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Report To:	Policy & Resources Committee	Date:	13 <sup>th</sup> November 2012
Report By:	Brian Moore Corporate Director Inverclyde CHCP	Report No:	CHCP/60/2012/BM
Contact Officer:	Andi Priestman Information Governance and Management Working Group	Contact No:	01475 712251
Subject:	DRAFT POLICY FOR THE RETENTION AND DISPOSAL OF DOCUMENTS AND RECORDS		

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## 1.0 PURPOSE

- 1.1 The purpose of this report is to present a Draft Policy for the Retention and Disposal of Documents and Records for approval by the Committee **Appendix 1**

## 2.0 SUMMARY

- 2.1 Records Management seeks to efficiently and systematically control the creation, use, maintenance and final disposition of the records which are routinely created as a result of an organisation's activities and transactions.

It is based on the principles of regular review and controlled retention or destruction with the general aim of ensuring cost-effective business processes, legal and regulatory compliance and corporate accountability.

- 2.2 The Freedom of Information Scotland Act 2002 (FOISA) which came into force in January 2005 is one of a number of initiatives by the UK Government aimed at increasing organisational openness and accountability and encouraging good corporate governance.

The FOISA gives the public extensive rights of access to all forms of recorded information held by public bodies and lays down stringent requirements for responding to such requests.

Good Records Management will help to ensure that:

- Only the right information is created in the first place
- Information is kept as long as is necessary and no longer
- Information can be located and retrieved in a timely and controlled manner
- Information is secure

- 2.3 The controlled management of records is also vital for ensuring legal compliance in many other areas beyond the requirements of the FOISA. For example, the Data Protection Act 1998 states that personal data "shall not be kept for longer than is necessary for that purpose or those purposes" – a requirement which is all but impossible to meet if an organisation is unable to adequately manage the retention of the records that store such data.

- 2.4 Additionally, the Public Records (Scotland) Act 2011 received royal assent in April 2011. Under section 1(4) of the Act, the Keeper of the Records of Scotland is required to issue guidance to named public authorities about the form and content of Records Management Plans (RMPs). There are 14 elements that the Keeper will expect a Scottish public authority to consider when creating its Records Management Plan including senior management responsibility, records manager responsibility, retention schedules and destruction arrangements.
- 2.5 The effective management of records ensures that sound decisions can be made based on full, accurate and up-to-date information, as well as ensuring that the rationale for and the impact of those decisions can be traced, scrutinized and justified as necessary.
- In the light of recent high-profile legal cases within the private sector, an increasing emphasis is being placed on all organisations to being able to demonstrate high standards of good corporate governance through the quality of the records they keep.
- 2.6 Effective Records Management will also help the Council ensure ongoing, controlled access to valuable and in some instances 'business-critical' information, whilst also protecting information against deliberate or accidental damage or loss.
- 2.7 There is therefore a clear need for a more systematic and organised approach to Records Management to be adopted at Inverclyde Council.
- 2.8 The Council has recognised that effective records management is a priority for the Council and a draft Policy for the Retention of Documents and Records has been prepared by the Information Governance and Management Working Group which is attached as an appendix to this report.
- 2.9 Further work will be required to consider the most efficient and effective way to implement this policy. It is anticipated that there may be considerable benefits for the Council in implementing this policy. These include the streamlining of business processes, a reduction in both the staff time and physical space needed for managing records and the foundation of an information-rich organisation able to maximise and exploit the knowledge it contains.
- 2.10 Therefore a further report will be submitted to the CMT seeking approval for the most efficient and effective way of implementation of this policy.

### **3.0 RECOMMENDATIONS**

3.1 It is recommended that the Committee:

- (a) Approve the Policy for the Retention and Disposal of Documents and Records;and
- (b) Agree that the Corporate Director CHCP, through the Information Governance and Management Working Group, submit a further report on the implementation of the Policy to the CMT when appropriate.

**Brian Moore**  
**Corporate Director**  
**Inverclyde CHCP**

## **4.0 BACKGROUND**

- 4.1 Records Management seeks to efficiently and systematically control the creation, use, maintenance and final disposition of the records which are routinely created as a result of an organisation's activities and transactions.

It is based on the principles of regular review and controlled retention or destruction with the general aim of ensuring cost-effective business processes, legal and regulatory compliance and corporate accountability.

- 4.2 The Freedom of Information Scotland Act 2002 (FOIA) which came into force in January 2005 is one of a number of initiatives by the UK Government aimed at increasing organisational openness and accountability and encouraging good corporate governance.

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- 4.4 Additionally, the Keeper of the Records of Scotland has recently revised public records legislation (Public Records (Scotland) Act 2011) to improve the management and practice of record keeping and the information they contain. The legislation aims to improve accountability and transparency, strengthen governance and support the national outcome of better public services.

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In the light of recent high-profile legal cases within the private sector, an increasing emphasis is being placed on all organisations to being able to demonstrate high standards of good corporate governance through the quality of the records they keep.

- 4.5 Effective Records Management will also help the Council ensure ongoing, controlled access to valuable and in some instances 'business-critical' information, whilst also protecting information against deliberate or accidental damage.

- 4.6 There is therefore a clear need for a more systematic and organised approach to Records Management to be adopted at Inverclyde Council.

- 4.7 The Council has recognised that records management is a priority for the Council and a draft policy for the retention of documents and records has been prepared by the Information Governance and Management Working Group which is attached as an appendix to this report.
- 4.8 Further work will be required to consider the most efficient and effective way to implement this policy. It is anticipated that there may be considerable benefits for the Council. These include the streamlining of business processes, a reduction in both the staff time and physical space needed for managing records and the foundation of an information-rich organisation able to maximise and exploit the knowledge it contains.

## **5.0 IMPLICATIONS**

- 5.1 Legal:  
The Document Retention and Destruction Policy will bring processes in line with regulatory and legislative requirements where applicable.

- 5.2 Finance:

The Policy itself does not have any financial implications however its implementation may have. As stated above, following further investigation, this will be covered in a subsequent report to CMT.

- 5.3 Personnel:

The Policy itself does not have any personnel issues however its implementation may have. As stated above, following further investigation, this will be covered in a subsequent report to CMT.

- 5.4 Equalities:

Due cognisance of equalities issues have been taken into account in the preparation of this report.

## **6.0 CONSULTATIONS**

- 6.1 Extensive consultations took place with relevant Officers who form part of the Information Governance and Management Working Group as well as discussions with key officers within all Services to ensure a robust document is developed for the Council.



**POLICY FOR THE RETENTION AND DISPOSAL OF  
DOCUMENTS AND RECORDS  
PAPER AND ELECTRONIC**

# Contents

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### 1. **Scope of the Schedules**

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

Developing retention schedules 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 6 September 2004, pursuant to Section 60 (5) of the Freedom of Information (Scotland) Act 2002 - Code of practice as to functions under the Act. The schedules also comply with the Scottish Ministers' Code of Practice on Records Management laid before the Scottish Parliament on 10 November 2003 pursuant to Section 61(6) of the Freedom of Information (Scotland) Act 2002<sup>1</sup>.

The schedules have been developed with reference to the Retention Guidelines for Local Authorities, produced by the Local Government Group of the Records Management Society of Great Britain 2003 and in collaboration with Services of the Inverclyde Council.

It is intended for the schedules 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 schedules reflect the legislative requirements, or best practice, as is appropriate.

The retention schedules have 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 has appointed a Records Manager to:

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<sup>1</sup> Currently under review please see Consultation by Scottish Ministers on revised Code of Practice for public authorities on the discharge of their functions under the Freedom of Information (Scotland) Act 2002 and the Environmental Information (Scotland) Regulations 2004.

- 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.

The current Records Managers are:

[ ]

## **2. Limitations of Scope**

These schedules cover most Council records, but are not an exhaustive list. Please contact your Records Manager if you find errors or omissions in the document.

These schedules do not cover ephemeral material, see point 8 for explanation.

## **3. Legislative Compliance**

- Ensure compliance with the Freedom of Information (Scotland) Act 2002
- Ensure compliance with the Data Protection Act 1998
- 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 Schedules**

- Assist in identifying records that should be permanently preserved and transferred to your Records Manager 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 Retention Schedules**

Managing records according to retention schedules is deemed to be "normal processing" under the Data Protection Act 1998 and Freedom of Information (Scotland) Act 2002. Provided members of staff are managing records according to agreed Retention & Disposal schedules they cannot be found guilty of unauthorised tampering with files once a freedom of information request or a subject access request has been made.

Members of staff 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. Electronic Records – Documents scanned into Electronic Document Records Management Systems**

In accordance with BIP 0008-1:2004 code of practice for legal admissibility and evidential weight of information stored 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 your Records Manager to discuss.

## **7. Disposal of Records by Transfer of Records to your Records Manager for archiving or Destruction**

Records may be disposed of by:-

- Transferring to your Records Manager for archiving – permanent preservation
- Destroying – e.g. by shredding

Records selected for permanent preservation should be transferred to your Records Manager for archiving – once the records are no longer of current use and are not operationally required. Prior to transfer the records must be weeded of all duplicates etc by a member of the administrative staff of a Service.

With regards to records identified in this schedule as S - 'offer to Records Manager to sample' - offer these records your Records Manager to choose to select a sample of records for permanent preservation. The remainder of the records not chosen should be destroyed. 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 these schedules. Records containing confidential, personal or sensitive information must be disposed of according to the Identification of and Secure Disposal of Confidential, Personal and Sensitive Records guidance, which is currently under development. 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

Each 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 your Records Manager for archiving
- 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.

## **8. 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 schedules do 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 your Records Manager.

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

Please see the Identification of and Secure Disposal of Confidential, Personal and Sensitive Records guidance and the guidance on Emails as Records, both of which are currently under development.

## **9. Version Control and Review of Retention Schedules**

The schedules were approved in principle by [ ] on [ ] after which time this document is no longer considered to be in draft format, and will start at version 1.0.

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

The retention schedules are 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 these schedules.

Each time the schedules are amended a new version of the document will be created.

It is the responsibility of the creating Services to contact the relevant Records Manager as and when changes occur to ensure the retention schedules are amended accordingly.

These schedules will be reviewed and amended regularly.

## **10. Further Information**

Records Management Society of Great Britain  
[www.rms-gb.org.uk](http://www.rms-gb.org.uk)

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

Scottish Executive  
<http://www.scotland.gov.uk/Topics/Government/FOI/18022/13383>

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

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

## **C 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 their Records Manager 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 to sign off the destruction/disposal form.

## D Disposal/Destruction of Records Authorisation Form

The following records are due for destruction/archiving under the Inverclyde Council Record Retention and Disposal Schedule

Description of Records	Period	Date retention period ends

I hereby authorise the destruction/transfer to semi-current storage/archiving\* of the paper records, as detailed above:

Name

Designation

Signed

Date

\* please delete

I confirm that the above paper records were

- ☐ transferred to Records Manager to archive
- ☐ transferred to semi permanent storage area
- ☐ destroyed (shredded)

on (DATE)

Signed

Designation

## E Definitions List

The Retention Schedules have been divided into sections based on the functions of the Council. The structure used is recommended by the Records Management Society in its 'Retention Guidelines for Local Authorities' produced by the Local Government Group of the RMS of Great Britain 2003:1. The file types are arranged under the functions of activity that create/generate them. Some file types are associated with more than one function, e.g. complaints files, correspondence files and thus appear in more than one section of the schedules.

### Table of Definitions

File Type	This refers to the record
Retention Period	This entry specifies the period of time the record should be kept from closure. 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 Records Manager to Sample
T	Transfer

All time periods are in years unless otherwise stated.

## **F 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 your Records Manager and held by the Service.

Increasingly records are being archived electronically. Please seek advice from your Records Manager 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 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 schedules refer 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>2</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

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<sup>2</sup> The National Archives of Scotland

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 your Records Manager 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.

## **G. 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 your Records Manager.

Or make a comment on the discussion forum which is accessible to all members of the Information on Governance and Management Working Group for a group discussion about record keeping and retention and disposal of records.



## H. Retention Schedules

### 1. Democratic Processes

Council & Committee Processes				
	File Type	Retention Period	Fate	Notes
	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
	Register of Interests Book	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 are retained for 6 months from the date of the meeting <sup>3</sup>	D	

Members' Services				
	File Type	Retention Period	Fate	Notes
	Members' – Personal Files	Current term of Appointment + previous term (if applicable) + 1 year	D	
	Register of Interests	Current term of Appointment + previous term (if applicable) + 1 Year	D	

<sup>3</sup> The quasi judicial bodies referred to are (i) Planning Board; (ii) General Purposes Board; (iii) HR Appeals Board; (iv) Education Appeals Board; and (v) Local Review Body

Members' Services				
	File Type	Retention Period	Fate	Notes
	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	

Inverclyde Children's Panel and Children's Panel Advisory Committee				
	File Type	Retention Period	Fate	Notes
	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-Appointment, AGM etc	Current + 10 Years	D	
	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	

Inverclyde Children's Panel and Children's Panel Advisory Committee				
	File Type	Retention Period	Fate	Notes
	Minutes & Agendas of Meetings	Current + 10 Years	D	
	Training Records	Term of Appointment + 1 Year	D	

Electoral Processes				
	File Type	Retention Period	Fate	Notes
	Electoral Register – full registers held by Legal Services for election purposes	Until superceded	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

General or Common Documents created by Services				
	File Type	Retention Period	Fate	Notes
	Complaints	Resolution of complaint + 5	D	
	Complaints files	Resolution of complaint + 5	D	
	Complaints which result in policy change	P	A	
	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 contract + 5	D	
	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	Code of Practice, issued by Scottish Ministers, regarding the correct handling, holding and destroying of Disclosure information

General or Common Documents created by Services				
	File Type	Retention Period	Fate	Notes
			Bottom Section destroy	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 (1998)
	Disclosure Scotland Spreadsheet (electronic)	P	A	Records original application number, surname, forename, Date of Birth, Post, Service, enhanced or standard, dates, certificate number, decision
	Disclosure Scotland Policy	P	A	
	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 of Service	Date of meeting + 1	D	
	Minutes & reports of Corporate Management Team (CMT)	P	A	
	Minutes & Reports of Senior Management Team (SMT)	P	A	
	Minutes & Reports of Senior Managers meetings	P	A	
	Minutes & Reports of Service Development Group	P	A	
	Strategic Management minutes	P	A	
	CMT notes	Date of meeting + 1	D	Kept by [ ]
	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>				
	File Type	Retention Period	Fate	Notes

	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 Executive/Government reports	Date of Issue + 7	D	
	Reports to Scottish Executive/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	Resolution + 5	R	Review – either keep + 5 years and review again or destroy
	Complaints database	Resolution + 1	D	Personal information is removed after 1 year. A – statistics only
	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 which result in significant changes to policy: reports	P	A	
	Complaints – procedures	P	A	
	Complaints – statistics	P	A	
<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>Anti Social Behaviour Records</b>				
	Anti Social Behaviour Records	Closure + 6	R/ [D]	Review as there may be information on the file which, for example, is still pertinent to the Order and/or the individual.
	Anti Social Behaviour Orders	P		ASBOs are open ended. However, they are reviewed on an annual basis in line with legislation.
	Anti Social Behaviour Orders Public	P		Permanent record of Anti Social

	Register			Behaviour Orders in force.
<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	

### Information Management (including Freedom of Information and Data Protection)

File Type	Retention Period	Fate	Notes
Policies and procedures	Until superseded	D	
Retention & Disposal Schedule	Until superseded	D	Destroy obsolete versions
Training manuals	Until superseded	D	
Responses to external consultations	3 years	D	

### Freedom of Information (Scotland) Act

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 creation + 3	D	Unless a precedent was set in which case Archive
Freedom of Information (Scotland) Act 2002 - papers re appeals to OSIC	Date of appeal + 3	D	Unless a precedent was set in which case Archive
Freedom of Information (Scotland) Act 2002 - statistical data	Date of creation + 10	D	

### Data Protection Act

Data Protection Act (1998) - guidelines	Until superseded	D	
Data Protection Act (1998) - case files, including reviews and appeals	Date of creation + 3	D	Unless a precedent was set in which case Archive
Data Protection Act (1998) - statistical data	Date of creation + 10	D	

### Technology Management (ICT)

File Type	Retention Period	Fate	Notes
Licence agreements	Expiry + 6	D	Limitation Act
Contracts	Termination of contract + 5	D	
Disaster recovery plans	Until superseded	D	
Information Security Documentation	Until superseded	D	

### Communications, Events & Media Relations

File Type	Retention Period	Fate	Notes
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## Communications, Events & Media Relations

	File Type	Retention Period	Fate	Notes
	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 month-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 in publication required + 12 months	D	Retained for 12 months to help inform following year's 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
	Improvement Grant Files	Current +10	A	

## 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	Retention Period	Fate	Notes
	<b>Criminal Justice</b>			
	Client Case files	5	D	
	Client Case files - Alternative to Custody	5	D	
	Client Case files – Life parole	75	D	
	Client Case files – Life licence	75	D	
	Client Case files – Non Parole licence	10	D	
	Client Case files – Parole Licence	10	D	
	Client Case files – Offenders – Sects 198/406	5	D	Criminal Procedure (Scotland) Act 1975
	Client Case files – Offenders – Sects 206/413	5	D	Criminal Procedure (Scotland) Act 1975
	Client Case files – Offenders – After care	5	D	
	Client Case files – Probation (except Sex Offenders)	5	D	
	Client Case files – Probation (Sex Offenders)	75	D	
	Client Case files – Circular 11 / Schedule 1 / Sex Offenders	75*	D	* at the discretion of the social worker
	Client Case files – Voluntary Through care	5	D	
	SER requests	5	D	
	Diversion Service – referrals	5	D	
	Diversion Service – assessments	5	D	
	Supervised Attendance Scheme Client Case files	5	D	
	Community Service Orders	5	D	
	Home Background Report	5	D	
	Home Leave Report	5	D	
	Offenders – Compensation orders	5	D	
	Offenders – Fines supervision orders	5	D	
	Community Service Order	5	D	
	Community Service-log of work requested	Current + 5	D	
	Community Service-Squad leader record	Current + 5	D	
	Community Service receipt	Current + 5	D	

## 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)	P	A	On closure transfer to Learning Disability Team for permanent preservation. 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	75	D	On closure transfer to Learning Disability Team. Restricted access under Data



## 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>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Handicap) -Scottish Ministers			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	P	A	Keep permanently as the signature is the authority to share the information.
	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	

## 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	Retention Period	Fate	Notes
	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	P	A	
	Fostering Resource Panel Minutes	P	A	
	Adoption Client Case files - children.	DOB +100 (to reflect longer life cycle)	D	Adoption Agencies (Scotland) Regulations 1996 - reg.23  Adoption Agencies (Scotland) Regulations 2009 - reg.28  Kept by Local Office for 5 years and then archived in secure conditions.
	Adoption Client Case files – adoptive parents.	DOB +100	D	Adoption Agencies (Scotland) Regulations 1996 - reg.23  Adoption Agencies (Scotland) Regulations 2009 - reg.28  Kept by Local Office for 5 years and then archived in secure conditions.

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

## Children & Families

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

	Child Protection Register & records	P	A	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	DOB + 100	D	SWSA 1968 Resolution by the Local

## 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	Retention Period	Fate	Notes
	Sect 16			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	

## 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	Retention Period	Fate	Notes
<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 (1998)
	Discolsure Database	P	A	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 re-imbursment 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	

## 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	Retention Period	Fate	Notes
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	

## 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	Retention Period	Fate	Notes
	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 visiting med officer for LA home etc	Current + 5	D	
	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 and Contracts

<b>Legal Services</b>				
	File Type	Retention Period	Fate	Notes
<b>Legal Documents</b>				From Date of last correspondence unless kept permanently and archived (P – A)
	Adoption records	16	D	
	Advice / Policy	5	D	
	Agreement / Joint Ventures	10	D	
	Anti-Social Tenant records	10	D	
	Anti-Social Tenant register	P	A	
	Best Value documentation	10	D	
	Burial Grounds records	10	D	
	Children's Panel records	20	D	
	Civic Government General	10	D	
	Civic Government Application forms	10	D	
	Community Care files	10	D	
		5	D	
	Compulsory Purchase Order	P	A	
	Contracts / Tenders	5	D	

## Legal Services

File Type	Retention Period	Fate	Notes
	5	D	
Title Deeds	P	A	
	5	D	
Conveyancing Sales: Deeds	Until Sold		
COSLA	10	D	
Debt recovery / rent arrears	5	D	
General correspondence	10	D	
Means warrants	10	D	
Education Prosecution	20	D	
Employment Advice	5	D	
Employment: Industrial Tribunal	10	D	
Employers Liability Claims	10	D	
Enforcement	5	D	
Fatal Accident Enquiry	10	D	
Flooding	5	D	
General files	5	D	
Grant Applications	20 funding	D	
Harbours	10	D	
Homelessness	5	D	
Improvement Grant file	Current + 10	A	
Improvement Grant – copy of grant	P	A	
Insurance	10	D	
Leases	P	A	
Legal files for example files covering compulsory purchase, conveyancing purchase and sales and related missives, leases, Section 75 Agreements etc	10	S	After 10 years, offer significant cases to your Records Manager to sample. Destroy the remainder
Licensing Board – General	10	D	
Licensing Board – Premises	20	D	
Management and Staffing	10	D	
Mental Health	10	D	
Parental Rights Applications	20	D	
Placing Requests	20	D	
Practising Certificates	10	D	
Property Enquiry Certificates	10	D	
Public Enquiry	5	D	
Public Liability Claims <sup>4</sup>	10	D	
Residence and Contact	20	D	
Rights of Way	20	D	
Roads Bonds	10	D	
Roads Bonds – copy of Bond	P	A	
Road Traffic Order files	5	D	
Road Traffic Orders – copy of Order	P	A	
Section 75 Agreements – signed agreement	P	A	
Servitudes – signed deed	P	A	

<sup>4</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.



Legal Services				
	File Type	Retention Period	Fate	Notes
	Statutory Appeals	5	D	
	Statutory Notices	5	D	
	Statutory Orders	5	D	
	Trusts	10	D	
	Trusts – copy of Trust Deed	P	A	
	Working Groups / parties	10	D	
	<b>District Court</b> – records less than 5 years i.e. from 1 June 2003 will be transferred to the Scottish Courts Service under the Criminal Proceedings etc (Reform) (Scotland) Act 2007. Records older than 5 years remain the responsibility of the local authority and those for permanent preservation will be archived. Records held electronically on the DCAS6 database were transferred in its entirety to the Scottish Court Service. The Scottish Court Service took over the District Court (to be known as the Justice of the Peace Court) on 2 June 2008.			
	Judicial Statistics	10	D	
	Court Action miscellaneous	10	D	
	Old means cards / fines cards	10	D	
	Register of Cases	P	A	
	Complaints / Ancillary Papers	10	D	
	Complaints Register	P	A	
	<b>Administration – Committee Services</b>			
	Administration files	10	D	
	Best Value	10	D	
	Boundary Reviews	20	D	
	Bylaw files	10	D	
	Bylaws – copy of Bylaw	P	A	
	Ceremonies	10	D	
	Children's Panel Advisory Committee	10	D	
	Committee Papers	10	D	
	Committee Agendas	10	D	
	Community Councils	5	D	
	Delegations	20	D	
	Elections	1	D	
	General committee services files	5	D	
	Management / Staffing	5	D	
	Members files	10	D	
	Outside bodies	10	D	
	Planning Appeals	5	D	
	Policy / Legislation	10	D	
	Records Management	20	D	
	Registrars	20	D	
	Standing Orders	10	D	
	Superior Consents files	5	D	
	Superior Consents – copy consents	P	A	
	Working groups / parties	10	D	

Contracts & Tenders				
	File Type	Retention Period	Fate	Notes
	Contracts	Termination of contract + 5	D	
	Measured term contracts	Termination of contract + 5	D	
	Copy Contracts	Current	D	

	Contract tenders – successful	Termination of contract + 5	D	
	Contract tenders – unsuccessful	Current + 1	D	Auditors suggest retain until final payment made
	Contracts under Seal	Termination of contract + 12	D	
	Contract under signature	Termination of contract + 5	D	
	Contract monitoring records	Current + 2	D	
	Tender Return Sheets	Termination of contract + 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)	P	A	New start information. Need to investigate how to archive electronic data.
	Personnel files	Termination + 6 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	P	D/S	Offer to your Records Manager 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

## Human Resources - Personnel

	File Type	Retention Period	Fate	Notes
	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
	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 + 6 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	Originals with Payroll
	Minutes of Trades Union Officers meetings	P	A	
	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	

Human Resources - Personnel				
	File Type	Retention Period	Fate	Notes
	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	P	A	Indicates acceptance of details being held and published electronically
	Salary cards	Last date of employment + 85 years	D	
	Maternity pay records	Current year + 6 years	D	Documents relating to maternity / 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	
Training				
	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.
Disclosure Scotland				
	Disclosure Scotland records	30 days	Top Section transferred to Personnel	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") ,

Human Resources - Personnel				
	File Type	Retention Period	Fate	Notes
			File (see above)  Bottom Section D	for the purposes of assessing applicants' suitability for positions of trust. Data Protection Act (1998)
	Disclosure Scotland spreadsheet (electronic)	P	A[E]	Records original application number, surname, forename, Date of birth, Post, Service, enhanced or standard, dates, certificate number and decision
	Disclosure Scotland Policy	P	A	

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 1995, 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 1995
	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 2006
	Violence to staff Incident Forms	Current year + 6 years	D	
Assessments and Monitoring				
	COSHH Assessments and Recommended Actions	Current year + 3 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 assessment review.	D	
	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 account working file	Current + 6	D	
	General Ledger	P	A	
	Asset Register	P	A	
	Subsidiary asset register	Conclusion of financial transaction + 7	D	
	Inventories, stocktaking etc	Conclusion of administrative use + 2	D	
	Draft budgets and draft estimates	Annual budget adopted + 2	D	
	Budget papers	Current + 5	D	
	Annual budget and background papers	Current year + 6	D	
	Audit investigations	End of financial year + 7	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
	Copy invoices	Current + 2	D	Service should not need to keep copy invoices as originals are held by Finance
	Bank statements	Current + 6	D	Statutory
	Credit card statements	Current + 6	D	Statutory
	Cash books, cheque counterfoils	Current + 6	D	Statutory
	Reconciliation records	Current + 5	D	
	Taxation records (including VAT return/records)	Current + 5	D	
	Payroll prints	Current + 5	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	
	Payroll records	Conclusion of financial transaction + 7	D	
	Payroll certificates (pension entitlement)	13	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	

## Finance

	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Creditors reports	Current + 5	D	Year end procedures follow annual account retention rules
	European Grant funding records	Date of Closure of Programme + 7	D	
	Quarterly statements	After next year's annual budget has been adopted	D	
	Loan files	Current + 2	D	
	Insurance policies	P	A	
	Public Liability Insurance policies	P	A	
	Public liability claims	Date of settlement + 6	D	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.
	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 + 5	D	
	Council tax records (debts still outstanding)	Debt extinguished + 5	D	
	Rate books, rate register	P	D/S	After administrative use is finished offer to your Records Manager to sample. Destroy the remainder.
	Records relating to property rates	Last action + 7	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	5	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	



Finance				
	File Type	Retention Period	Fate	Notes
	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 your Records Manager to sample for permanent preservation, and the remainder to be destroyed
	Contracts: monitoring records	Current year + 2	D	

## 8. General Public Services

Education Records - Headquarters				
	File Type	Retention Period	Fate	Notes
<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	
	Performance indicators submissions	4	D	
	Performance indicators trend reports	4	D	
	Placing requests and correspondence	3	D	
	Trusts and Endowments – Terms of Criteria	P	A	
<b>Staffing</b>				
	Staff development and review	3	D	
	Flexi-time update forms	1	D	
	Flexi Timesheets	Current + 2	D	
	Visiting specialists timetables	1	D	
<b>Home Education</b>				
	Home Education records	5	D	
<b>Finance</b>				
	Till Rolls (VAT registered organisations)	Current year + 5	D	
	Till Rolls (non VAT registered organisations)	Current year + 2	D	
	Devolved School Management documents	Current + 3	D	
	Education Maintenance Allowance (EMA) student data	6	D	Scottish Executive recommendations
	EMA applications	6	D	Scottish Executive recommendations

Education Records - Headquarters				
	File Type	Retention Period	Fate	Notes
	EMA contracts	2	D	Scottish Executive recommendations
	EMA Payment authorisations	6	D	Scottish Executive recommendations
	EMA Payment transactions	6	D	Scottish Executive recommendations
	EMA Student correspondence	6	D	Scottish Executive recommendations
Pre-school				
	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	
Her Majesty's Inspectors of Education				
	HMI Inspection reports	P	A	
Music Instruction				
	General correspondence	2	D	
	Invoice details	Current + 6	D	
	Music Instructors timetables	1	D	
Governors and Management				
	School development plans	Closure +6	S	Offer to your Records Manager to archive
Finance				
	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	
Agreements				
	Service Level Agreements	Until superseded	D	

School Records				
	File Type	Retention Period	Fate	Notes
Administration				
	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	
	Performance Indicators	2	D	

School Records				
	File Type	Retention Period	Fate	Notes
	correspondence			
Staffing				
	Staff development and Review	3	D	
	Curriculum files	5	S	Offer material to your Records Manager to sample. Destroy the remainder.
School Board				
	Correspondence	Closure of file + 2	D	
	Minutes	P	A	
Pre-school				
	Correspondence with parents	Closure of file +2	D	
	Registration Forms	2	D	
	Workshop notes	2	D	
Work Experience				
	Additional placement requests	2	D	
	Employers Acceptance Forms	3	D	
	Employers Questionnaires	3	D	
Her Majesty's Inspectors of Education				
	Establishment files	Once closed	D	
	Questionnaire	1	D	
	HMI Inspection reports	P	A	
Governors and Management				
	Minutes: principal signed set	P	A	Retain in school for 6 years from date of meeting. Transfer to Records Manager 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 your Records Manager to sample for permanent preservation, and the remainder to be destroyed.
	Annual Parents' meeting papers	Date of meeting + 6	S	Retain in school for 6 years. Offer to your Records Manager to sample for permanent preservation, and the remainder to be destroyed.
	Instruments of Government	P	A	Retain in school whilst school is open. Transfer to Records Manager to Archive when the school has closed.
	Action Plans	Date of action plan + 3	D	
	Policy documents	Expiry of Policy	S	Retain in school whilst policy is operational. Offer to your Records Manager to sample for permanent preservation, and the remainder to be destroyed.
	Complaints files	Date of resolution of complaint + 5	D	
	Annual Reports	Date of report +	S	Offer to your Records Manager to

School Records				
	File Type	Retention Period	Fate	Notes
		10		sample for permanent preservation, and the remainder to be destroyed.
	Proposals for establishment as Specialist Status schools	Current year + 3	S	Offer to your Records Manager to sample for permanent preservation, and the remainder to be destroyed.
	Log books	P	A	Retain in the school for 6 years from the date of last entry. Transfer to your Records Manager to Archive.
	Newsletters (for staff, parents and pupils)	Current year + 1	S	Offer to your Records Manager 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 your Records Manager 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 your Records Manager 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 development plans	Closure + 6	S	Offer to your Records Manager to Archive.
Pupils				
	Admission registers	P	A	Retain in the school from school from date of birth + 25 years. Transfer to your Records Manager to archive. Records closed to general public scrutiny for a further 30 years
	Admission and Leavers information –	P	A[E]	Retain in the school from pupil date of birth + 25 years. Transfer certain fields of information to your Records Manager 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 + 3	D	

School Records				
	File Type	Retention Period	Fate	Notes
	Pupil record cards: Nursery	Retain for the time the pupil remains at the nursery school. Transfer to next school when child leaves		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.		Transfer to next school
	Pupil record cards: Secondary	DOB of the pupil + D 25		
	Pupil files: Nursery	Retain for the time the pupil is at school. Transfer to next school when child leaves.		
	Pupil files: Primary	Retain for the time the pupil is at school. Transfer to next school when child leaves.		
	Pupil files: Secondary	DOB of the pupil + D 25		
	Special Educational Needs files, reviews and Individual Education Plans	DOB of the pupil + D 25		
	Letters authorising absence	Date of absence + D 2		
	Absence books	Current year + 6	D	
	Examination results: Public	Year of examination + 6	D	
	Examination results: Internal	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	
Curriculum				
	Curriculum development	Current year + 6	D	
	Curriculum returns	Current year + 3	D	
	School syllabus	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

School Records				
	File Type	Retention Period	Fate	Notes
				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.
	Examination results	Current year + 6	D	
	Value Added records	Current year + 6	D	
Personnel				
	Annual appraisal records	Current year + 5	D	
Health and Safety				
	Accessibility plans	Current year + 6	D	Disability Discrimination Act 1995
	Accident reporting: Adults	Current year + 3	D	
	Accident reporting: children	DOB + 25	D	
	COSHH	Current year + 10	D	
	Incident reports	Current year + 20	D	
	Violent Incident Forms	Current year + 20	D	
	Policy statements	Date of expiry + 1	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	
Administrative				
	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 your Records Manager to sample for permanent preservation, and the remainder to be destroyed.
	Circulars	Current year + 1	D	
	Visitors' book	Current year + 2	S	Retain in school for 2 years. Offer to your Records Manager for permanent preservation.
	PTA/Old Pupils' Associations	Current year + 3	S	Retain in school for 3 years. Offer to your Records Manager to sample for permanent preservation, and the remainder to be destroyed.
Finance - Education				
	Annual Accounts	Current year + 6	S	Financial Regulations. Offer to your Records Manager to archive.

School Records				
	File Type	Retention Period	Fate	Notes
	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 – ledger	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	
	Petty cash books	Current year + 6	D	Statutory
	Bank statements	Current + 6	D	
	Cash books	Current + 6	D	Statutory
	Previously used purchase orders	Current + 3	D	
	Community Learning Development 'Individual Grant Applications'	Current + 2	D	
	Grant to Voluntary Organisations	Current + 5	D	
Property - Education				
	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	
Agreements				
	Work Experience agreement	DOB of child + 18	D	
School Meals				
	Dinner Register	Current year + 3	D	
	School Meals Summary sheets	Current year + 3	D	

Libraries & Information Service				
	File Type	Retention Period	Fate	Notes
Library and Information Service Management				
	Minutes Libraries & Museums Management	3 years from meeting	D	Kept electronically on Libraries shared drive
	Minutes of branch staff meetings	3 years from meeting	D	Kept electronically on Libraries shared drive
	Minutes of Working Groups	3 years from meeting	D	Kept electronically on Libraries shared drive
	Service Improvement plans	Superseded + 5	D	
	Policies and Procedures	Until superseded	D	
	Instruction manuals and procedures	Until superseded	D	
Library membership and use				
	Library membership records (electronic)	Retain while current	D	Current = 2 years from registration. Expiry date set on library management system. Original forms securely destroyed when details are transferred and signatures scanned into LMS. Expired borrowers are purged quarterly from the LMS.

## Libraries & Information Service

	File Type	Retention Period	Fate	Notes
	Electronic membership records	Retain while current	D	Current = 2 years from registration
	Guest User Forms	Retain while current	D	Current = 1 year from registration
	Learner Records (electronic)	Retain while current	D	Current = 5 years from registration
	Learner Records (paper)_	Retain while current	D	Current = 2 years from registration
	Copyright permission forms	Current year + 4	D	Statutory

## Statistics and Surveys

	Statistics Spydus, Netloan, and manual counts	P	A	Retained electronically on Libraries shared drive
	Surveys (final reports)	P	A	
	Surveys (paper forms)	Retain until report published	D	Once information written up – records securely destroyed

## Administration

	Letters re overdue items	Date of issue + 1	D	
	General correspondence	Closure + 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 year + 6	Review by creator	Destroy correspondence no longer required. Keep rest and review after another 6 years or retain permanently
	Emails – save important emails as records also keep thread discussions together	2 years	Review by creator	Destroy records no longer required. Keep rest and review after another 90 days or retain permanently as records
	Copyright correspondence	Closure of file + 5	D	
	Complaints files	Resolution of complaint + 5	D	

## Financial records

	Purchase orders and manual stock orders	Current + 5	D	Guidance from Audit
	Till Rolls (VAT registered organisations)	Current year + 5	D	Guidance from Audit
	Copy Invoices	Current year + 5	D	Guidance from Audit
	Purchase Card Journals	Current year + 5	D	

## Personnel records

	Staffing records	Termination of employment + 6	D	
	Records relating to staff working with children	Termination + 25	D	
	Volunteer records	Termination of volunteering + 6	D	



Libraries & Information Service				
	File Type	Retention Period	Fate	Notes
<b>Council Minutes</b>				
	Inverclyde Council Minutes - printed	P	Local Heritage	Note: Agenda papers destroyed after 6 months. Available on Inverclyde Council website
<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 Library Branch has a copy for their catchment area.
<b>Museums</b>				
	File Type	Retention Period	Fate	Notes
<b>Accession and Cataloguing</b>				
	Object entry forms	P	A	All pertinent data transferred to the computerised cataloguing system
	Day Book	P	A	
	Accessions Register	P	A	
	Legal deposit agreements	P	A	
<b>Enquiries</b>				
	General correspondence (admin)	Closure + 2	Review by creator	Destroy correspondence no longer required. Keep rest and review after another 2 years or retain permanently
	General correspondence (donations, loans etc)	P	A	
	Till rolls	Current year + 5	D	Guidance from Audit
	Correspondence concerning policy and management	Current year + 6	Review by creator	Destroy correspondence no longer required. Keep rest and review after another 6 years or retain permanently
	Emails – save important emails as records also keep thread discussions together	2 years	Review by creator	Destroy records no longer required. Keep rest and review after another 90 days or retain permanently
	Copyright correspondence	P	A	
	Enquiry logging forms	Current + 3	D	
	Correspondence with depositors	P	A	
	Statistics	P	A	
<b>Exhibitions</b>				
	Exhibition research	P	A	
	Visitor Statistics	P	A	
	Project work	P	A	

Environmental Health				
	File Type	Retention Period	Fate	Notes
	All Service Requests (Electronic)	Current + 6	D	All Service requests held on database for 6 years
	Health & Safety Enforcement files (Paper and Electronic)	Current + 6	D	In consultation with EHO
	Accident Notifications	Current + 6	D	
	Air quality files	P	A	
	Caravan site files	Current + 6	D	In consultation with EHO
	Food Safety Enforcement Files (Paper and Electronic)	Current + 6	D	In consultation with EHO
	Communicable diseases	Current + 6	D	Retain/Archive outbreaks
	Dog warden register	P	A	
	Environmental Protection Act Notices	Resolution + 6	D	
	Information relative to preparation of Property Enquiry Certificates	10	D	
	Planning consultations	Current + 6	D	Original with Planning section
	Building Control consultations	Current + 6	D	Original with Building section
	Licensing Consultations	Current + 6	D	Original with Licensing section
	Register of unfit houses	P	A	
	Production Holdings (Dairy Farms)	Current + 6	D	
	Food complaints	Resolution of complaint + 6	D	
	Food premises register – registration	Closure +6	D	(Electronic)
	Applications for registration of food premises	Closure +6	D	
	Prohibition and improvement notices	Resolution + 6	D	
	Housing condition survey	P	A	
	BTS Housing files (improved/revoked/demolished/CoU)	Current + 6	D	
	Sampling (Including Water)	Current + 6	D	In consultation with EHO
	FSA Returns	Current + 6	D	In consultation with EHO
	Food Hazard Warnings (Records of Action)	Current + 6	D	In consultation with EHO
	Prosecution Files	Conclusion of case + 6	D	
	Petroleum Enforcement	P	A	
	Contaminated Land	P	A	
	All other Enforcement Files (Paper and Electronic)	Current + 6	D	Includes licensing other than petroleum (e.g. animal, fireworks etc.) Landlord registration records etc.

Trading Standards				
	File Type	Retention Period	Fate	Notes
	Service Requests	Resolution of complaint + 5	D	Electronic
	Prosecution files	Conclusion of case + 6	D	
	Instrument calibration records	Current + 6	D	
	Notices	Current + 6	D	

Economic Development				
	File Type	Retention Period	Fate	Notes
	Property Grant and Business Grant files	Current + 7	D	
	Project files including Fairer Scotland Fund	Completion of project + 7	D	Except where there is an element of EU Funding where retention period is date of closure of programme + 7.
	Contracts	Termination + 5	D	
	Property Enquiries	Current + 7	D	
Customer Service Centre <sup>5</sup>				
	File Type	Retention Period	Fate	Notes
	Personnel Files	Term of employment with Service	D	
	Attendance Records	Term of employment with Service	A	Retained electronically
	Absence Books	Current + 6	D	
	Training and Performance Improvement Plans	Current + 2	D	
	Instruction Manuals and Procedures	Until superceded	D	Hard and electronic copies retained by Service
	Policies	Until superceded	D	Hard and electronic copies retained by Service
	Service Improvement Plans	Superceded + 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
	Statistics	P	A	Retained electronically
	Performance Indicator Submissions	Current + 4	D	Retained electronically
	Performance Indicator trend reports	Current + 4	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.

<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.

Customer Service Centre			
File Type	Retention Period	Fate	Notes
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	
	Site register, register of leases	P	A	
	Plans – property acquisition and disposal	Life of property + 12	D/S	Offer material relating to significant property to your Records Manager to sample. Destroy the remainder.
	Legal documents relating to sale, conditions of contract etc	Concluded action + 15	D	
	Special interest buildings – plans etc	P	A	
	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				
	File Type	Retention Period	Fate	Notes
	Block files	P	A	Weed file of duplicates etc before transfer to your Records Manager to Archive
	Planning subject files	Current + 5	D/S	Offer to Your Records Manager to sample
	Development Plans – Structure (Strategic) and Local	P	A	
	Development Plans – Consultation Files	Adoption of Plan + 5	A	
	Development Plans – Correspondence Files	Adoption of Plan + 5	D	
	Development Plans – Inquiry (Examination)	P	A	Files will be weeded of duplicates prior to archiving.
	SEA Files	P	A	
	Other Policy Documents	P	A	
	Land Surveys	P	A	

Planning & Building Standards				
	File Type	Retention Period	Fate	Notes
	Subject/Site Files	Current + 5	A	Files will be weeded of duplicates prior to archiving.
	Working Files	Current + 2	D	
	Consultations: planning	P	A	Offer to your Records Manager after 3 years.
	Planning application files 1986 + (including listed buildings, conservation and advertisement)	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. Similar process to be undertaken for 2000-08 2008+ complete file stored permanently in ERDMS.
	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
	Planning enforcement files	P	A	Paper document
	Building warrant files 1985 +	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	P	A	Paper document
	Building standards subject files	Current + 5	D/S	Offer to your Records Manager to sample
	Building standards enforcement files	P	A	Paper document
	Letters of Intent	P	A	Paper document

## 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 your Records Manager	
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 your Records Manager 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	
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 your Records Manager 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

## DIRECT SERVICES – Fleet Services

File Type	Retention Period	Fate	Notes
Vehicle log sheets	5 years	D	
Vehicle registration files	Duration of ownership of vehicle	D	
Vehicle inspection sheets	Duration of ownership of vehicle	D	
Driver defect books	Duration of ownership of vehicle	D	
Vehicle repair sheets	Duration of ownership of vehicle	D	
Taxi test certificates	Current + 10	D	
Fuel movement reports	Current	D	
Fuel prints (monthly)	1 year	D	Monthly fuel prints on fuel usage

				for re-charge to Services.
	Fleet Prints (monthly)	1year	D	Charges from fleet section
	Material requisition forms	1year	D	Items from stores
	Vehicle hire	Current + 10	D	
	DVLA Correspondence	Duration of ownership of vehicle	D	
	Transport records – leases, contracts, quotes, approvals etc	Disposal of vehicle + 7	D	
	Vehicles – approvals as drivers, authorisations of vehicles	Disposal of vehicle + 7	D	
	Vehicle usage reports	Disposal of vehicle + 3	D	
	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	

#### **DIRECT SERVICES – Environmental Protection – Lands and Parks**

	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Grounds Maintenance Routine Works / Bills of Quantities / Costings	Current + 3	D	
	Grounds maintenance site inspection	Current + 3	D	

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

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

#### **DIRECT SERVICES – Environmental Protection – Cemeteries**

	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Headstone approvals	Current + 5	D	
	Burial accounts	Current + 5	D	
	Lair certificate stubs	Current + 5	D	
	Cemetery diaries	Current + 5	A	
	Notification of burial	Last action + 5	D	
	Register of interments	P	A	Transfer to your Records Manager to archive after administrative use is concluded.
	Cemetery register	P	A	
	Cemetery plans	P	A	
	Burial Grounds Plans	P	A	Do not destroy

#### **DIRECT SERVICES – Environmental Protection – Crematorium**

	<b>File Type</b>	<b>Retention Period</b>	<b>Fate</b>	<b>Notes</b>
	Forms F.B.C + Form 11 or Proc Fiscal (E1)	Current + 15	D	
	Cremation accounts	Current + 5	D	
	Crematorium diary	Current + 5	A	Transfer to your Records Manager



## DIRECT SERVICES – Environmental Protection – Lands and Parks

File Type	Retention Period	Fate	Notes
			to Archive
Fax confirmation		D	
Memorial Plaque agreement 10/15 years	10/15 years	A	RENEWABLE
Book of Remembrance diaries	P	A	
Application for Book of Remembrance	P	A	
Medical Referee /Organist fee	Current + 5	D	
Register of cremation	P	A	Electronic back up.
Crematorium Plans	P	A	Do not destroy

## DIRECT SERVICES – Property Services

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

File Type	Retention Period	Fate	Notes
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 your Records Manager to Archive.
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	D	

		(Housing client +10)		
	House type drawings	P	A	
	Record photographs	P	D/S	Offer to your Records Managerist to sample
	Site Investigation reports / Geotechnical drawings –selected / Structural drawings – selected / Structural specifications & calculations	P	A	
	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	6months	D	6months
	<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 your Records Manager to sample
	Architects Landscape drawings	Current	D/S	Offer to your Records Manager to sample
	Landscape key specifications	CPC + 7	D	
	Landscape working files	Current	D	
	Surveyors working file including interim payment backup	Current	D	Destroy at certificate of making 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 – Digital
	Asbestos Removal certification	P	A	Retain permanently
	Maintenance and contractors	Current year + 6	D	Financial Regulations

## Emergency Planning

File Type	Retention Period	Fate	Notes
Invoices	Current + 6	D	
Minutes of meetings	P	A	
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	P	A	
Exercises & de-briefing records	Current + 5	D	
Training records	Current year + 2	D	
Completed Incident Report Forms and Operational Logs	P	A	
Emergency Contact Directory	P	A	Living document maintained by database

## 11. Joint Partnerships

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

File Type	Retention Period	Fate	Notes
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

<sup>6</sup> The CHCP is at an early stage. As we move towards integration and joint records this schedule will require to be revised. At that stage the current version of the Scottish Government's Records Management Guidance for NHS may be helpful. The current version can be found at <http://www.scotland.gov.uk/Publications/2008/07/01082955/0>

				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	

# **MODEL RECORDS MANAGEMENT PLAN**

**For Developing Records Management  
Arrangements Under Section 1 of**

**The Public Records (Scotland) Act  
2011**

## **Model Records Management Plan**

### **To assist Scottish Public Authorities to comply with the Public Records (Scotland) Act 2011**

The Keeper of the Records of Scotland (the Keeper) is statutorily obliged under the terms of the Public Records (Scotland) Act 2011 (the Act) to publish a Model Records Management Plan (Model Plan) to assist authorities when preparing their own records management plan (RMP) for submission to the Keeper for agreement as required under the Act.

**Section 1 of the Act says,**

***1 Records management plans:***

*(1) Every authority to which this Part applies must—*

- (a) prepare a plan (a “records management plan”) setting out proper arrangements for the management of the authority’s public records,*
- (b) submit the plan to the Keeper for agreement, and*
- (c) ensure that its public records are managed in accordance with the plan as agreed with the Keeper.*

*(2) An authority’s records management plan must—*

- (a) identify—*
  - (i) the individual who is responsible for management of the authority’s public records, and*
  - (ii) (if different) the individual who is responsible for ensuring compliance with the plan, and*
- (b) include, in particular, provision about—*
  - (i) the procedures to be followed in managing the authority’s public records,*
  - (ii) maintaining the security of information contained in the authority’s public records, and*

Public Records (Scotland) Act 2011  
Model Records Management Plan

*(iii) the archiving and destruction or other disposal of the authority's public records.*

**For more information regarding the Act see:**

**<http://www.nas.gov.uk/recordKeeping/publicRecordsActIntroduction.asp>**

**For statutory requirements placed on the Keeper, including the preparation of the Model Plan see:**

**<http://www.scottish.parliament.uk/parliamentarybusiness/Bills/22476.aspx>**

## **Introduction**

Under the Public Records (Scotland) Act 2011 (“the Act”) Scottish public authorities **must** produce and submit a records management plan (“RMP”) setting out proper arrangements for the management of an authority’s public records to the Keeper of the Records of Scotland (“the Keeper”) for his agreement under section 1 of the Act. To assist authorities in this process, the Keeper **must** publish a model RMP (“Model Plan”) that has been produced in consultation with stakeholders. To this end the Keeper established a Public Records Stakeholder Forum (“the Forum”)<sup>1</sup> to help develop the Model Plan.

The Model Plan should be read in conjunction with the Guidance to the Form and Content of the Model Plan (“the Guidance”). The Guidance has been produced to comply with section 1(4) of the Act

The Model Plan suggests 14 elements that the Keeper would expect a Scottish public authority to consider when creating its RMP. It is recognised that all elements will not apply to every authority. However, should an authority consider that an element does not apply, the Keeper will expect to see an explanation in support of the omission of that element from its RMP.

Although the Model Plan is published by the Keeper, its content reflects the combined work of the Keeper and the Forum. The Forum membership had representation from a cross section of public authorities and other bodies who are affected, either directly or indirectly, by the Act.

A glossary of terms used in the Model Plan is included as Appendix A in the Guidance. Reference in this document to an ‘authority’ should be taken to mean an authority listed in the schedule of the Act.  
(<http://www.legislation.gov.uk/asp/2011/12/schedule/enacted>)

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<sup>1</sup> *The Forum included representatives from across the public sector and also from relevant professions and other stakeholders. The Forum provided the main mechanism to deliver cross sector agreement on issues relating to the form and content of this Model Plan and the accompanying Guidance Document. Members of the Forum represented the views of their respective sectors, as well as comments on the general principles of good records management. The Guidance Document is drawn from guidance already in existence or in the course of being developed.*



**This Model Plan assumes as its starting point that there is no records management provision within an authority. However, it is recognised that different authorities will have different levels of provision. The records management practices set out within the Model Plan are essentially matters of good business administration. It is anticipated that many authorities will be able to populate much of their RMP using existing policy documents. The guidance includes links to self-assessment tools designed to help authorities understand their current records management provision and plan for improvement. A culture of improvement in record keeping is fundamental to the spirit of the Act.**

**Section 8(3) of the Act states that authorities must have regard to the Model Plan, but it is not compulsory for an authority to copy the format of the Model Plan in developing their RMP. Where an authority has already developed a robust records management system the Keeper would not expect that authority to expend additional resources rewriting it in line with the Model Plan.**

**The records management practices set out in the Model Plan and supported by the Guidance are essentially a matter of good business administration. Therefore, authorities should already be complying with the bulk of these, including the allocation of adequate resources to support their records management arrangements. Authorities should use the Model Plan and Guidance to assess the effectiveness of their existing records management arrangements. Any deficiencies will need to be addressed including where necessary some reallocation of existing resources. In considering what remedial action will be appropriate, authorities should consult the Model Plan and Guidance and take account of the consequences of failing to comply with the Act.**

**It is important to note that establishing effective records management arrangements will deliver significant benefits for authorities – for example it will help to:**

- Increase efficiency and effectiveness, delivering savings in administration costs**
- Improve and develop service delivery**
- Achieve business objectives and targets**
- Ensure compliance with the Public Records (Scotland) Act 2011 and other legislative requirements, standards and codes of conduct**
- Support transparency and open government**

**The scope of the Model Plan applies to all records irrespective of the technology used to create and store them or the type of information they contain.**

## Model Records Management Plan

This Model Plan has 14 elements. The Keeper expects each of these elements to be addressed in a RMP submitted by an authority.

The order in which these elements appear is not prescriptive, nor does a RMP have to use the Model Plan numbering sequence. However, an authority's submitted RMP must refer to these elements to confirm that they are not applicable in a particular case and to provide an explanation of the omission.

The 14 elements are:

1. Senior management responsibility
2. Records manager responsibility
3. Records management policy statement
4. Business classification
5. Retention schedules
6. Destruction arrangements
7. Archiving and transfer arrangements
8. Information security
9. Data protection
10. Business continuity and vital records
11. Audit trail
12. Competency framework for records management staff
13. Assessment and review
14. Shared information

Whilst it is not compulsory for authorities to slavishly copy the Model Plan, certain elements of it are required under the Act. If an authority decides against including a non-compulsory element in their own RMP, the Keeper will expect to see an explanation in support of that decision.

### Compulsory elements

The Act specifically requires a public authority to include certain elements in its records management plan:

#### ***1 Records management plans:***

*(2) An authority's records management plan must—*

*(a) identify—*

Public Records (Scotland) Act 2011  
Model Records Management Plan

- (i) the individual who is responsible for management of the authority's public records, and*
- (ii) (if different) the individual who is responsible for ensuring compliance with the plan, and*
- (b) include, in particular, provision about—*
  - (i) the procedures to be followed in managing the authority's public records,*
  - (ii) maintaining the security of information contained in the authority's public records, and*
  - (iii) the archiving and destruction or other disposal of the authority's public records.*

**It unlikely the Keeper would agree a RMP that does not include elements 1, 2, 3, 6, 7 and 8**

**Element 1: Senior management responsibility:**

***Identify an individual at senior level who has overall strategic accountability for records management.***

Section 1(2)(a)(i) of the Act specifically requires a RMP to identify the individual responsible for the management of the authority's public records.

An authority's RMP must name and provide the job title of the senior manager who accepts overall responsibility for the RMP that has been submitted.

It is vital that the RMP submitted by an authority has the approval and support of that authority's senior management team. Where an authority has already appointed a Senior Information Risk Owner, or similar person, they should consider making that person responsible for the records management programme. It is essential that the authority identifies and seeks the agreement of a senior post-holder to take overall responsibility for records management. That person is unlikely to have a day-to-day role in implementing the RMP, although they are not prohibited from doing so.

As evidence, the RMP could include, for example, a covering letter signed by the senior post-holder. In this letter the responsible person named should indicate that they endorse the authority's record management policy (See Element 3).

Read further explanation and guidance about element 1 -

<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement1.asp>

## **Element 2: Records manager responsibility:**

***Identify individual within the authority, answerable to senior management, to have day-to-day operational responsibility for records management within the authority<sup>2</sup>.***

Section 1(2)(a)(ii) of the Act specifically requires a RMP to identify the individual responsible for ensuring the authority complies with its plan.

An authority's RMP must name and provide the job title of the person responsible for the day-to-day operation of activities described in the elements in the authority's RMP. This person should be the Keeper's initial point of contact for records management issues.

It is essential that an individual has overall day-to-day responsibility for the implementation of an authority's RMP. There may already be a designated person who carries out this role. If not, the authority will need to make an appointment. As with element 1 above, the RMP must name an individual rather than simply a job title.

It should be noted that staff changes will not invalidate any submitted plan provided that the all records management responsibilities are transferred to the incoming post holder and relevant training is undertaken.

This individual might not work directly for the scheduled authority. It is possible that an authority may contract out their records management service. If this is the case an authority may not be in a position to provide the name of those responsible for the day-to-day operation of this element. The authority must give details of the arrangements in place and name the body appointed to carry out the records management function on its behalf.

It may be the case that an authority's records management programme has been developed by a third party. It is the person operating the programme on a day-to-day basis whose name should be submitted.

Read further explanation and guidance about element 2 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement2.asp>

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<sup>2</sup> *The Keeper recognises that an authority may appoint more than one responsible person, e.g. where the post is shared. All those with records management responsibilities for the authority as part of their formal job description must be named in the RMP.*

### **Element 3: Records management policy statement:**

***A records management policy statement underpins effective management of an authority's records and information. It demonstrates to employees and stakeholders that managing records is important to the authority and serves as a mandate for the activities of the records manager.***

The Keeper expects each authority's plan to include a records management policy statement. The policy statement should describe how the authority creates and manages authentic, reliable and useable records, capable of supporting business functions and activities for as long as they are required. The policy statement should be made available to all staff, at all levels in the authority.

The statement will properly reflect the business functions of the public authority. The Keeper will expect authorities with a wide range of functions operating in a complex legislative environment to develop a fuller statement than a smaller authority.

The records management statement should define the legislative, regulatory and best practice framework, within which the authority operates and give an overview of the records management processes and systems within the authority and describe how these support the authority in carrying out its business effectively. For electronic records the statement should describe how metadata is created and maintained. It should be clear that the authority understands what is required to operate an effective records management system which embraces records in all formats.

The statement should demonstrate how the authority aims to ensure that its records remain accessible, authentic, reliable and useable through any organisational or system change. This would include guidelines for converting or migrating electronic records from one system to another.

The records management statement should include a description of the mechanism for records management issues being disseminated through the authority and confirmation that regular reporting on these issues is made to the main governance bodies.

The statement should have senior management approval and evidence, such as a minute of the management board recording its approval, submitted to the Keeper.

The other elements in the RMP, listed below, will help provide the Keeper with evidence that the authority is fulfilling its policy.

Read further explanation and guidance about element 3 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement3.asp>

## **Element 4: Business classification**

***A business classification scheme describes what business activities the authority undertakes – whether alone or in partnership.***

The Keeper expects an authority to have properly considered business classification mechanisms and its RMP should therefore reflect the functions of the authority by means of a business classification scheme or similar.

A business classification scheme usually takes the form of a hierarchical model or structure diagram. It records, at a given point in time, the informational assets the business creates and maintains, and in which function or service area they are held. As authorities change the scheme should be regularly reviewed and updated.

A business classification scheme allows an authority to map its functions and provides a structure for operating a disposal schedule effectively.

Some authorities will have completed this exercise already, but others may not. Creating the first business classification scheme can be a time-consuming process, particularly if an authority is complex, as it involves an information audit to be undertaken. It will necessarily involve the cooperation and collaboration of several colleagues and management within the authority, but without it the authority cannot show that it has a full understanding or effective control of the information it keeps.

Although each authority is managed uniquely there is an opportunity for colleagues, particularly within the same sector, to share knowledge and experience to prevent duplication of effort.

All of the records an authority creates should be managed within a single business classification scheme, even if it is using more than one record system to manage its records.

An authority will need to demonstrate that its business classification scheme can be applied to the record systems which it operates.

[Read further explanation and guidance about element 4 -  
http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement4.asp](http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement4.asp)

## **Element 5: Retention schedules**

***A retention schedule is a list of records for which pre-determined disposal dates have been established.***

Section 1(2)(b)(iii) of the Act specifically requires a RMP to include provision about the archiving and destruction or other disposal of the authority's public records.

An authority's RMP must demonstrate the existence of and adherence to corporate records retention procedures. The procedures should incorporate retention schedules and should detail the procedures that the authority follows to ensure records are routinely assigned disposal dates, that they are subsequently destroyed by a secure mechanism (see element 6) at the appropriate time, or preserved permanently by transfer to an approved repository or digital preservation programme (See element 7).

The principal reasons for creating retention schedules are:

- to ensure records are kept for as long as they are needed and then disposed of appropriately
- to ensure all legitimate considerations and future uses are considered in reaching the final decision.
- to provide clarity as to which records are still held by an authority and which have been deliberately destroyed.

"Disposal" in this context does not necessarily mean destruction. It includes any action taken at the agreed disposal or review date including migration to another format and transfer to a permanent archive.

A retention schedule is an important tool for proper records management. Authorities who do not yet have a full retention schedule in place should show evidence that the importance of such a schedule is acknowledged by the senior person responsible for records management in an authority (see element 1). This might be done as part of the policy document (element 3). It should also be made clear that the authority has a retention schedule in development.

An authority's RMP must demonstrate the principle that retention rules are consistently applied across all of an authority's record systems.

[Read further explanation and guidance about element 5 -  
http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement5.asp](http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement5.asp)



## **Element 6: Destruction arrangements**

***It is not always cost-effective or practical for an authority to securely destroy records in-house. Many authorities engage a contractor to destroy records and ensure the process is supervised and documented.***

Section 1(2)(b)(iii) of the Act specifically requires a RMP to include provision about the archiving and destruction, or other disposal, of an authority's public records.

An authority's RMP must demonstrate that proper destruction arrangements are in place.

A retention schedule, on its own, will not be considered adequate proof of disposal for the Keeper to agree a RMP. It must be linked with details of an authority's destruction arrangements. These should demonstrate security precautions appropriate to the sensitivity of the records. Disposal arrangements must also ensure that all copies of a record – wherever stored – are identified and destroyed.

Read further explanation and guidance about element 6 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement6.asp>

## **Element 7: Archiving and transfer arrangements**

***This is the mechanism by which an authority transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions.***

Section 1(2)(b)(iii) of the Act specifically requires a RMP to make provision about the archiving and destruction, or other disposal, of an authority's public records.

An authority's RMP must detail its archiving and transfer arrangements and ensure that records of enduring value are deposited in an appropriate archive repository. The RMP will detail how custody of the records will transfer from the operational side of the authority to either an in-house archive, if that facility exists, or another suitable repository, which must be named. The person responsible for the archive should also be cited.

Some records continue to have value beyond their active business use and may be selected for permanent preservation. The authority's RMP must show that it has a mechanism in place for dealing with records identified as being suitable for permanent preservation. This mechanism will be informed by the authority's retention schedule which should identify records of enduring corporate and legal value. An authority should also consider how records of historical, cultural and research value will be identified if this has not already been done in the retention schedule. The format/media in which they are to be permanently maintained should be noted as this will determine the appropriate management regime.

Read further explanation and guidance about element 7-  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement7.asp>

## **Element 8: Information security**

***Information security is the process by which an authority protects its records and ensures they remain available. It is the means by which an authority guards against unauthorised access and provides for the integrity of the records. Robust information security measures are an acknowledgement that records represent a risk as well as an asset. A public authority should have procedures in place to assess and contain that risk.***

Section 1(2)(b)(ii) of the Act specifically requires a RMP to make provision about the archiving and destruction or other disposal of the authority's public records.

An authority's RMP must make provision for the proper level of security for its public records.

All public authorities produce records that are sensitive. An authority's RMP must therefore include evidence that the authority has procedures in place to adequately protect its records. Information security procedures would normally acknowledge data protection and freedom of information obligations as well as any specific legislation or regulatory framework that may apply to the retention and security of records.

The security procedures must put in place adequate controls to prevent unauthorised access, destruction, alteration or removal of records. The procedures will allocate information security responsibilities within the authority to ensure organisational accountability and will also outline the mechanism by which appropriate security classifications are linked to its business classification scheme.

Information security refers to records in all or any format as all are equally vulnerable. It refers to damage from among other things: computer viruses, flood, fire, vermin or mould.

Current or semi-current records do not normally require archival standard storage. Physical records will however survive far better in a controlled environment. In broad terms the environment for current records should not allow large changes in temperature or excess humidity (as increased high temperatures and humidity are more likely to cause mould). If records are not adequately protected then the risk that the records could be damaged and destroyed is potentially higher and could lead to significant reputational and financial cost to the business.

Read further explanation and guidance about element 8 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement8.asp>

## **Element 9: Data protection**

***An authority that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998.***

The Keeper will expect an authority's RMP to indicate compliance with its data protection obligations. This might be a high level statement of public responsibility and fair processing.

If an authority holds and process information about stakeholders, clients, employees or suppliers, it is legally obliged to protect that information. Under the Data Protection Act, an authority must only collect information needed for a specific business purpose, it must keep it secure and ensure it remains relevant and up to date. The authority must also only hold as much information as is needed for business purposes and only for as long as it is needed. The person who is the subject of the information must be afforded access to it on request.

Read further explanation and guidance about element 9 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement9.asp>

## **Element 10: Business continuity and vital records**

***A business continuity and vital records plan serves as the main resource for the preparation for, response to, and recovery from, an emergency that might affect any number of crucial functions in an authority.***

The Keeper will expect an authority's RMP to indicate arrangements in support of records vital to business continuity. Certain records held by authorities are vital to their function. These might include insurance details, current contract information, master personnel files, case files, etc. The RMP will support reasonable procedures for these records to be accessible in the event of an emergency affecting their premises or systems.

Authorities should therefore have appropriate business continuity plans ensuring that the critical business activities referred to in their vital records will be able to continue in the event of a disaster. How each authority does this is for them to determine in light of their business needs, but the plan should point to it.

Read further explanation and guidance about element 10 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement10.asp>

## **Element 11: Audit trail**

***An audit trail is a sequence of steps documenting the movement and/or editing of a record resulting from activities by individuals, systems or other entities.***

The Keeper will expect an authority's RMP to provide evidence that the authority maintains a complete and accurate representation of all changes that occur in relation to a particular record. For the purpose of this plan 'changes' can be taken to include movement of a record even if the information content is unaffected. Audit trail information must be kept for at least as long as the record to which it relates.

This audit trail can be held separately from or as an integral part of the record. It may be generated automatically, or it may be created manually.

Read further explanation and guidance about element 11 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement11.asp>

## **Element 12: Competency framework for records management staff**

***A competency framework lists the core competencies and the key knowledge and skills required by a records manager. It can be used as a basis for developing job specifications, identifying training needs, and assessing performance.***

The Keeper will expect an authority's RMP to detail a competency framework for person(s) designated as responsible for the day-to-day operation of activities described in the elements in the authority's RMP. It is important that authorities understand that records management is best implemented by a person or persons possessing the relevant skills.

A competency framework outlining what the authority considers are the vital skills and experiences needed to carry out the task is an important part of any records management system. If the authority appoints an existing non-records professional member of staff to undertake this task, the framework will provide the beginnings of a training programme for that person.

The individual carrying out day-to-day records management for an authority might not work for that authority directly. It is possible that the records management function is undertaken by a separate legal entity set up to provide functions on behalf of the authority, for example an arm's length body or a contractor. Under these circumstances the authority must satisfy itself that the supplier supports and continues to provide a robust records management service to the authority. The authority's RMP must confirm that it is satisfied by the standard of the records management provided by the supplier and name the organisation that has been appointed to carry out records management on the authority's behalf.

Where an authority's records management system has been put in place by a third party, but is operated on a day-to-day basis by a member of staff in the authority, it is the competencies of that member of staff which should be confirmed, not those of the third party supplier of the system.

Read further explanation and guidance about element 12 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement12.asp>

### **Element 13: Assessment and review**

***Regular self-assessment and review of records management systems will give an authority a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper.***

Section 1(5)(i)(a) of the Act says that an authority must keep its RMP under review.

An authority's RMP must describe the procedures in place to regularly review it in the future.

It is important that an authority's RMP is regularly reviewed to ensure that it remains fit for purpose. It is therefore vital that a mechanism exists for this to happen automatically as part of an authority's internal records management processes.

A statement to support the authority's commitment to keep its RMP under review must appear in the RMP detailing how it will accomplish this task.

Read further explanation and guidance about element 13 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement13.asp>



## **Element 14: Shared Information**

***Under certain conditions, information given in confidence may be shared. Most commonly this relates to personal information, but it can also happen with confidential corporate records.***

The Keeper will expect an authority's RMP to reflect its procedures for sharing information. Authorities who share, or are planning to share, information must provide evidence that they have considered the implications of information sharing on good records management.

Information sharing protocols act as high level statements of principles on sharing and associated issues, and provide general guidance to staff on sharing information or disclosing it to another party. It may therefore be necessary for an authority's RMP to include reference to information sharing protocols that govern how the authority will exchange information with others and make provision for appropriate governance procedures.

Specifically the Keeper will expect assurances that an authority's information sharing procedures are clear about the purpose of record sharing which will normally be based on professional obligations. The Keeper will also expect to see a statement regarding the security of transfer of information, or records, between authorities whatever the format.

Issues critical to the good governance of shared information should be clearly set out among parties at the earliest practical stage of the information sharing process. This governance should address accuracy, retention and ownership. The data sharing element of an authority's RMP should explain review procedures, particularly as a response to new legislation.

Read further explanation and guidance about element 14 -  
<http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement14.asp>