

# File Plan and Retention Schedule



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## Glossary and abbreviations

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<b>Term used</b>	<b>Explanation</b>
<b>SIC</b>	The Scottish Information Commissioner, staff of SIC (depends on context)
<b>HOCS</b>	Head of Corporate Services
<b>HR</b>	Human Resources
<b>HOD</b>	Head of Department
<b>SMT</b>	Senior Management Team

## Introduction

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### Purpose and intended use

1. This guidance sets out the principles behind the use of a File Plan and Retention Schedule to ensure that records are accessible, retrievable and only kept for as long as they are needed.
2. This guidance should be read in conjunction with the Information and Records Management Policy and Information and Records Management Handbook.

### Audience

3. This guidance is intended for reference by all staff.

### Contents

4. This guidance is split into three parts:-
  - (i) Part 1 – File Plan  
The function based File Plan provides the framework within which the records themselves will be effectively managed.
  - (ii) Part 2 – Retention Schedule  
Retention scheduling is an important aspect of establishing and maintaining control of corporate information and record resources.
  - (iii) Part 3 – Procedure for review and update of the File Plan and Retention Schedule  
Regular review will be undertaken to ensure that the File Plan and Retention Schedule remain fit for purpose and comply with any changes in legal and regulatory requirements.

## Part 1 – File Plan

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### Introduction

5. The File Plan provides a framework for a consistent approach to classifying records across the organisation regardless of format or physical location.
6. The File Plan, in conjunction with the Retention Schedule, is used to identify and retrieve records relating to the same function and activity anywhere in the organisation, irrespective of which department produces or receives them.
7. The File Plan is structured in a three-tier hierarchy representing business functions, activities and sub-activities carried out within the function.

### File Plan

REF	LEVEL 1 - FUNCTION
	LEVEL 2 – ACTIVITY
	LEVEL 3 – SUB-ACTIVITY
<b>01</b>	<b>01 – Corporate Management and Governance</b>
01.01	Corporate administration
01.02	Governance
	Equality
	Environmental Management
	Register of Interest
01.03	Meetings
01.04	Projects
	Yearly sub-folders
01.05	Quality and Performance Management
01.06	Risk Management
	Business Continuity
	Health and Safety
	Organisation Risk Assessment
01.07	Strategy and planning
<b>02</b>	<b>02 – Enforcement</b>
02.01	Compliance
	Assessment
	Intervention
	Enforcement Notice
02.02	Investigations
02.03	Management of Enforcement Function
	Meetings
	Policies, Procedures and Guidance
	Quality and Performance Management
	Standard Templates and Forms
	Strategy and Planning
<b>03</b>	<b>03 – Facilities Management</b>
03.01	Development, Maintenance and Repair

REF	LEVEL 1 - FUNCTION
	LEVEL 2 – ACTIVITY
	LEVEL 3 – SUB-ACTIVITY
03.02	Management of FM Function
	Meetings
	Policies, Procedures and Guidance
	Quality and Performance Management
	Standard Templates and Forms
	Strategy and Planning
<b>04</b>	<b>04 – Finance</b>
04.01	Annual Accounts
04.02	Asset management
04.03	Budget and Accounts Management
04.04	Insurance
04.05	Management of Finance Function*
04.06	Payroll and pensions
	Meetings
	Policies, Procedures and Guidance
	Quality and Performance Management
	Standard Templates and Forms
	Strategy and Planning
04.07	Procurement
	Contract Management
	Non-Tendered Procurement
	Tendered Procurement
<b>05</b>	<b>05 – Human Resources</b>
05.01	HR Administration
05.02	Management of HR Function
	Meetings
	Policies, Procedures and Guidance
	Quality and Performance Management
	Standard Templates and Forms
	Strategy and Planning
05.03	Staff Administration
05.04	Staff Personal
05.05	Recruitment
05.06	Training
<b>06</b>	<b>06 – Information Management</b>
06.01	Access to Information
06.02	Knowledge Management
06.03	Management of IM Function
	Meetings
	Policies, Procedures and Guidance
	Quality and Performance Management
	Standard Templates and Forms

REF	LEVEL 1 - FUNCTION
	LEVEL 2 – ACTIVITY
	LEVEL 3 – SUB-ACTIVITY
	Strategy and Planning
06.04	Records Management
<b>07</b>	<b>07 – Information Technology</b>
07.01	Management of IT Function
	Meetings
	Policies, Procedures and Guidance
	Quality and Performance Management
	Standard Templates and Forms
	Strategy and Planning
07.02	Systems Management
<b>08</b>	<b>08 – Policy and Communication</b>
08.01	Complaints
08.02	Events and Campaign Management
08.03	External Blog
08.04	External Consultations
08.05	External Relations
	External Relations with stakeholders including Civil Society and Public Sector
	Media Relations
08.06	Internal Communications
08.07	Management of P&C Function
	Meetings
	Policies, Procedures and Guidance
	Quality and Performance Management
	Standard Templates and Forms
	Strategy and Planning
08.08	Publication Schemes
08.09	Publications and Guidance
08.10	Research
	Intelligence Monitoring
	Policy Research
	Stakeholder Research
08.11	Website
<b>09</b>	<b>09 – ACT! Records</b>

## Part 2 – Retention Schedule

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### Introduction

8. The Retention Schedule identifies the retention periods set for specific and general categories of records, and the action which should be taken when records are of no further administrative use.
9. The retention periods are determined by legal, statutory and business requirements.
10. The Retention Schedule ensures that the same types of records are managed consistently no matter where the record is held, or who created it.
11. The Schedule:
  - (i) promotes control over the organisation's records;
  - (ii) protects vital information, which the organisation needs in order to function effectively;
  - (iii) provides clear guidance on the retention and disposal of specific and general categories of information;
  - (iv) enables the confident disposal of records which are no longer needed;
  - (v) ensures information which is subject to Freedom of Information and Data Protection legislation will be available when required;
  - (vi) ensures the organisation is not maintaining and storing information unnecessarily;
  - (vii) ensures the retention of the minimum volume of records consistent with economy and efficiency and effectiveness.

### Using the Retention Schedule

12. The Retention Schedule should be used as a reference document for the day to day management of records and the annual review, by record custodians, of records held within each function.
13. It is a useful reference document as it gives examples of records/further information which will help you make the decision. This is especially important when creating a record of a particular type for the first time.
14. It is very important to save a record in the correct place within the File Plan as the associated retention and disposal arrangements, as set out in the Retention Schedule, will ensure it is properly managed, stored and disposed of.



## Format of Retention Schedule

15. The Retention Schedule is laid out in tabular form comprising the following:-

Heading	Description
Activity / Records Series	The grey highlighted rows represent the activity taking place within the function e.g. within the <i>Corporate Management and Governance</i> function there is an activity for <i>01.04 Projects</i>
	The records created or received for each activity are detailed as a <i>Record Series</i> e.g. within the <i>01.04 Projects</i> activity there are a series of records for <i>Project File</i> and <i>Project Register</i>
Examples of Record Types	Examples of the records within the <i>Record Series</i> . This uses terminology you will be familiar with.
Trigger	Details the event which triggers the retention period and resulting action e.g. end of project or end of a financial year.
Retention Period	A minimum period for which the records should be retained. Options available:-  <i>xx years</i> – expressed as full years  <i>Permanent</i>  <i>None</i>
Action	The action which must be taken with a record. Options available:-  <i>1. Review for KM<sup>1</sup> value - (These records should be reviewed and flagged with one of options 2 to 4 below).</i>  <i>2. Retain – KM - These records will be reviewed annually to ensure that they remain of value.</i>  <i>3. Permanent Archive</i>  <i>4. Destroy</i>
Custodian	The custodian with overall responsibility for records within a function or activity. Refer to Information and Records Management Handbook for further explanation.
Authority	This details what authority dictates the retention period – legal, statutory or business requirements
Citation / Notes	Details relevant legislation or notes on business need to retain records.
Location	Where master <sup>2</sup> record is stored.

<sup>1</sup> KM – Knowledge Management

<sup>2</sup> Master Records – considered the most accurate and up to date version of a record. Access is controlled by the software package used to store the record or, in the case of paper records, stored in a secure location. Convenience copies (either electronic or paper) should be destroyed once they no longer serve their purpose.

## **Destruction of records**

16. Where records have been identified for disposal they should be disposed of in an appropriate way. Refer to Section 7 of the Information and Records Management Handbook for guidance on the disposal methods available.
17. Care should be taken to ensure that all records containing personal or sensitive information are disposed of securely. For example, records containing personal information about living individuals should be destroyed in a way that prevents unauthorised access (this is required to comply with the 7th data protection principle of the Data Protection Act 1998).
18. There are instances when records scheduled for destruction should be retained as detailed in the Section 61 Code of Practice on Records Management by Scottish Public Authorities under the Freedom of Information (Scotland) Act 2002<sup>3</sup>

*Records should not be kept after they have ceased to be of use unless:-*

- (a) *They are known to be the subject of litigation or a request for information. If so destruction should be delayed until litigation is complete or, in the case of a request for information, all relevant complaint and appeal provisions have been exhausted;*
- (b) *They have long-term value for historical or other research and have been or should be selected for permanent preservation. (Note that records containing personal information can be kept indefinitely for historical research purposes because they thereby become exempt from the 5th data protection principle)*
- (c) *They contain or relate to information recently released in response to a request under FOISA. This may indicate historical value and destruction should be delayed while this is re-assessed.*

## **Destruction Registers**

19. The Commissioner maintains two destruction registers in the form of spreadsheets in VC:
  - (i) Destruction Register – record the destruction of organisational records
  - (ii) Confidential Destruction Register – restricted access to SIC and HOCS to record the destruction of confidential HR records
20. The destruction registers record the disposal of all master records, regardless of format and clearly identifies the records disposed of; reason for disposal; date of destruction; location and the name of the authorising officer.
21. Appropriate access controls are in place for both registers and the HOCS is the responsible officer for ensuring that the registers are maintained.
22. Destruction of ephemeral or convenience copies of records are not recorded in the registers.

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<sup>3</sup> <http://www.scotland.gov.uk/Resource/Doc/933/0124124.pdf>

## Retention Schedule

### 01 – Corporate Management and Governance

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>01.01 – Corporate Administration</b>								
Standard forms and templates		When superseded or obsolete	None	Destroy	HOCS	Business requirement		VC
Registers, logs and rotas	Sign out sheet; IT equipment sign in/out log; Post books;	End of financial year	1 year	Destroy	HOCS	Business requirement		VC
<b>01.02 – Governance</b>								
<b>Equality</b>								
Equality (EO) forms		Once entered	None	Destroy	HOCS	Statutory	Legislation <sup>4</sup>	
Equality monitoring records		End of financial year	1 year	Destroy	HOCS	Business requirement		VC
Equality monitoring reports		End of financial year	5 years	Destroy	HOCS	Business requirement		VC

<sup>4</sup> Data Protection Act 1998

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>Environmental Management</b> - Activities relating to managing the impact of the SIC and its business on the environment, and ensuring compliance with environmental legislation								
The records here are governed by other records types	Green office statistics (incl. Carbon footprint calculations) Green office meetings Environmental Policy		As per appropriate activity retention					
<b>Register of Interest</b>								
Register			Permanent	Permanent Archive	HOCS	Business requirement		VC
Individual declarations of interest		When superseded/ obsolete or termination of contract	Current	Destroy	HOCS	Business requirement		VC
<b>01.03 – Meetings</b>								
Management Team Meetings	QSMTM, WSMTM, Executive Meetings - Minutes, agendas, support papers, AAB minutes		Permanent	Permanent Archive	HOCS	Business requirement	Record of decision making and development of the organisation	VC
All staff meetings	Minutes, agendas, support papers	End of financial year	1 year	Destroy	HOCS	Business requirement		VC
Operational Management Team meetings (OMTM)	Minutes, agendas, support papers	End of financial year	1 year	Destroy	HOCS	Business requirement	Record of decision making and development of functional activities	VC
Meeting working papers	draft versions of meeting papers, minutes etc..	Approval of meeting minutes	None	Destroy	HOCS	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>01.04 – Projects (with further sub levels arranged by Operational Year)</b>								
Project file	PID Lessons Learned Report Project Closure Report	Project close	10 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Final outputs	Project close	As per appropriate activity retention	Move to appropriate location	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Drafts, working papers e.g. Project minutes Issues Logs Status Reports Related correspondence For records relating to the procurement of services in relation to projects see Retention Schedule 04 - Finance	Project close	2 years	Review for KM value	HOCS HOPI or HOE as appropriate	Business requirement	Retain documents with re-use value e.g. master questionnaire, survey, presentation; topic guides,	VC
Project register			Permanent	Permanent Archive	HOCS	Business requirement	At end of each year convert last saved versions to PDF and retain permanently	VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>01.05 – Quality and Performance Management</b>								
Strategic performance monitoring	Data on, and analyses of SIC's performance against the strategic plan	When plan superseded	2 years	Review for KM value	HOCS	Business requirement		VC
	Supporting and preparatory documentation	Approval of review report	1 year	Destroy	HOCS	Business requirement		VC
Operational performance monitoring	Data on, and analyses of SIC's performance against operational plans - quarterly review Quality Assurance records	When plan superseded	2 years	Review for KM value	HOCS	Business requirement		VC
<b>01.06 – Risk Management</b>								
<b>Business Continuity</b>								
Business continuity planning	Business continuity plan	When superseded	Per RKD	Destroy	HOCS	Business requirement	Copies held off-site by BCP First Response Team	VC
	Records documenting the formulation, testing and maintenance of disaster and recovery plans	When superseded	3 years	Destroy	HOCS	Business requirement		VC
Business continuity reports on exercises and incidents	Records documenting responses and experiences from business continuity exercises and incidents	End of exercise/ incident	3 years	Review for KM value	HOCS	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>Health and Safety</b>								
Accidents/Incidents	Accident books Incident report records	End of current year after date of entry	3 years	Destroy	HOCS	Statutory	Legislation <sup>5</sup>	VC
Health and Safety Audits	Safety inspection reports Internal Audit reports Action taken to address issues raised	End of financial year	5 years	Destroy	HOCS	Business requirement	General Practice	VC
Hazardous substances	COSHH assessments and recommended actions	End of financial year	40 years	Destroy	HOCS	Statutory	Legislation <sup>6</sup>	VC
Health and Safety Risk Assessments	Including fire, DSE and Manual Handling risk assessments	Superseded by next assessment or after activity ceases	5 years	Destroy	HOCS	Business requirement	Legislation <sup>7</sup>	VC
Using own vehicle on SIC business	Annual declaration	Superseded annually	Current	Destroy	HOCS	Business requirement		VC
	If an incident occurs, the information should be retained for 5 years, after which a claim cannot be made	Date of incident	5 years	Destroy	HOCS	Business requirement		VC

<sup>5</sup> Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 SI 2013 No 1471 Regulation 12(2)  
Prescription and Limitation (Scotland) Act 1973

<sup>6</sup> The Control of Substances Hazardous to Health Regulations 2002

<sup>7</sup> Management of Health and Safety at Work Regulations 1992

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Fire Safety Training	Proof of suitable training. Attach to HR - Administration record for individual staff	End of current year	10 years	Destroy	HOCS	Statutory	Legislation <sup>8</sup>	VC
<b>Organisation Risk Assessment</b>								
Risk Register	Risk register incl. heat-map and summary of changes made	End of financial year	3 years	Destroy	HOCS	Business requirement		VC
	Quarterly report to QSMTM	End of financial year	3 years	Destroy	HOCS	Business requirement		VC
<b>01.07 – Strategy and Planning</b>								
Strategic planning	OSIC Strategic Plan	When superseded	Permanent	Permanent Archive	HOCS	Business requirement	Possible transfer to NAS	VC
	Drafts, working papers and related correspondence	Publication of plan	2 years	Destroy	HOCS	Business requirement		VC
Business and Operational Plans	Final version	When superseded	Permanent	Permanent Archive	HOCS	Business requirement	Possible transfer to NAS	VC
	Drafts, working papers and related correspondence	Date of final approval	2 years	Review for KM value	HOCS	Business requirement		VC
Work planning records		End of year	1 year	Destroy		Business requirement		VC

<sup>8</sup> Fire Safety (Scotland) Regulations 2006. SSI 2006 No456 Regulation 20



## 02 – Enforcement

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>02.01 – Compliance</b>								
<b>Assessment</b>								
Assessment case file	Electronic assessment case file	Case closure	5 years	Archived	DHOE	Business Requirement	Enforcement Procedures	Workpro
	Electronic records e.g. Question forms Analysis of Requests	Case closure	5 years	Destroy	DHOE	Business Requirement	Enforcement Procedures	VC P:drive
	Paper assessment case files e.g. paper copies of key documents	Case closure	3 months	Destroy	FOIO	Business Requirement	Enforcement Procedures	Held securely
Assessment Report and Action Plan	Draft including all previous versions	When final report issued	None	Destroy	DHOE	Business Requirement	Enforcement Procedures	VC
	Final version	Issue of Final report	Permanent	Permanent Archive	DHOE	Business Requirement	Enforcement Procedures	VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>Intervention</b>								
Intervention case file	Electronic intervention case file	Case closure	5 years	Archived	HOPI	Business Requirement	Intervention Procedures	Workpro
Research and planning papers	Planning & discussion papers Research Action Plan	Case Closure	5 years	Archived	HOPI	Business Requirement	Intervention Procedures	Workpro
Practice Recommendation	Draft including all previous versions	Case closure	None	Destroy	DHOE	Business Requirement	Enforcement Procedures	VC
	Final version	Issue of Practice Recommendation	Permanent	Permanent Archive	DHOE	Business Requirement	Enforcement Procedures	VC
<b>Enforcement Notice</b>								
Enforcement Notice	Draft including all previous versions	Case closure	None	Destroy	DHOE	Business Requirement	Enforcement Procedures	VC
	Final version	Issue of Enforcement Notice	Permanent	Permanent Archive	DHOE		Enforcement Procedures	VC
<b>02.02 – Investigations</b>								
Enquiries	Enquiry received either by email or paper copy, response to enquiry	Case closure	2 years	Destroy	HOE	Business Requirement	Investigation Procedures	Workpro

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Investigation Case File	Electronic case file e.g. Application Full set of evidence Correspondence Case notes Withheld information Appeals information Legal advice specific to case	Case closure (whether that is at validation, investigation, settlement, decision notice or appeal)	5 years	Destroy	DHOE	Business Requirement	Investigation Procedures	Workpro
	Paper Case file e.g. Paper copies of key documents and full set of evidence	Case closure (whether that is at validation, investigation, settlement, decision notice or appeal)	3 months	Destroy	FOIO/VO	Business Requirement	Investigation Procedures	Held securely
	Withheld information - electronic copy contained in case file	Case closure (whether that is at validation, investigation, settlement, decision notice or appeal)	3 months	Review for KM value	DHOE	Business Requirement	Investigation Procedures	Workpro
	Withheld information – paper copy	Case closure (whether that is at validation, investigation, settlement, decision notice or appeal)	3 months	Destroy	DHOE	Business Requirement	Investigation Procedures	Held securely

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Decision Notice	Draft including all previous versions	Issue of Decision	None	Delete from system.	DHOE	Business Requirement	Investigation Procedures	VC
	Final version (if anonymised keep final version of anonymised and non-anonymised)	Issue of Decision	Permanent	Permanent Archive	DHOE	Business Requirement	Investigation Procedures	VC
Investigations for law enforcement purposes	Electronic case file e.g. Allegation Correspondence with Police Scotland/COPFS Legal advice specific to case	Case closure (whether that is when decision made not to refer to Police, when notified no further action being taken or following prosecution)	5 years	Delete from system	HOE	Business Requirement	Privacy notice: investigations for law enforcement purposes	Workpro/VC
	Paper Case file e.g. Allegation Correspondence with Police Scotland/COPFS Legal advice specific to case	Case closure (whether that is at validation, investigation, settlement, decision notice or appeal)	None	Destroy	HOE	Business Requirement	Privacy notice: investigations for law enforcement purposes	Held securely
Public Authorities Status Research	Papers, correspondence, research	Date of last correspondence/action	2 years	Destroy	DHOE	Business Requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>02.03 – Management of Function</b>								
<b>Meetings</b>								
Team meetings	Agenda Minutes Notification of meetings Related papers e.g. Court of Session Update, 4+ month report	End of financial year	1 year	Destroy	HOCS HOPI or HOE as appropriate	Business requirement	Record of decision making and development of functional activities	VC
<b>Key Documents (incl. Policies Procedures and Guidance)</b>								
Key Documents - Category A	As defined in Register of Key Documents		Permanent	Permanent Archive	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents - Category B	As defined in Register of Key Documents	When superseded or obsolete	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents – Draft	e.g. Document created to draft a new policy or existing document undergoing a major review (Refer to Key Document Handbook for guidance)	Draft approved	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Legal Advice (Guidance)	Legal Advice		Permanent	Permanent Archive	HOCS HOPI or HOE as appropriate	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>Quality and Performance Management</b>								
Process of monitoring or reviewing the quality, efficiency, or performance of SIC and its services - key records.	Investigations Performance Dashboard (Full Year)	Approval of report	Permanent	Permanent Archive	HOE	Business requirement		VC
	Individual and team performance reports	Approval of report	5 years	Destroy	HOE	Business requirement		VC
	Workpro reports/workbooks – used for preparation of individual/team or dashboard reports or to accompany dashboard	Approval of report	2 years	Destroy	HOE	Business requirement		VC
	Workpro reports/workbooks – used for preparation of Annual Report	Approval of report	2 years	Destroy	HOE	Business requirement		VC
	Ad hoc Workpro reports/workbooks and other reports	Approval of report	2 years	Destroy	HOE	Business requirement		VC
Quality Assurance	Monitoring/Summary reports	Approval of report	Permanent	Permanent Archive	HOE	Business requirement		VC
	Individual staff quality assurance forms	Saved in staff folders – see Retention Schedule 05.03						VC
<b>Standard templates and forms</b>								
Standard templates and forms		When superseded or obsolete	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC Workpro
<b>Strategy and planning</b>								

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Function / Work planning records		End of year	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

### 03 – Facilities Management

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>03.01 – Development, maintenance and repair</b>								
Maintenance and repair records  (Health and Safety records should be filed in 01 – Corporate Management & Governance)  (Contracts and contract management records should be filed in 04 – Finance)	Key Records e.g. Maintenance schedules Operational manuals Installation certificates (with/without expiry date)	Termination of contract	5 years	Destroy	HOCS	Business requirement	Legislation <sup>9</sup>	VC
	Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises & Records documenting the monitoring of the condition of asbestos in premises (Asbestos Register), and of maintaining or removing it.	Date of assessment or Removal of asbestos or subsequent inspection	10 years	Destroy	HOCS	Statutory	Legislation <sup>10</sup>	VC
	Minor working papers e.g. Records of a day-to-day nature e.g. monthly building inspection reports	When no longer active or superseded	2 years	Destroy	HOCS	Business requirement		VC

<sup>9</sup> Prescription and Limitation (Scotland) Act 1973

<sup>10</sup> Control of Asbestos at Work Regulations 2012, SI 2012 No 632 Regulation 4 (7)



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Records relating to office re-organisation		When superseded or obsolete	1 year	Destroy	HOCS	Business requirement		VC
Records relating to development of the property	Planning applications Building Warrants	Termination of lease	None	Pass to new lessee	HOCS	Statutory		VC
Records documenting negotiations for lease of property	Correspondence with Landlord, agents and SPCB	Closure of negotiation	5 years	Review for KM value	HOCS	Statutory	Legislation <sup>11</sup>	VC
Security	e.g. File under 01 – Corporate Management and Governance if risk related e.g. File under 03 – Facilities Management if general maintenance and repair of facilities							
Contractual documents	e.g. relating to lease or contracts with suppliers of property maintenance service. File under 04 – Finance/Procurement/Contracts							
<b>03.02 – Management of Function</b>								
<b>Meetings</b>								
Team meetings	Agenda Minutes Notification of meetings Related papers	End of financial year	1 year	Destroy	HOCS HOPI or HOE as appropriate	Business requirement	Record of decision making and development of functional activities	VC
<b>Key Documents (incl. Policies Procedures and Guidance)</b>								
Key Documents - Category A	As defined in Register of Key Documents		Permanent	Permanent Archive	HOCS HOPI or HOE as appropriate	Business requirement		VC

<sup>11</sup> Prescription and Limitation (Scotland) Act 1973

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Key Documents - Category B	As defined in Register of Key Documents	When superseded or obsolete	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents – Draft	e.g. Document created to draft a new policy or existing document undergoing a major review (Refer to Key Document Handbook for guidance)	Draft approved	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Quality and Performance Management</b>								
Process of monitoring or reviewing the quality, efficiency, or performance of SIC and its services - key records.	Dashboard Quarterly Operational Plan Report	Approval of review report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Supporting and preparatory documentation	Approval of review report	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Internal Audit Reports & Inspections	Internal audit reports and external inspections received in relation to corporate performance - Resulting Inspection report	Date of inspection report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Date of return	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>Standard templates and forms</b>								
Standard templates and forms		When superseded or obsolete	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Strategy and planning</b>								
Function / Work planning records		End of year	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

## 04 – Finance

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>04.01 – Annual Accounts</b>								
Annual accounts	Audited signed accounts		Permanent	Permanent Archive	HOCS	Statutory	Legislation <sup>12</sup>	VC
	Records documenting the preparation of SIC's annual accounts	Completion of Audit	6 years	Destroy	HOCS	Statutory	Legislation <sup>13</sup>	VC Sage
External Audit	Final Report	Completion of Audit	6 years	Destroy	HOCS	Business requirement		VC
External Audit	Interim Reports, Correspondence	Completion of Audit	6 years	Destroy	HOCS	Business requirement		VC
<b>04.02 – Asset Management</b>								
Asset management	Records documenting the value of SIC's capital assets e.g. Fixed Asset register	End of financial year (completion of audit)	6 years	Destroy	HOCS	Statutory	Legislation <sup>14</sup>	VC
	Records documenting decisions (and authorisations) to dispose of capital assets e.g. Fixed asset disposal	End of financial year (of disposal)	6 years	Destroy	HOCS	Statutory		VC

<sup>12</sup> Companies Acts 1985/1989

<sup>13</sup> Taxes Management Act 1970

<sup>14</sup> Prescription and Limitation (Scotland) Acts 1973 and 1984

Value Added Tax Act 1994

Audit Commission Act 1998

Taxes Management Act 1970

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>04.03 – Budget and Accounts Management</b>								
Annual budget	Setting annual budget e.g.  Annual budget report Draft budgets Estimates	End of financial year	6 years	Destroy	HOCS	Business requirement		VC
Budget monitoring	Monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances e.g.  Budget Monitoring Reports Financial Reports	End of financial year	6 years	Destroy	HOCS	Business requirement		VC Sage
Bank accounts	Records documenting the opening, closure and routine administration of bank accounts	Closure of account	6 years	Destroy	HOCS	Business requirement		VC Sage
	Records documenting standing orders, direct debits etc.	Life of instruction	6 years	Destroy	HOCS	Business requirement		VC
Purchase Ledger	Internal purchase order, delivery notes	End of financial year	6 years	Destroy	HOCS	Business requirement		Sage Paper
	Invoices, credit notes	End of financial year (completion of audit)	6 years	Destroy	HOCS	Statutory	Legislation <sup>15</sup>	VC Sage Paper
	Records documenting the receipt and payment of purchase invoices	End of financial year (completion of audit)	6 years	Destroy	HOCS	Statutory	Legislation <sup>16</sup>	Sage Paper

<sup>15</sup> Taxes Management Act 1970

<sup>16</sup> Taxes Management Act 1970; HMRC 700/21

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
	Supplier account statements	End of financial year (completion of audit)	1 year	Destroy	HOCS	Business requirement		Paper
<b>04.04 – Insurance</b>								
Policy documents and related correspondence		Termination	5 years	Destroy	HOCS	Statutory	Legislation <sup>17</sup>	VC/Paper
Employers Liability Insurance Certificates		Expiry	40 years	Destroy	HOCS	Statutory	Legislation <sup>18</sup>	VC/Paper
<b>04.05 – Management of the Function</b>								
Meetings								
Team meetings	Agenda Minutes Notification of meetings Related papers	End of financial year	1 year	Destroy	HOCS HOPI or HOE as appropriate	Business requirement	Record of decision making and development of functional activities	VC
<b>Key Documents (incl. Policies Procedures and Guidance)</b>								
Key Documents - Category A	As defined in Register of Key Documents		Permanent	Permanent Archive	HOCS HOPI or HOE as appropriate	Business requirement		VC

<sup>17</sup> Prescription and Limitation (Scotland) Acts 1973 and 1984;

<sup>18</sup> The Employers Liability (Compulsory Insurance) Regulations 1998

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Key Documents - Category B	As defined in Register of Key Documents	When superseded or obsolete	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents – Draft	e.g. Document created to draft a new policy or existing document undergoing a major review  (Refer to Key Document Handbook for guidance)	Draft approved	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Quality and Performance Management</b>								
Process of monitoring or reviewing the quality, efficiency, or performance of SIC and its services - key records.	Dashboard Quarterly Operational Plan Report	Approval of review report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Supporting and preparatory documentation	Approval of review report	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Internal Audit Reports & Inspections	Internal audit reports and external inspections received in relation to corporate performance - Resulting Inspection report	Date of inspection report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Date of return	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>Standard templates and forms</b>								
Standard templates and forms		When superseded or obsolete	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Strategy and planning</b>								
Function / Work planning records		End of year	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>04.06 – Payroll and Pensions</b>								
Pension	Reports	End of financial year (completion of audit)	6 years	Destroy	HOCS	Statutory	Legislation <sup>19</sup>	VC Paper
Payroll	Reports	End of financial year (completion of audit)	6 years	Destroy	HOCS	Statutory	Legislation <sup>20</sup>	Paper
Salaries	Cumulative listings	End of financial year (completion of audit)	6 years	Destroy	HOCS	Statutory		Paper

<sup>19</sup> Taxes Management Act 1970  
Income and Corporation Taxes Act 1988

<sup>20</sup> Income Tax (Employments) Regulations 1993 / 744  
National Minimum Wage Regulations 1999 S.I. 1999 / 584  
Taxes Management Act 1970  
Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
P60		End of financial year (completion of audit)	3 years	Destroy	HOCS	Statutory		
P45	Received from new starts	End of financial year (on completion of audit)	6 years	Destroy	HOCS	Statutory	Legislation <sup>21</sup>	Paper (in personal folder)
Expenses	Expenses Claim Forms	End of financial year (completion of audit)	6 years	Destroy	HOCS	Statutory	Legislation <sup>22</sup>	VC Paper
	Expenses notifications forms (to payroll provider)	End of financial year (completion of audit)	6 years	Destroy	HOCS	Statutory		VC
Statutory Sick Pay	Scheme records	End of financial year (completion of audit)	3 years	Destroy	HOCS	Statutory	Legislation <sup>23</sup>	VC Paper
Statutory Maternity Pay	Scheme records	End of financial year (completion of audit)	3 years	Destroy	HOCS	Statutory	Legislation <sup>24</sup>	VC Paper

<sup>21</sup> Taxes Management Act 1970

<sup>22</sup> Taxes Management Act 1970 c.9

Keeping VAT records HMRC Reference: Notice 700/21 (October 2013)

<sup>23</sup> Statutory Sick Pay (General) Regulations 1982/894

<sup>24</sup> Statutory Maternity Pay (General) Regulations 1986/1960

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>04.07 – Procurement</b>								
<b>Contract Management</b>								
Contract management  (either resulting from non-tendered or tendered procurement)	Key Records e.g.  Contract Award letter Final signed contract Contract extensions Contract amendments Reports from contractors Surveys and inspections Complaints Payment disputes Minutes and papers of meetings	After contract expires	5 years	Destroy/review	HOCS	Statutory	Legislation <sup>25</sup>	VC
	Minor Working Papers  e.g. records of a day-to-day nature	When no longer active or superseded	2 years	Destroy	HOCS	Business requirement		VC
	Waste Transfer Notes  e.g. received from Fife Council or Shred-it for the uplift of waste	Expiry	2 years	Destroy	HOCS	Statutory	Legislation <sup>26</sup>	VC Paper
<b>Non-Tendered Procurement</b>								
Initial proposal	Business case/requisition	End of contract	5 years	Destroy	HOCS	Statutory	Legislation <sup>27</sup>	VC
Invitation to prospective suppliers to apply for contract		Award of contract	1 year	Destroy	HOCS	Business requirement		VC

<sup>25</sup> Prescription and Limitation (Scotland) Act 1973.(These may be used for reference when preparing future related tenders)

<sup>26</sup> Environmental Protection (Duty of Care) Regulations 1991 (s34 Duty of Care)

<sup>27</sup> Prescription and Limitation (Scotland) Act 1973

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Approved supplier evaluation criteria records	Evaluation Form Master	Superseded	5 years	Destroy	HOCS	Statutory	Legislation <sup>28</sup>	VC
Quotes and related correspondence	Evaluations of application from prospective suppliers: Successful	End of contract	5 years	Destroy	HOCS	Statutory	Legislation <sup>29</sup>	VC Paper
Quotes and related correspondence	Evaluations of application from prospective suppliers & notification of the outcome: Unsuccessful	Award of contract	1 year	Destroy	HOCS	Business requirement		VC Paper
<b>Tendered Procurement</b>								
Initial proposal	e.g. Business case Requisition Contract advertisement Statements of interest Pre-qualification questionnaire (PQQ) Draft and agreed specification Evaluation criteria	End of contract	5 years	Destroy	HOCS	Statutory	Legislation <sup>30</sup>	VC Paper
Tenders  (It is important that a record of all contracts and related transactions is kept. The files must contain a complete and accurate record of all internal and external	Issue of invitations to tender Tender receipt records Tender opening record	Award of contract	1 year	Destroy	HOCS	Business requirement		VC/Paper
	<u>Unsuccessful</u> e.g.  Statements of Interest Tender responses Notification records	Award of contract	1 year	Destroy	HOCS	Business requirement		VC/Paper

<sup>28</sup> Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45

<sup>29</sup> Prescription and Limitation (Scotland) Act 1973

<sup>30</sup> Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45; Records required by S.I 1991/2680; S.I 1993/3228; S.I 1995/201; SI 2003/46

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
documentation so that the stages and reasoning of the transactions are apparent)	Tender evaluation form Scoring sheet							
	<u>Successful</u> e.g.  Statement of Interest Tender responses Notification records Tender evaluation form Scoring sheet Award of contract correspondence  The final signed contract is subject to the retention guidance as detailed above at 04.07 - Procurement/Contract Management	End of contract	5 years	Destroy	HOCS	Statutory	Legislation <sup>31</sup>	VC/Paper

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<sup>31</sup> Prescription and Limitation (Scotland) Act 1973.

## 05 – Human Resources

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>05.01 – HR Administration</b>								
Employee personal details  (Retain current information throughout employment)	Address, next of kin, emergency contacts	Termination of employment	6 years	Destroy	HOCS	Statutory	Legislation <sup>32</sup>	VC SP Paper
Leave	Holiday chart – all staff	End of holiday year	1 year	Destroy	HOCS	Business Requirement		VC SP
Security Vetting	Summary of results – all staff	Superseded		Destroy prior document versions	HOCS	Statutory	Legislation <sup>33</sup>	VC
Job Descriptions		Superseded	5 years	Destroy	HOCS	Statutory	Legislation <sup>34</sup>	VC
Reporting	Feedback Statistics  Quality & Performance Management	Date after action completed	5 years	Destroy	HOCS	Business Requirement		VC

<sup>32</sup> Prescription and Limitation (Scotland) Act 1973, s 6

<sup>33</sup> Data Protection Act 1998

<sup>34</sup> Prescription and Limitation (Scotland) Act 1973 s 6

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Individual training records - statutory/regulatory	Quality & Performance Management - Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification  OR Superseded	5 years	Destroy	HOCS	Statutory	Legislation <sup>35</sup>	VC
Training course files – course administration	If general or value to colleagues as reference material	Date training completed	2 years	Destroy	HOCS	Business Requirement		ACT
<b>05.02 – Management of the Function</b>								
<b>Meetings</b>								
Team meetings	Agenda Minutes Notification of meetings Related papers	End of financial year	1 year	Destroy	HOCS HOPI or HOE as appropriate	Business requirement	Record of decision making and development of functional activities	VC
<b>Key Documents (incl. Policies Procedures and Guidance)</b>								
Key Documents - Category A	As defined in Register of Key Documents		Permanent	Permanent Archive	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents - Category B	As defined in Register of Key Documents	When superseded or obsolete	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

<sup>35</sup> Prescription and Limitation (Scotland) Act 1973 s 6

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Key Documents – Draft	e.g. Document created to draft a new policy or existing document undergoing a major review  (Refer to Key Document Handbook for guidance)	Draft approved	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Quality and Performance Management</b>								
Process of monitoring or reviewing the quality, efficiency, or performance of SIC and its services - key records.	Dashboard Quarterly Operational Plan Report	Approval of review report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Supporting and preparatory documentation	Approval of review report	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Internal Audit Reports & Inspections	Internal audit reports and external inspections received in relation to corporate performance - Resulting Inspection report	Date of inspection report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Date of return	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Standard templates and forms</b>								
Standard templates and forms		When superseded or obsolete	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>Strategy and planning</b>								
Function / Work planning records		End of year	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>05.03 – Staff Administration (Name in VC:- HR – Staff Member Admin)</b>								
Contract of employment	Terms and conditions of employment, offer letter	Termination of employment	5 years	Destroy	HOCS	Statutory	Legislation <sup>36</sup>	VC
Changes to terms and conditions of employment	Including changes in terms and conditions throughout the course of employment	Termination of employment	5 years	Destroy	HOCS	Statutory	Legislation <sup>37</sup>	VC
Leave (Retain current information throughout employment)	Requests for leave	End of holiday year	1 year	Destroy	Member of staff	Business Requirement		VC/SP
Statutory Maternity/Paternity leave	Records documenting the employee's entitlement	Completion of entitlement	6 years	Destroy	HOCS	Statutory	Legislation <sup>38</sup>	VC

<sup>36</sup> Prescription and Limitation (Scotland) Act 1973 s 6

<sup>37</sup> Prescription and Limitation (Scotland) Act 1973 s 6

<sup>38</sup> Maternity and Parental Leave etc. Regulations 1999/3312



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Sickness	Records documenting the employee's absence due to sickness.	Termination of employment	40 years	Destroy	HOCS	Statutory	Legislation <sup>39</sup>	VC/SP
Termination	Termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal. – Administration (See also 05.04)	Termination of employment	5 years	Destroy	HOCS	Statutory	Legislation <sup>40</sup>	VC
Recruitment – successful candidates	Records should form part of the employee's staff file  (See also 05.06)	Termination of employment	5 years	Destroy	HOCS	Statutory	Legislation <sup>41</sup>	VC
Employee induction programme records		Completion of induction	1 year	Review for KM value	HOCS	Business Requirement		
<b>05.04 – Staff Personal (Name in VC:- HR – Staff Member Personal)</b>								
Disciplinary Proceedings – action taken	Records documenting disciplinary proceedings against the employee, where action taken e.g.  Correspondence Investigation records	Case closure	5 years	Destroy	HOCS	Statutory	Legislation <sup>42</sup>	VC

<sup>39</sup> Inland Revenue CA30

<sup>40</sup> Prescription and Limitation (Scotland) Act 1973 s 6

<sup>41</sup> Prescription and Limitation (Scotland) Act 1973 s 6

<sup>42</sup> Prescription and Limitation (Scotland) Act 1973

Data Protection Act 1998

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Disciplinary Proceedings – No action taken	Records documenting disciplinary proceedings against the employee, where case proven to be unfounded e.g.  Correspondence Investigation records	Case closure	None	Destroy	HOCS	Statutory	Legislation <sup>43</sup>	VC
Application for employment	Records documenting the employee's initial application for employment with SIC	Termination of employment	5 years	Destroy	HOCS	Statutory	Legislation <sup>44</sup>	Paper
Medical assessments	Staff file	Termination of employment	5 years	Destroy	HOCS	Statutory	Legislation <sup>45</sup>	VC
References	Received during recruitment process	Termination of employment	5 years	Destroy	HOCS	Statutory	Legislation <sup>46</sup>	VC/Paper
References	Provided by SIC	Date of provision	1 year	Destroy	HOCS	Business Requirement		VC
Security Vetting - individual records	Application form and results letter	Superseded / Termination of Employment	None	Destroy	HOCS	Statutory	Legislation <sup>47</sup>	Paper  (Held by HOCS)

<sup>43</sup> Data Protection Act 1998

<sup>44</sup> Prescription and Limitation (Scotland) Act 1973 s 6 - except information which is not relevant to the ongoing employee relationship

<sup>45</sup> Prescription and Limitation (Scotland) Act 1973 s 6

<sup>46</sup> Prescription and Limitation (Scotland) Act 1973 s 6 - except information which is not relevant to the ongoing employee relationship

<sup>47</sup> Data Protection Act 1998

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Staff Performance Management Records	PMS Worksheet, 1:1 forms,	Superseded	3 years	Destroy	HOCS	Business Requirement		VC
Termination.	Termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal e.g. Exit Interview Personal correspondence  (See also 05.03)	Termination of employment	5 years	Destroy	HOCS	Statutory	Legislation <sup>48</sup>	VC
Individual training records - non-statutory/regulatory	Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of action	5 years	Destroy	HOCS	Business Requirement		VC
Training course files – course materials	If of personal benefit/relevance only	Date training superseded	2 years	Review for KM value	HOCS	Business Requirement		VC
<b>05.05 – Recruitment</b>								
Preparation for Recruitment	Advertisements and associated correspondence	Date superseded	6 months	Review for KM value	HOCS	Business Requirement		VC
Recruitment process	Templates documents e.g. application form evaluation form, interview questions etc.	Superseded	Destroy	Review for KM value	HOCS	Business requirement		VC

<sup>48</sup> Prescription and Limitation (Scotland) Act 1973 s 6

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Recruitment – unsuccessful applicants and candidates	Applications forms, Application tracking spreadsheet, correspondence, evaluations, interview questions/tasks, timetables	Appointment	6 months	Destroy	HOCS	Statutory	Legislation <sup>49</sup>	VC/Paper
Recruitment – successful candidates	Records for the successful candidate should be transferred to the staff members HR – Personal file (see 05.04) and managed in accordance with the retention for that section							
<b>05.06 – Training</b>								
Individual training records - statutory/regulatory	Records documenting job-specific statutory /regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification  OR Superseded	5 years	Destroy	HOCS	Statutory	Legislation <sup>50</sup>	VC
Individual training records – proof of completion	Staff file	Date course/or superseded	5 years	Destroy	HOCS	Business Requirement		VC
Training course files – course materials		Date training/or superseded	2 years	Review for KM value	HOCS	Business Requirement		VC

<sup>49</sup> Data Protection Act 1998  
Employment Equality (Age) Regulations 2006/1031 Regulations 7, 36 and 42  
Employment Equality (Religion or Belief) Regulations 2003/1660 Regulations 6, 28 and 34  
Employment Equality (Sexual Orientation) Regulations 2003/1661, Regulations 6, 28 and 34

<sup>50</sup> Prescription and Limitation (Scotland) Act 1973 s6

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Corporate training plan	Learning and Development Plan	End business year	5 years	Destroy	HOCS	Business Requirement		VC

## 06 – Information Management

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>06.01 – Access to information (Information Requests etc.)</b>								
Data protection	Subject Access Requests (and responses) – Electronic case file	From date of response to request	3 years	Destroy	HOCS	Statutory	Legislation <sup>51</sup>	Workpro
	Subject Access Requests (and responses) – Paper case file		6 months	Destroy	HOCS	Business requirement		Paper case file
	Compliance Files re. DP audit, general compliance, data breaches, security, training etc.	End of current year	3 years	Destroy	HOCS	Business requirement		VC
	Data protection - Notification and changes	Year of notification	3 years	Destroy	HOCS	Statutory	Legislation <sup>52</sup>	VC
FOISA and EIR requests and/or request for review	Response to request or request for review	End of current year	3 years	Destroy	HOE	Business requirement		Workpro
		From date of response to a request the requester has 40 working days to request a review		Destroy (if no RFR made)	HOE	Statutory		Paper case file
		From date of response to a review the requester has 6 months to request a judicial review		Destroy	HOE	Statutory		Paper case file

<sup>51</sup> Data Protection Act 1998 s.7

<sup>52</sup> Data Protection Act 1998 s.20

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Intervention case file	Electronic intervention case file	Case closure	5 years	Archived	HOPI	Business Requirement	Intervention Procedures	Workpro
FOISA OSCI Publication Scheme		When superseded	3 years	Destroy	HOPI	Business Requirement	Consider historical value	VC
<b>Meetings</b>								
Team meetings	Agenda Minutes Notification of meetings Related papers	End of financial year	1 year	Destroy	HOCS HOPI or HOE as appropriate	Business requirement	Record of decision making and development of functional activities	VC
<b>Key Documents (incl. Policies Procedures and Guidance)</b>								
Key Documents - Category A	As defined in Register of Key Documents		Permanent	Permanent Archive	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents - Category B	As defined in Register of Key Documents	When superseded or obsolete	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents – Draft	e.g. Document created to draft a new policy or existing document undergoing a major review (Refer to Key Document Handbook for guidance)	Draft approved	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>Quality and Performance Management</b>								
Process of monitoring or reviewing the quality, efficiency, or performance of SIC and its services - key records.	Dashboard Quarterly Operational Plan Report	Approval of review report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Supporting and preparatory documentation	Approval of review report	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Internal Audit Reports & Inspections	Internal audit reports and external inspections received in relation to corporate performance - Resulting Inspection report	Date of inspection report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Date of return	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Standard templates and forms</b>								
Standard templates and forms		When superseded or obsolete	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Strategy and planning</b>								
Function / Work planning records		End of year	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Record surveys and audits – key records	Report	Report approval	5 years	Destroy	HOCS	Business requirement		VC
Records surveys and audits – working papers		Report approval	1 year	Destroy	HOCS	Business requirement		VC
File Plan		Until superseded	2 years	Review for KM value	HOCS	Business requirement		VC
Retention Schedules		Until superseded	2 years	Destroy	HOCS	Business requirement	Retain in line with currency of the series	VC
Destruction register	Lists of records destroyed		Permanent	Permanent Archive	HOCS	Business requirement		VC
Disposal certificates			Permanent	Permanent Archive	HOCS	Business requirement		VC

## 07 – Information Technology

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>07.01 – Management of the Function</b>								
Meetings								
Team meetings	Agenda Minutes Notification of meetings Related papers	End of financial year	1 year	Destroy	HOCS HOPI or HOE as appropriate	Business requirement	Record of decision making and development of functional activities	VC
<b>Key Documents (incl. Policies Procedures and Guidance)</b>								
Key Documents - Category A	As defined in Register of Key Documents		Permanent	Permanent Archive	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents - Category B	As defined in Register of Key Documents	When superseded or obsolete	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents – Draft	e.g. Document created to draft a new policy or existing document undergoing a major review  (Refer to Key Document Handbook for guidance)	Draft approved	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>Quality and Performance Management</b>								
Process of monitoring or reviewing the quality, efficiency, or performance of SIC and its services - key records.	Dashboard Quarterly Operational Plan Report	Approval of review report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Supporting and preparatory documentation	Approval of review report	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Internal Audit Reports & Inspections	Internal audit reports and external inspections received in relation to corporate performance - Resulting Inspection report	Date of inspection report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Date of return	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Standard templates and forms</b>								
Standard templates and forms		When superseded or obsolete	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/NOTES	LOCATION
<b>Strategy and planning</b>								
Function / Work planning records		End of year	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>07.02 – Systems Management</b>								
Implementation and Maintenance	Correspondence/information relating to installation, maintenance and configuration of software and hardware - significant records e.g.  Emails regarding installation of software, change in setup etc.	Decommission of system	5 years	Destroy	HOCS	Business requirement		VC
	Worksheet from system support provider following 2 monthly system health checks	End of current year	2 years	Destroy	HOCS	Business requirement		VC
	Annual report from system support provider		Permanent	Non	HOCS	Business Requirement		VC
	Email correspondence with companies, working papers, correspondence of a day-to-day nature e.g. system support provider regarding day to day maintenance or problems e.g. backup not run	End of current year	1 year	Destroy	HOCS	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Disposal (Emails and certificates relating to safe disposal of IT equipment)	Scanned copies of certificate of destruction (use subject IT Security)		Permanent (see 06.03)	Permanent Archive	HOCS	Business requirement		VC
	Email correspondence to arrange destruction of equipment etc	End of current year	1 year	Destroy	HOCS	Business requirement		VC
	Paper copy of certificates of destruction	End of current year	None	Destroy	HOCS	Business requirement		Paper
Licences & Agreements	Email communication regarding renewal, cancel etc of licences and agreements e.g. Domain Name renewals, software licences	End of current year	1 year	Destroy	HOCS	Business requirement		VC
	Scanned copy of:-  Registration Certificates Licence Agreements Service Agreements Support Agreements Software Maintenance Agreements  Where contract related, contract or agreement is scanned into VC – Finance/Procurement	End of contract or when superseded	5 years	Destroy	HOCS	Statutory	Legislation <sup>53</sup>	VC
	Paper copy of above	End of current year	1 year	Destroy	HOCS	Business requirement		Paper

<sup>53</sup> Prescription and Limitation (Scotland) Act, 1973 and 1984

## 08 – Policy and Communication

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>08.01 – Complaints</b>								
Electronic Complaints case files	Correspondence, case notes	Case closure	2 years	Delete from system	HOCS	Business Requirement		Workpro
<b>08.02 – Events and Campaign Management</b>								
Event or campaign file	Final outputs - presentations, leaflets, programmes	Conclusion of campaign/ event	2 years	Review for KM value	HOPI	Business Requirement		VC
	Preparatory records, delegate lists	Conclusion of campaign/ event	2 years	Review for KM value	HOPI	Business Requirement		VC
Tendering and Contract Management Records	Should be filed under 04 Finance/Procurement and follow appropriate retention guidance in that section							
<b>08.03 – External Blog</b>								
Retention and disposal to be developed 16/17								
<b>08.04 – External Consultations</b>								
Records of SIC's participation in consultations managed by external organisations		Close of consultation	5 years	Review for KM value	HOPI	Business Requirement		VC
Parliament & Government correspondence	Consultation response Background papers	Last action on communication	5 years	Review for KM value	HOPI	Business Requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<b>08.05 – External Relations</b>								
<b>External Relations with stakeholders including Civil Society and Public Sector</b>								
Presentations by external parties		End of financial year	1 year	Destroy	HOPI	Business Requirement	Not OSIC record	VC
Communications with other agencies involved in implementation of FOI and related legislation	Minute of Agreement, Memorandum of Understanding (MOU)	Superseded	5 years	Review for KM value	HOPI	Business Requirement		VC
	Communication relating to MOUs etc.	Last action on communication	2 years					VC
Communications with other stakeholders		Last action on communication	5 years	Review for KM value	HOPI	Business Requirement		VC
Parliament & Government correspondence	Letters to Ministers Meeting agendas and minutes	Last action on communication	5 years	Review for KM value	HOPI	Business Requirement		VC
Agreements about procedures where responsibilities overlap with other agencies	Protocols with external organisations		Permanent	Permanent Archive	HOPI	Business Requirement		VC
<b>Media Relations</b>								
Media articles		Date of publication	5 years	Review for KM value	HOPI	Business Requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Press Releases		Date of release	5 years	Review for KM value	HOPI	Business Requirement		VC
Media liaison		Year of contact	5 years	Destroy	HOPI	Business Requirement		VC
Records documenting the organisation of a media briefing		Last action on briefing	1 year	Destroy	HOPI	Business Requirement		VC
Transcript of a media briefing		Last action on briefing	5 years	Review for KM value	HOPI	Business Requirement		VC
Records documenting the organisation of media interviews with SIC		Last action on interview	1 year	Destroy	HOPI	Business Requirement		VC
Published version of a media interview		Last action on interview	5 years	Review for KM value	HOPI	Business Requirement		VC
Records documenting the monitoring of media coverage of the SIC - see 08.09		Current year	5 years	Review for KM value	HOPI	Business Requirement		VC
<b>08.06 – Internal Communications</b>								
Internal briefings	Final copy		Permanent	Permanent Archive	HOPI	Business Requirement		VC
	Working documents	Published version of briefing superseded or obsolete	1 year	Destroy	HOPI	Business Requirement		VC



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Internal Presentations		When superseded or obsolete	1 year	Destroy	HOPI, HOCS, HOE	Business Requirement		VC
<b>08.07 – Management of the Function</b>								
<b>Meetings</b>								
Team meetings	Agenda Minutes Notification of meetings Related papers	End of financial year	1 year	Destroy	HOCS HOPI or HOE as appropriate	Business requirement	Record of decision making and development of functional activities	VC
<b>Key Documents (incl. Policies Procedures and Guidance)</b>								
Key Documents - Category A	As defined in Register of Key Documents		Permanent	Permanent Archive	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents - Category B	As defined in Register of Key Documents	When superseded or obsolete	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Key Documents – Draft	e.g. Document created to draft a new policy or existing document undergoing a major review  (Refer to Key Document	Draft approved	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
	Handbook for guidance)							
<b>Quality and Performance Management</b>								
Process of monitoring or reviewing the quality, efficiency, or performance of SIC and its services - key records.	Dashboard Quarterly Operational Plan Report	Approval of review report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Supporting and preparatory documentation	Approval of review report	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
Internal Audit Reports & Inspections	Internal audit reports and external inspections received in relation to corporate performance - Resulting Inspection report	Date of inspection report	5 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Date of return	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Standard templates and forms</b>								

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Standard templates and forms		When superseded or obsolete	None	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>Strategy and planning</b>								
Function / Work planning records		End of year	2 years	Destroy	HOCS HOPI or HOE as appropriate	Business requirement		VC
<b>08.08 – Publication Schemes</b>								
Scottish public authority schemes		Approval of new scheme	None	Destroy	Approval officer	Business Requirement	not OSIC record	Workpro
Correspondence with individual authorities	Includes drafts of schemes, model scheme adoption form, letters of approval of scheme	Approval of new scheme	3 years	Destroy	Approval officer	Business Requirement		Workpro
Letters of approval of individual scheme		Issue of approval letter	3 years	Destroy	HOPI	Business Requirement		Workpro
Model Publication Schemes	Approved Model Publication Scheme		Permanent	Permanent Archive	HOPI	Business Requirement		VC
	Working papers during development	Approval of updated scheme	1 year	Destroy	HOPI	Business Requirement		VC
<b>08.09 – Publications and Guidance</b>								

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Annual report			Permanent	Permanent Archive	HOPI	Business Requirement	Possible transfer to NAS	VC
Briefings and guidance for external audience	Factsheets, leaflets, newsletters, briefings, Decision Round-Up (DRU)		Permanent	Permanent Archive	HOPI	Business Requirement		VC
Annual statistics (no personal data)			Permanent	Permanent Archive	HOPI	Business Requirement	Clear out personal data at end of current year	VC
Website archive	Snapshot of the SIC website.	6 month rolling	Permanent	Permanent Archive	HOPI	Business Requirement	Snapshot does not capture sub domains and is only intended to provide an overview of website structure and content	VC
Wordpress Backup	Snapshot of Wordpress blog site	When superseded	1 year	Destroy	HOPI	Business Requirement		P:drive
SIC and staff presentations and speeches to external parties	Final presentation/speech	End of financial year	Permanent	Review for KM value	HOPI	Business Requirement	Possible transfer to NRS	VC
	Working papers and related correspondence	Date of speech/ presentation	1 year	Destroy	HOPI	Business Requirement		VC

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Corporate identity and branding	Final artwork for corporate identity marks		Permanent	Permanent Archive	HOPI	Business Requirement		VC/P:drive
	Records documenting the development of corporate style guides for official use of corporate identity marks.	When superseded or obsolete	2 years	Review for KM value	HOPI	Business Requirement	Logos - create empty VC document to register where held	VC
Training materials compiled by OSIC for different audiences and public authority sectors	Training packs	When superseded or obsolete	5 years	Review for KM value	HOPI	Business Requirement		VC
<b>08.10 – Research</b>								
<b>Intelligence Monitoring</b>								
Retention to be developed								
<b>Policy Research</b>								
Records of research commissioned by SIC	Final Report; statistical tables, etc..		Permanent	Permanent Archive	HOPI	Business Requirement		VC
	Working documents – desk research, consultation process etc	Year of report publication	1 year	Review for knowledge value & destroy rest	HOPI	Business Requirement		VC
Tendering and Contract Management Records relating to Research Projects commissioned by SIC	Should be filed under 04 Finance/Procurement and follow appropriate retention guidance in that section							

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Research Report commissioned by other organisations	Consultations	Year of report publication	Permanent	Review for KM value	HOPI	Business Requirement	Possible transfer to NRS	VC
Research contact records		Last contact (database entry)	2 years	Destroy	HOPI	Business Requirement		VC
<b>Stakeholder Research</b>								
As for Policy research								
<b>08.11 – Website</b>								
Retention and disposal to be developed 2017/18								

**09 – ACT! Records**

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<p><b>Day to day records of communications between SIC and external agencies and individuals that do not form part of cases managed using Workpro and are of short term informational value only.</b></p>								
ACT! Contacts – marked as inactive 2+ years	Record containing name, address, email etc.	Q4 (January – March) – annually	None	Destroy	HOCS	Business requirement		ACT!
ACT! Contact Activity – older than 2+ years	History, notes or documents attached to a contact	Q4 (January – March) – annually	None	Destroy	HOCS	Business requirement		ACT!

## Part 3 – Review and update

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### Maintenance of File Plan and Retention Schedule

23. The File Plan and Retention Schedule must be maintained to ensure that they remain relevant, accurate and up to date, particularly relating to changes in legislation and statutory requirements. It might be necessary to:
- (i) amend retention periods and/or triggers
  - (ii) add new first or second level categories if a new function or activity is added
  - (iii) remove categories which are no longer required
  - (iv) add new record series
  - (v) remove record series which are no longer produced or received
  - (vi) update record custodian
24. Any changes to the File Plan and Retention Schedule must be controlled and documented.
25. An annual review of the File Plan and Retention Schedule will be carried out in Quarter 4 (January – March) of each year. The HOCS has responsibility for ensuring that the File Plan and Retention Schedule are reviewed, amendments approved, and the File Plan and Retention Schedule published in accordance with the SIC Guide to Information.
26. Confirmation that the review has been conducted will be included in the annual report on Records Management presented in January to the Quarterly Senior Management Team Meeting.

### Amendments to the File Plan and Retention Schedule

27. Should the File Plan and Retention Schedule need to be updated or amended the following process must be followed:-
- (i) Complete the form at Appendix 1  
Ensure that all fields are completed and that any legislative or statutory requirements are completed.
  - (ii) Table for discussion at team meeting  
It is recommended that you discuss and agree the amendment at the appropriate team meeting. In the absence of relevant legislation/statutory retention requirements this provides a good opportunity to agree trigger and retention periods which suit our business requirements.
  - (iii) Submit for approval  
When the changes detailed at 23(i) – 23(iii) are proposed, the HoD should submit the amendment request form, together with a Committee Report for review and approval by the SMT. HoDs may authorise all other amendment types (23(iv) – 23(vi)).
  - (iv) Update File Plan and Retention Schedule  
If approved the HoD should pass the amendment form to the HOCS who will ensure that the File Plan and Retention Schedule are updated as required.



## Appendix 1 – File Plan and Retention Schedule Amendment Form

<b>Function</b> (e.g.01 – Corporate Management and Governance)								
<b>Activity</b> (e.g. 01.07 - Strategy and Planning)								
ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
<i>Example - Strategic planning</i>	<i>OSIC Strategic Plan</i>	<i>When superseded</i>	<i>10 years</i>	<i>Review for KM value</i>	<i>HOCS</i>	<i>Business requirement</i>	<i>possible transfer to NRS</i>	<i>VC</i>
<b>COMMENTS:-</b> (e.g. reason for amendment; reason for chosen trigger/retention period/action etc.)								
Requester		Team Meeting (date)				Committee Report VC number (if req.)		
HoD		SMT Approval (date)				File Plan/RS updated (date)		

## Document control sheet

Document Information	
Full name of current version: Class, Title, Version No and Status.	C5 File Plan and Retention Schedule v02 CURRENT ISSUE
VC File Id	72711
Type	Procedure
Approver	SMT
Responsible Manager	HOCS
Date of next planned review	March 2018
Approval & Publication	
Approval Date (major version)	31/05/16
For publication (Y/N)	Y
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Name of document in website file library	FilePlanandRetentionSchedule
Corrections / Unplanned or Ad hoc reviews (see Summary of changes below for details)	
Date of last update	19/02/19

Summary of changes to document				
Date	Action by <i>(initials)</i>	Version updated <i>(e.g. 01.25-36)</i>	New version number <i>(e.g. 01.27, or 02.03)</i>	Brief description <i>(e.g. updated paras 1-8, updated HOPI to HOCS, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding)</i>
06/06/16	JAW	02.00	02.01	New document created
06/06/16	JAW	02.01	02.02	DCS updated
06/06/16	KB	02.02	02.03	DCS updated, published on website
01/08/16	KB	02.03	02.04	Format and layout changes to retention schedule, incorporate 00 Management of Function within functions. Addition to 01 – Corporate Management and Governance re use of own vehicles on SIC Business
03/08/16	DL	02.04	02.05	Ad hoc revisions approved
03/08/16	KB	02.05	02.06	DCS updated, published on website
04/07/17	KB	02.06	02.07	Amend reference from HOOM to HOCS
06/07/17	KB	02.07	02.08	Correct typos, remove cross reference grid
06/07/17	KB	02.08	02.09	Move publication schemes from Enforcement to P&I, update examples of record types at 02.03.
13/09/17	KB	02.09	02.10	Review date updated, published on website
06/0/18	MK	02.10	02.11	Checked out in edit mode in error. No changes made.
19/02/19	MK	02.11	02.12	Timescales added re investigations for law enforcement purposes OGL text added to backing
12/03/2019	BOW	02.12	02.13	DCS updated, published on website

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