appeal correspondence, hazardous substances consent)	P (limited information)	A	All paper files culled pre 2000, with application forms, approved plans, decision letter, appeal decision letter (if applicable) and committee report (if applicable) retained. General correspondence, objection letters and consultation letters destroyed.
	1975 – 1986 planning application files	P	A	All files stored on microfilm.
	1966 – 1975 planning application files	P	A	All files stored on microfilm.

				Variable records available.
	Planning registers	P	A	Paper document pre-2008. Electronic post-2008
	Planning tree application register	P	A	Paper document
	Planning enforcement files and register (including S179 waste land and amenity notice)	P	A	Paper and electronic files
	Planning pre-application files	Current + 4 if enquiry does not result in application	D	Paper documents pre 01/06/2019. Electronic since 01/06/2019.
<b>Planning Policy</b>				
	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Development Plans including written statements, proposals maps, proposed plans, main issues reports, monitoring statement, development plan scheme/participation statements, supplementary guidance, backgrounds reports, examination reports and all other accompanying documents.	P	A	Online archive of available documents has been created on Planning webpages.
	Local Development Plan – Consultation Files and Database	Adoption of Plan + 5	D	
	Local Development Plan – Correspondence Files	Adoption of Plan + 5	D	
	Local Development Plan participant database	Adoption of Plan + 6 months		Participants permission will be sought for their information to be carried forward for next Plan process.
	Strategic Environmental Assessment and Habitats Regulation Appraisal Files	P	A	
	Land Surveys – GIS files and database	P	A	
	Site Files	P	A/D Review for historical value	The individual files to be retained will be dependent upon the scale and significance of the site. Will either be archived or disposed of once the site has been built out.
	Subject Files	Current + 5	R	
	Working Files	Current + 5	R	
	Street naming and numbering	P	E	If matter is resolved, personal information to be deleted from record 1 year after date of last action.
	Property Enquiry forms	1	D	These forms are sent to Legal for incorporation into a Council wide response.
	Outdoor access Access enquiries and action, LAF	P	A	

	minutes			
	Smarter Choices, Smarter Places	P	A	
	Council house sales	P	A	
	One-off reports, studies etc.	P	A	This refers to technical reports, studies etc. submitted in relation to planning proposals, often at cost, which may be of future use e.g. masterplans, planning statements, retail impact assessments

## 10. Infrastructure, Property, Land Management, and Transport

Direct Services General				
	File Type	Retention Period	Fate	Notes
	Works Order	Current + 5 (Property – Current + 1)	D	
	Purchase Order	Current + 3	D	
	Local purchase order books	Current + 3	D	
	Invoices	Current + 6	D	
	Copy Invoices	Current + 2	D	
	Advice Notes	Current + 3	D	
	Raised Invoices	Current + 6	D	
	Measured term contract orders	Current + 5	D	
	Court case files	7	D	
	Customer Requests	P	A	
	Correspondence in and out	P Closure + 2	A D	Hummingbird Pink Copies
	Faxes	Closure + 2	D	Scan / treat as correspondence
	Health and Safety –Files / Asset Files	P	A	
	Risk Assessments /COSHH records	P	A	
	Site investigation reports	P	A[E]	Central Database
	Copy of Contract Tender bids- successful	Termination of contract + 5	D	Refer to Section 4- “Contracts & Tenders” of this document
	Contract Tender bids – unsuccessful	Current + 1	D	Refer to Section 4- “Contracts & Tenders” of this document
	Manual / Road worker’s logs or time sheets	22 years	D	
	Accident book	P	A	
	Third party claims ( not involving a vehicle)	7	D	
	Personal Injury claim	3	D	P & L Act 1973 Sec 1,2,6
	BS EN ISO 9001: 2000 Business System / Quality Records and Documentation	10	D	
	BS EN ISO 9001: 2000 Business System Manual (Electronic manual under development P- A)	Current + 5	D	QMSO – Keep one superseded copy and destroy.

**DIRECT SERVICES – Roads Maintenance, Consultancy (Civil Engineering Design), Transportation (Public Transport Unit , Traffic, Harbours and Dredger)**

File Type	Retention Period	Fate	Notes
Activities of planning, designing, programming and constructing roads, streets, bridges and tunnels.	P	A	Offer to officer responsible for managing your records
Roads Maintenance records	For lifetime of the road	A	
Project File	Completion + 1 year	A	Archive electronic file. Project Manager to decide what to archive
Project file photographs	P	A	Digital
Drawing file – electronic and paper	P	A	Retain for lifetime of structure
Winter Maintenance weather forecasts	6 years	D	In case of claim for damages against the council
Winter Maintenance Driver's log or timesheets	6 years	D	
Structural specifications/ calculations	P	A	
Transport plans / Road Maintenance Plans	Until superseded	A	
Transport Maps	P	A	
Sketch proposals / design options	Current	D	
Services layout drawings	Until superseded	D	
Health and Safety records	50	D	
Roads layout drawings	Until superseded	D/S	Offer to officer responsible for managing your records to sample. The remainder to be destroyed.
Services layout drawings	Until superseded	D	
Construction consents	P	A	
Traffic – Regulation orders	P	A	
Traffic – Temporary Regulation orders	5	D	
Traffic – Parking Penalty Charge Notices	Date of Closure – 3 years/5 years	D	3 years – remove peripherals (names, addresses, photos, correspondence, etc.) 5 years – delete full case (history, transactions, VRM history)
Roads /Development Control comments regarding planning permissions	5	A	
Site investigation reports	P	A	Central database
Car Parks DVLA Reports	Current	D	
Annotated OS Maps	Current	D/S	Offer to officer responsible for managing your records to sample
Flood Alleviation Project	P	A	Stored on extranet
Traffic – Fatal Accident Records	P	A	Restricted Access
Traffic – Accident Database	P	A	Restricted Access
List of Public Roads	P	A	
Roads Construction consents until adopted	Until adopted	D	As built drawings sent to roads maintenance
Construction consent database	P	A	Database



<b>F. DIRECT SERVICES – Fleet Services</b>				
<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>	
Transport & fleet management – vehicle allocation, approvals, authorisations and maintenance	Disposal of vehicle - current + 7	D		
Transport & fleet management – vehicle records, lease or purchase	Disposal of vehicle - current + 7	D		
Transport & fleet management – recording vehicle usage	Disposal of vehicle - current + 3	D		
Driving licence check records	Date created - current year + 7 [DVSA audit requirements]	D	audit records, permission mandates	
Taxi inspection records and test certificates	Date of vehicle disposal – current + 6	D		
Webfleet vehicle tracking	Trackomatics - 90 days	D		
	Detailed trip report - current year + 2	D		
Fuel movement reports	Date created – current + 1	D		
Material requisition forms	1year	D	Items from stores	
Vehicle log book	Closure + 7	D		
Insurance register	P	A		
Insurance policy records	P	A		
Insurance policy renewal records	Renewal of policy + 5	D		
Claims records	Conclusion of entitlements + 7 (ensuring the claimant is 25 years of age)	D		
<b>DIRECT SERVICES – Environmental Protection – Lands and Parks</b>				
<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>	
Japanese Knotweed records	Date superseded	D		
Grounds register	Date superseded	D		
Play area inspection reports	Date of report – current + 6	D		
Garden tidy customer register	Date removed from register	D		
Productivity sheets	Date created – current + 3	D		
<b>DIRECT SERVICES – Environmental Protection – Waste management</b>				
Lease bin register	Date lease ends – current + 2	D		
Real nappy grant applications	Date application – current + 6	D		

Abandoned vehicle notifications	Date of notice – current + 2	D	Refuse Disposal (Amenity) Act 1978 Section 3
DVLA enquiry audit records	Date of review – current +2	D	

#### DIRECT SERVICES – Environmental Protection – Cemeteries

File Type	Retention Period	Fate	Notes
Burial registers	Permanent	A	Includes private burials, exhumations, restored lairs, ledgers, etc.  <i>Transfer to officer responsible for managing your records to archive after administrative use is concluded.</i>
Grave locations / management records	Date superseded	A	Cemetery register and plans, burial plot layout, plot ownership and occupation, title deeds, transfer/duplicate relinquish forms, etc.  <i>Transfer to officer responsible for managing your records to archive after administrative use is concluded.</i>
Burial accounts and maintenance records	Date created - current + 5	D	
Burial forms	Date created – current + 15	D	Notice of funeral forms, lair application forms, etc.

#### DIRECT SERVICES – Environmental Protection – Crematorium

File Type	Retention Period	Fate	Notes
Cremation registers	Permanent	A	<i>Transfer to officer responsible for managing your records to archive after administrative use is concluded.</i>
Cremation forms	Date created - current year + 50 (current year + 15 for forms prior to 1 April 2019)	D	Application forms, NVF, authority to disperse, form 14, cremation diary, etc.
Crematorium accounts and maintenance records	Date created - current + 5	D	
Memorial plaque agreement (10/15 years)	Date created - 10/15 years	A	Permits
Memorial applications	Date application – current + 15	D	
Book of remembrance applications	Date application – permanent	A	<i>Transfer to officer responsible for managing your records to archive after administrative use is concluded.</i>

#### DIRECT SERVICES – Environmental Protection – Cleaning and Catering

File Type	Retention Period	Fate	Notes
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Requests for works contracts cleaning DLO	Current + 5	D	
Catering – school menus	Until superseded	D	

### **DIRECT SERVICES – Property Services**

Architects and Engineers Practice, Quantity Surveyors & Maintenance, Clerk of Works

<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
Main contract files – correspondence including the original drawings, plans and retention information etc. where Property Services are responsible for the matter	Certificate of Practical completion + 6 (Housing Client + 10)	D	
Certificate of Practical Completion	6 Housing client 10	D	
Schedule of defects	6 Housing client 10	D	
Certificate of Making Good Defects	6 Housing client 10	D	
Letter of acceptance	6 Housing client 10	D	
Post Project Reviews	P	A	Digital
Contract Health and Safety records	Current	T	Transfer to client at Certificate of Completion
Health and Safety records housing client	Current +10	D	
Architects – Site layout drawings / location plans / general arrangement drawings/ plans	P	A	For schools, should be retained in schools whilst operational then offered to officer responsible for managing your records to Archive.  Drawings will be digital. Reports will be either digital or hard copy. Hard copy quantities will be low.
Major detail drawings	Current	A	
Minor detail drawings	Current	D	Destroy at final account
Sketch proposals / details	Current	D	Destroy at Certificate of Practical Completion (CPC)
Design Options	Current	D	Destroy at Certificate of Practical Completion (CPC)
Contract General: Feasibility Studies/ Costs /Client Instruction/ Specifications / Documents / Files / Correspondence / Diaries / Site Inspection Information	Termination +7  Housing Client Termination + 10	D	Refer to Section 4- “Contracts & Tenders” of this document
Architects working file	Current	D	Destroy at Certificate of Making good defects
Building Warrant / planning drawings	Certificate of Practical Completion + 6 (Housing client +10)	D	
House type drawings	P	A	Drawings will be digital. Reports will be either digital or hard copy.

				Hard copy quantities will be low.
	Record photographs	P	D/S	Offer to officer responsible for managing your records to sample. Drawings will be digital. Reports will be either digital or hard copy. Hard copy quantities will be low.
	Site Investigation reports / Geotechnical drawings –selected / Structural drawings – selected / Structural specifications & calculations	P	A	Drawings will be digital. Reports will be either digital or hard copy. Hard copy quantities will be low.
	Services Layout drawings	Until superseded	D	
	Electrical testing	Current + 9 years	D	
	General Servicing Information Oil / Gas	Current + 1 year	D	
	Landlord certificate of gas appliance safety	Current + 1 year	D	Legal requirement
	Certification of gas appliance safety – Corporate buildings	Current + 1 year	D	
	<i>Cyclical Servicing Certification</i> - Fixed Electrical Installation Testing Reports	5 years	D	Inspection Frequency – 5 years
	<i>Cyclical Servicing Certification</i> - Gas boiler plant – certificates	2 years	D	Inspection Frequency –annually
	<i>Cyclical Servicing Certification</i> - Oil boiler plant – certificates	2 years	D	Inspection Frequency – 6 monthly
	<i>Cyclical Servicing Certification</i> - Fire alarms & emergency lighting	3 months	D	Inspection Frequency – quarterly
	<i>Cyclical Servicing Certification</i> - Intruder Alarms / Fire fighting equipment / Portable appliances testing ( PAT ) / Lightning conductor testing / Roof anchor testing / CCTV /Card access services / Kiln Servicing (Schools) / Stage lighting (Schools) / Electric Kitchen Equipment Servicing (Schools)	1 year	D	Inspection Frequency – annually or in accordance with manufacturer's recommendations, whichever is sooner.
	<i>Cyclical Servicing Certification</i> – Gas Kitchen Equipment (Schools)	2 years	D	Inspection Frequency – annually or in accordance with manufacturer's recommendations, whichever is sooner.
	<i>Cyclical Servicing Certification</i> – Generator Servicing	6 months	D	6 months
	<i>Cyclical Servicing Certification</i> - Air Conditioning	3 months	D	Inspection Frequency – quarterly
	<i>Cyclical Servicing Certification</i> – Lift Plant	6 months	D	Inspection Frequency – 6 months
	Annotated OS Maps	Current	D/S	Offer to officer responsible for managing your records to sample
	Architects Landscape drawings	Current	D/S	Offer to officer responsible for managing your records to sample
	Landscape key specifications	CPC + 7	D	
	Landscape working files	Current	D	
	Surveyors working file including interim	Current	D	Destroy at certificate of making

	payment backup			good defects
	Priced bills of quantity	Certificate of Practical Completion (CPC) + 7 Housing client CPC + 10	D	
	Final measurement/ account	Certificate of Practical completion + 7	D	
	Bills of quantity measurement	Current	D	Destroy at final account
	Probable cost files	Current	D	Destroy at final account
	Clerk of works – contract drawings, bill of quantities, personal contract files.	Current	D	
	Clerk of works – contract site diaries	Certificate of Practical Completion (CPC) + 7 Housing client CPC + 10	D	
	Legionella risk assessment	Current + 5	D	
	Asbestos surveys and sample certificates / records – various	P	A	Retain permanently. Drawings will be digital. Reports will be either digital or hard copy. Hard copy quantities will be low.
	Asbestos Removal certification	P	A	Retain permanently. Drawings will be digital. Reports will be either digital or hard copy. Hard copy quantities will be low.
	Maintenance and contractors	Current year + 6	D	Financial Regulations

### Emergency Planning

File Type	Retention Period	Fate	Notes
Invoices	Current + 6	D	
Minutes of meetings	Current + 6	R	Review – either keep + 6 years and review again or destroy
Other internal correspondence	Closure of file + 2	D	
External correspondence	Closure of file + 2	D	
Health and Safety Executive (HSE) correspondence	Closure of file + 5	D	
Emergency Procedures/Business Continuity Plan	Current + 6	R	
Exercises & de-briefing records	Current + 5	D	
Training records	Current term of appointment +1 year	D	
Completed Incident Report Forms and Operational Logs	P	A	Retain for incidents
Emergency Contact Directory	Current version until superseded	R	Living document maintained by database

## 11. Joint Partnerships

**Community Health and Care Partnership<sup>6</sup>**

	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Welfare Benefit Advice	Closure + 1 1/2	D	
	Tenants/House Files (HomeCare Services)	Closure _ 6	D	Processes involved in assessing and providing individual support or services. Includes those with Power of Attorney.
	Supporting People Database System Printouts	1 year	D	Monthly monitoring lists. All records held on electronic system permanently.
	ID Series of Providers Files – confirmation of service provided	Current + 5	D	