

# CULTURE PERTH & KINROSS

## Culture Perth & Kinross Records Retention and Disposal Schedule

April 2019

Adapted from SCARRS 2.2: Scottish Council on Archives Record  
Retention Schedules, 2016



Controlled master available: [www.scottisharchives.org.uk/scarrs](http://www.scottisharchives.org.uk/scarrs)

## **Introduction**

Culture Perth & Kinross has adopted the following sections of SCARRS which are relevant to CPK's organisational activities. Within each section, records retention and disposal guidance relating to CPK functions and activities will be applied.

Please note this document is currently in development and will be updated during 2019.

- 12. Finance
- 13. Health and Safety
- 15. Human Resources
- 16. ICT
- 17. Information Management
- 18. Legal Services
- 19. Leisure and Culture
- 20. Management
- 22. Procurement
- 24. Risk Management

## 12. FINANCE

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>12</b>	<b>FINANCE</b>	<b>The management of financial resources by the council.</b>		
<b>12.001</b>	Accounts and audit	Information related to accounting and auditing.	Accountancy, Accounts & Budgeting	967 Accounts - accounting 968 Accounts - financial management 971 Accounts - management and control
<b>12</b>	Asset management	Activities relating to collection of information about the authority's fixed and common good assets for accounting purposes		
<b>12.003</b>	Financial provisions management	Information on managing the finances of the authority. Includes debt management - activities involved in managing the debts owed to the Council.	Budgeting, Insurance, Investments, Grants and Loans,	969 Accounts - financial planning 970 Accounts - fund management
<b>12.004</b>	Financial transactions management	Activities relating to the detection, prevention and prosecution of financial irregularity or fraud; collection of money owed to the council including rents.; Activities involved in the payment for goods and services by the authority including expenses claims and honorariums.	General cash records, General Income Records, General Payment Records	726 Benefits - fraud investigation 972 Accounts - revenue and customs
<b>12.005</b>	Local taxation	Activities relating to the processing and collection of Council Tax and non-domestic rates; tax benefits administration including Housing and Council tax benefits		57 Council tax - annual notification 58 Council tax - individual account enquiries 59 Council tax - discount 60 Council tax - exemptions 61 Council tax - band reductions 62 Council tax - benefit - backdated claim 63 Council tax - benefit - new claim 64 Council tax - benefit - current claim 65 Council tax - benefit - appeals 66 Council tax - benefit - overpayments 67 Council tax - benefit - renewal
<b>12.006</b>	National taxation	General documents relating to taxation and similar financial matters.		
<b>12.007</b>	Payroll and pensions	Activities involved in the administration of remuneration to staff of the authority; Activities involved in the administration of pension schemes for current and former employees.		979 Staff - payroll

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.001</b>	<b>Accounts and audit</b>							
<b>12.001.001</b>	Records documenting the preparation of the Council's consolidated annual accounts and financial statements	Annual corporate financial reports: Consolidated annual reports, Consolidated financial statements, Operating statements, General ledger	End of financial year (on completion of audit)	5 years	Destroy	Statutory	Local Authority Accounts (Scotland) Regulations 2014 SSI 2014 No 200 Regulation 11(2)	Moved citation to notes and updated. 2014-07. Amended retention period from 6 years and updated Citation, Oct 2015
<b>12.001.002</b>	Published copy of consolidated annual accounts and financial statements.			Permanent	Retain for business and historical value	Business requirement	The Local Authority Accounts (Scotland) Regulations 1985. SI 1985 No. 267 (S. 24)	Amended trigger from year of transaction 2014-07
<b>12.001.003</b>	Periodic financial reports	Consolidated monthly & quarterly reports, financial statements and associated working papers; monthly accrual statements, cash flow statements, creditor/debtor listings and reports.	Date superseded	None	Destroy	Business requirement		
<b>12.001.004</b>	Internal auditing records - <b>no investigations</b>		Date audit closed	5 years	Review for historical value	Business requirement		
<b>12.001.005</b>	Internal auditing records - <b>investigations</b>	investigations involving prosecution, disciplinary action etc	Completion of court proceedings/ disciplinary process	5 years	Review for historical value	Business requirement	Prescription and Limitation (Scotland) Act 1973	Added note 2014-07
<b>12.001.006</b>	Internal auditing records - <b>general papers</b>	General papers re provision and management of internal audit service (not specific to individual audits)	End of financial year	5 years	Review for historical value	Business requirement	Prescription and Limitation (Scotland) Act 1973	Added note 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.002</b>	<b>Asset management</b>							
<b>12.002.001</b>	Records documenting the value of the Council's tangible assets <b>(excluding Common Good assets)</b>	Asset registers	End of financial year (on completion of audit)	6 years	Review for historical value	Business requirement	Taxes Management Act 1970 c9; Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45; VAT Act 1994; Audit Commission Act 1998	Moved citation to notes. 2014-07
<b>12.002.002</b>	Records documenting decisions (and authorisations) to dispose of capital assets <b>(excluding Common Good assets)</b>	Disposal registers	Date sold/ disposal of asset	6 years	Review for historical value	Business requirement	Taxes Management Act 1970 c9; Audit Commission Act 1998	Moved citation to notes. 2014-07
<b>12.002.003</b>	Records documenting the value of the Council's Common Good assets	Asset registers	Keep up to date	Permanent	Retain for business and historical value	Business requirement	Separate records for Common Good assets required by LASAAC <i>Accounting for the common good fund: a guidance note for practitioners</i> , 2007	
<b>12.002.004</b>	Records documenting decisions (and authorisations) to dispose of Common Good assets	Disposal registers		Permanent	Retain for business and historical value	Business requirement	Separate records for Common Good assets required by LASAAC <i>Accounting for the common good fund: a guidance note for practitioners</i> , 2007	
<b>12.003</b>	<b>Financial provisions management</b>							

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.003.001</b>	Preparation of the Council's annual capital and revenue budgets: <b>consolidated budget</b>		End of current financial year	6 years	Destroy	Business requirement	Review for historical value	
<b>12.003.002</b>	Records documenting budget planning processes.	Draft budgets, departmental budgets	End of current financial year	3 years	Destroy	Business requirement		
<b>12.003.003</b>	Budget monitoring and actions to deal with variances: • <b>consolidated annual budget reports</b>		End of current financial year	6 years	Destroy	Business requirement		
<b>12.003.004</b>	Budget monitoring and actions to deal with variances: • <b>departmental budget reports; budget virement transfers</b>		End of current financial year	3 years	Destroy	Business requirement		
<b>12.003.005</b>	Records documenting the overall management of the institution's financial investment portfolio		Divestment	6 years	Destroy	Business requirement		
<b>12.003.006</b>	Records documenting the purchase / sale of investments		While investment held	6 years	Destroy	Business requirement		Amended trigger from year of transaction 2014-07
<b>12.003.007</b>	Records relating to the borrowing of money by the council	Mortgage and other loan records;	Termination of loan agreement	6 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973	Added note 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.003.008</b>	Loan register			Permanent	Retain for business and historical value	Business requirement		
<b>12.003.009</b>	Management of government funding	Scottish Government (SG) circulars notifying the Council of funding allocations; preparation and submission of financial reports to SG;	End of current financial year	6 years	Destroy	Business requirement		
<b>12.003.010</b>	Management of non-government grant funding - <b>bid approved</b>	funding bid, funding agreement, payment claims and reports to external funding organisation	Termination of funding agreement	6 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973	Added note 2014-07
<b>12.003.011</b>	Management of non-government grant funding - <b>bid rejected</b>	funding bid	Rejection of bid	1 year	Destroy	Business requirement		
<b>12.003.012</b>	Records documenting the management of gifts, bequests and other donations of funds to the Council.			Permanent	Retain	Business requirement		KB - Audit. "Standards Commission"
<b>12.003.013</b>	Register of gifts and hospitality received by individual members of staff		Register entry date	10 years	Destroy	Business requirement		KB - Audit. "Standards Commission"
<b>12.003.014</b>	Debt management records – debts owed to the Council.	Agreements and schedules between debtor and Council	Date debt discharged.	6 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973	Added note 2014-07



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.003.015</b>	Long term strategy and planning -major records	3 year financial plan; financial strategic forecast		Permanent	Retain for business and historical value	Business requirement		
<b>12.003.016</b>	Long term strategy and planning -preparatory records	working papers, drafts, meeting papers, correspondence	Approval date	2 years	Destroy	Business requirement		
<b>12.004</b>	<b>Financial transactions management</b>							
<b>12.004.001</b>	Authorisation activities involved in delegating authority for carrying out financial activities on behalf of the council.	Includes appointments & delegations, audit investigations, arrangements for the provision of goods and/or services.	End of delegation arrangement	6 years	Destroy	Business requirement	Taxes Management Act 1970 c9; Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45;	Moved citation to notes. 2014-07
<b>12.004.002</b>	Records documenting the opening and closure and routine administration of bank accounts.		Closure of account	6 years	Destroy	Business requirement		
<b>12.004.003</b>	Records documenting regular payment instructions for bank accounts.		Termination of instruction	6 years	Destroy	Business requirement		
<b>12.004.004</b>	Records documenting the deposits/withdrawals/transfer of funds.		End of financial current year	6 years	Destroy	Business requirement	Keeping VAT records HMRC Reference:Notice 700/21 (October 2013)	Updated citation note 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.004.005</b>	Processing and payment of purchase and sales invoices		End of current financial year	6 years	Destroy	Business requirement	Taxes Management Act 1970 c9; Keeping VAT records HMRC Reference:Notice 700/21 (October 2013)	Moved citation to notes and updated. 2014-07
<b>12.004.006</b>	Petty cash records		End of current financial year	6 years	Destroy	Business requirement	Keeping VAT records HMRC Reference:Notice 700/21 (October 2013)	Moved citation to notes and updated. 2014-07
<b>12.004.007</b>	Processing and payment of expenses claims		End of current financial year	6 years	Destroy	Business requirement	Taxes Management Act 1970 c.9; Keeping VAT records HMRC Reference:Notice 700/21 (October 2013)	Moved citation to notes and updated. 2014-07
<b>12.004.008</b>	Fraud investigation records		Completion of court proceedings/ disciplinary process	5 years	Destroy	Business requirement	Taxes Management Act 1970 c.9; Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45;	Moved citation to notes and updated. 2014-07
<b>12.004.009</b>	Funding applications - Activities relating to the process of considering and administering applications to the authority for grant funding		End of financial year in which the records were created	6 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.004.010</b>	Internal recharging	internal claims/payments between business units for goods and services provided/received; control of petty cash allocations held by business units.	End of current financial year	1 year	Destroy	Business requirement		
<b>12.004.011</b>	National insurance numbers - Notification and input records		End of employment	2 years	Destroy	Business requirement	Tax Management Act 1970	Added note 2014-07
<b>12.004.012</b>	Reconciliation	processes that Balance and reconcile financial accounts	Administrative use ends	2 years	Destroy	Business requirement		
<b>12.004.013</b>	Refunds		End of financial year in which the records were created	6 years	Destroy	Business requirement		
<b>12.005</b>	<b>Local taxation</b>							
<b>12.005.001</b>	Council tax collection	calculation payments due, preparation and issue of bills, action taken to collect outstanding payments	End of current year	6 years	Destroy	Business requirement		
<b>12.005.002</b>	Council tax benefit - claim processing	includes records documenting the calculation of adjustments to benefit due	End of current year	6 years	Destroy	Business requirement		
<b>12.005.003</b>	Housing benefit - claim processing	includes records documenting the calculation of adjustments to benefit due	End of current year	6 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.005.004</b>	Collection of non domestic rates payable for a property	calculation payments due, preparation and issue of bills, action taken to collect outstanding payments	End of current financial year	6 years	Destroy	Business requirement		
<b>12.005.005</b>	Rateable property information			Permanent	Retain for business and historical value	Business requirement		
<b>12.005.006</b>	Valuation lists			Permanent	Retain for business and historical value	Business requirement		
<b>12.005.007</b>	Water Charges		End of current financial year	6 years	Destroy	Statutory	Water Services Charges (Billing and Collection) (Scotland) Order 2010. SSI 2010 No 10. Reg 11 Accounts and records shall not be disposed of until at least 6 years have passed since the end of the financial year in which the transaction occurred	Series added 2014-07
<b>12.006</b>	<b>National taxation</b>							
<b>12.006.001</b>	Records documenting the preparation and submission of the Council's tax returns.		End of current tax year	6 years	Destroy	Taxes Management Act 1970, c.9;		
<b>12.007</b>	<b>Payroll and pensions</b>							

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.007.001</b>	Payroll records - major records	copy payslips, payroll year end prints, Salaries cumulative listings, copy pay slips	End of current tax year	6 years	Destroy	Statutory	Income Tax (Employments Regulations) S.I. 1993 / 744; National Minimum Wage Regulations S.I. 1999 / 584; Taxes Management Act 1970; Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45;	
<b>12.007.002</b>	Payroll records - minor records	Timesheets, monthly payroll prints	End of current tax year	3 years	Destroy	Statutory	Income Tax (Employments Regulations) S.I. 1993 / 744; National Minimum Wage Regulations S.I. 1999 / 584; Taxes Management Act 1970; Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45;	
<b>12.007.003</b>	P45 (Income tax - employee leaving)		End of employment	5 years	Destroy	Statutory	Taxes Management Act 1970	
<b>12.007.004</b>	P60		End of current year	2 years	Destroy	Statutory	Taxes Management Act 1970	
<b>12.007.005</b>	Statutory Sick Pay scheme records		End of current tax year	3 years	Destroy	Statutory	Statutory Sick Pay (General) Regulations S.I. 1982 / 894	
<b>12.007.006</b>	Statutory Maternity Pay scheme records		End of current tax year	3 years	Destroy	Statutory	The Statutory Maternity Pay (General) Regulations S.I. 1986 / 1960 as amended by SI 2005 No 989	

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>12</b>	<b>FINANCE</b>							
<b>12.007.007</b>	Pension scheme reports	Accounts, returns, valuation	End of current year	6 years	Destroy	Statutory	Taxes Management Act 1970; Income and Corporation Taxes Act, 1988	
<b>12.007.008</b>	Individual staff pension files		End of current year after date of payment	10 years	Destroy	Business requirements	Local Government Pension Scheme (Management and Investment of Funds) (Scotland) Regulations 2010 (SSI 2010/233)	Updated citation note 2014-07, Corrected Oct 2015
<b>12.007.009</b>	Pension scheme management	Statement of Principles governing decisions about investments	Until superceded	10 years	Destroy	Statutory	The Local Government Pension Scheme (Management and Investment of Funds) (Scotland) Regulations 2010. S.S.I. 2010/233 Reg 12	Series added 2014-07

## 13. HEALTH & SAFETY

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>13</b>	<b>HEALTH AND SAFETY</b>	Management of measures to ensure a healthy and safe workplace.		1011 - Health and safety - scientific services
<b>13.001</b>	Community safety	Documents relating to community safety issues		
<b>13.002</b>	Compliance	Information on compliance with health and safety legislation.		
<b>13.003</b>	Monitoring	Monitoring of health and safety at work.		
<b>13.004</b>	Risk management	Management of health and safety risks.		



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
N/A	Invoicing, budgeting etc..	See Schedule 12: Finance						
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
N/A	Management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
N/A	Strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
N/A	Tendering and contracts management	See Schedule 22: Procurement						
13.001	<b>Community safety</b>	See Schedule 03: Community Safety and Emergencies						
13.002	<b>Compliance</b>							
13.002.001	Strategy and planning	System processes	Date process ceases or is superseded.	1 year	Destroy	Business requirement		
13.002.002	Health and Safety Policy		Date superseded.	1 year	Destroy	Business requirement		
13.002.003	Fire Safety training	Proof of suitable training. Attach to personnel file	End of current year.	10 years	Destroy	Business requirement	Fire Safety (Scotland) Regulations 2006. SSI 2006 No 456 Regulation 20	Added description and citation 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
13.002.004	First-aid – Letter advising of award of certificate		End of current year.	3 years	Destroy	Business requirement	Certificates are valid for three years	Amended retention from 7 years and added note 2014-07.
13.002.005	First-aid – Course attendance sheet		End of current year.	3 years	Destroy	Business requirement	These are signed copies of attendance and their retention matches the period of validation.	Amended retention from 7 years 2014-07.
13.002.006	Manual Handling – Course attendance sheet		End of current year.	3 years	Destroy	Business requirement	These are signed copies of attendance. Should attend training at three year intervals or sooner if significant changes in health or job content.	Amended retention from 30 years and added note 2014-07
13.002.007	Manual Handling – Letter advising of award of certificate		End of current year.	3 years	Destroy	Business requirement	Should attend training at three year intervals or sooner if significant changes in health or job content.	Amended retention from 30 years and added note 2014-07
13.003	<b>Monitoring</b>							

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
13.003.001	Accidents and incident reporting - reporting accidents to adults	Accident report/ register	Date of entry/ Accident book - date of last entry.	3 years	Destroy	Statutory	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 SI 2013 No 1471 Regulation 12(2). Prescription and Limitation (Scotland) Act 1973	Amended retention from 6 years, amended trigger and added citation 2014-07
13.003.002	Accidents and incident reporting - reporting accidents to children	Accident report/ register	Date of birth of child	25 years	Destroy	Business requirement	See 10.008.01 in Education and Skills retention schedule	Amended retention from 6 years, amended trigger and added citation 2014-07
								Series deleted. Replaced by 13.003.009-.014
13.003.004	Equipment safety inspections	Yearly inspection Daily / month/ weekly inspection	Date of inspection Date of inspection	2 years 1 year	Destroy	Business requirement	Amended retention period from 6 years 2014-07.	
13.003.005	Hazardous substances COSHH reports		Date of last action.	40 years	Destroy	Statutory	Control of Substances Hazardous to Health Regulations 2002. SI 2002 No 2677 Regulation 11 Records kept under the 1994 and 1999 Regulations to be kept as if the 2002 Regulations had not been made. Regulation 18 (2)	

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
13.003.006	Health and safety inspections	Routine inspection file – containing inspection report, correspondence e.g. noise in the workplace, monitoring of display screens	Date superseded./ Date of last action	1 year	Destroy	Business requirement	These are not directly related to investigation of specific incidents.	Amended retention from 5 years 2014-07
13.003.007	Radon Monitoring	Dose assessment and recording of classified person (approved dosimetry service)	Date made	50 years or until person's 75th birthday	Destroy	Statutory	The Ionising Radiation Regulations 1999. SI 1999 No 3232. Regulation 21(3)	
13.003.008	Radon Monitoring	Monitoring Results	Date recorded	2 years	Destroy	Statutory	The Ionising Radiation Regulations 1999. SI 1999 No 3232. Regulation 21(3)	
13.003.009	Asbestos control	Employee information/ instruction/ training - Recommend add to personnel record	Termination of employment	6 years	Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 10	Series added 2014-07
13.003.010	Asbestos control	Arrangements to deal with accidents, incidents and emergencies	In case of any accident, incident or emergency OR Supperceded	40 years 3 years	Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 15. Information to be displayed in the work place and made available to accident and emergency services	Series added 2014-07
<b>13</b>	<b>HEALTH AND SAFETY</b>							
13.003.011	Asbestos control	Record or suitable summary of air monitoring of employees exposure to asbestos	Date of monitoring	5 years or 40 years if medical record is required	Destroy	Statutory	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 19	Series added 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
13.003.012	Asbestos control	Health records - where exposure exceeds the action level	Date of last incident	40 years	Destroy	Statutory	Control of Asbestos at Work Regulations 2012 SI 2012 No 632. Regulation 22 (b) Original or copy may be kept. Any employee is allowed access to the record if reasonable notice is given.	Series added 2014-07
13.003.013	Asbestos control	Medical examination certificates	Date of issue	4 years	Destroy	Statutory	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 22(4)	Series added 2014-07
13.003.014	Asbestos control	Exemption certificate	Expired/revoked	40 years	Destroy	Statutory	Control of Asbestos at Work Regulations 2012 SI 1012 No 632 Regulation 32. Consider adding a copy of the certificate to the health records and retaining for 40 years	Series added 2014-07
13.004	<b>Risk management</b>							
13.004.001	Risk assessments		Date of last assessment / last action.	3 years	Destroy	Business requirement	Management of Health and Safety at Work Regulations 1992.	Moved citation from Authority column and added Authority. 2014-08

## 15. HUMAN RESOURCES

REF	FUNCTION / ACTIVITY	ALTERNATIVE TERMS	SCOPE NOTES	SCOTTISH SERVICES LIST MAPPING
15	HR management	Human Resources Management, Personnel, Personnel Management, Staffing	The management of staff by the council.	Not applicable.
15.001	Administering employees	Employee files	Files for individual employees. Arranged by name but usually have several identifiers, name and date of birth, NI number etc.	
15.002	Employee relations		Information on employee relations.	
15.003	Equal opportunities		Information on equal opportunities	
15.004	Monitoring employees		Information on monitoring employees.	
15.005	Occupational health		Occupational health records	
15.006	Recruitment		Recruitment of staff	
15.007	Terms and conditions of employment		Terms and conditions for employees	
15.008	Training		Training information.	
15.009	Workforce planning		Information on workforce planning.	
15.010	Job evaluation		Assessments of job processes. May be broken down into smaller activities, for example: initial evaluation process and appeals.	

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
15	HUMAN RESOURCES							
15.001	Administering employees							
15.001.001	Employee files	Counselling	Termination	6 years	Destroy	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45	
		Absence monitoring	End of current tax year	3 years	Destroy	Business requirement		
		Discipline - Documentation relating to the discipline of employees.	Termination	6 years	Destroy	Business requirement	The Employment Act 2002 deals with dispute resolution but does not give time limits for record retention. See also <i>ACAS code of practice on disciplinary and grievance procedures</i> . <a href="http://www.acas.org.uk/media/pdf/k/b/Acas_Code_of_Practice_1_on_disciplinary_and_grievance_procedures-accessible-version-Jul-2012.pdf">http://www.acas.org.uk/media/pdf/k/b/Acas_Code_of_Practice_1_on_disciplinary_and_grievance_procedures-accessible-version-Jul-2012.pdf</a>	Added reference to ACAS CoP. 2015-04
		Discipline - Final disciplinary warnings	Date of warning	18 months / 6 months after warning	Destroy	Business requirement	The Employment Act 2002 deals with dispute resolution but does not give time limits for record retention. ACAS Code of Practice - Recommends continued retention on Employee File	Added reference to ACAS CoP. 2015-04
		Discipline - No warning given	Date of decision not to proceed	Immediately	Destroy	Business requirement	Proceedings where accusation proved to be unfounded. DPA	
		Discipline - Oral disciplinary warnings	Date of warning	6 months	Destroy	Business requirement	ACAS Code of Practice - Recommends continued retention on Employee File	Added reference to ACAS CoP. 2015-04



Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
15	HUMAN RESOURCES							
		Discipline - Disciplinary warnings involving children or vulnerable adults	Termination	25 years	Destroy	Business requirement		Added retention period 2014-07
		Discipline - Written disciplinary warnings	Date of warning	12 months	Destroy	Business requirement	ACAS Code of Practice - Recommends continued retention on Employee File	Added reference to ACAS CoP. 2015-04
		Disciplinary action - Written statement to employee who is dismissed while absent during adoption leave	Termination of employment	6 years	Destroy	Statutory	The Employment Rights Act 1996 Section 92 (4A) To be in writing	Added series 2014-07
		Disclosure of interest	Superseded	1 year	Destroy	Business requirement		Amended trigger from "Current". 2014-07
		Employee details (posts <b>not</b> subject to disclosure checks)	Termination of employment	6 years	Destroy (See note)	Statutory	Need to retain record of: Name, DOB, Date of Appointment, Work history details, Titles & dates of posts held, as evidence of employment and for superannuation and pension purposes.	Removed reference to 1980 Limitation Act - not Scots Law. Added superannuation to note and "(See note)" to Action. 2014-07
		Employee details (posts subject to disclosure checks)	Termination of employment	25 years	Destroy (See note)	Business requirement	Need to retain record of: Name, DOB, Date of Appointment, Work history details, Titles & dates of posts held, as evidence of employment and for superannuation pension purposes.	Added superannuation to note and "(See note)" to Action. 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
15	HUMAN RESOURCES							
		Employment conditions	Termination of employment	6 years	Destroy	Business requirement	Will be destroyed when employment file is destroyed.	
		Grievances	Termination of employment	6 years	Destroy	Business requirement		
		Individual training records	Termination of employment	Termination date + 6 years BUT if it relates to training for work with children or vulnerable adults retain for 25 years.	Destroy	Business requirement		Amended retention to 25 years from 50 2014-07
		Induction	Date of completion	Completion date + 2 years	Destroy	Business requirement	Retain on personnel file	Added note 2014-07
		Leave	Current year	Current year + 2 years	Destroy	Business requirement		
		Medical assessments	Date of birth / Termination of employment /Current year	Termination of employment plus 6 / 25 years as appropriate unless a longer requirement is needed under health and safety legislation.	Destroy	Business requirement	Dependant on whether Health & Safety or Monitoring requirements are relevant. See Health and Safety schedule.	Amended retention period from "Date of birth +75 years /Termination date +6 years /Current year + 10 years" 2014-07 and amended note
		Maternity/paternity leave	Current tax year	Current tax year + 3 years	Destroy	Business requirement	HMRC guidelines for reference	
15.001.002	Reporting (terms and conditions, working hours)		Current tax year	3 years	Destroy	Business requirement		

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>15</b>	<b>HUMAN RESOURCES</b>							
15.001.003	Termination requests and notices (other than retirement)		Date of leaving	6 years	Destroy	Business requirement	Retain on personnel file	
15.001.004	Human Resources Guidelines		Superseded	Date superseded	Retain	Business requirement	Consider historical value.	
15.001.005	Dismissal of social worker - notification to Scottish Social Services Council		Dismissal	6 years	Destroy	Business Requirement	Smoking, Health and Social Care (Scotland) Act 2005 asp 13. Section 32. Inserts section 57A into the 2001 Act. To be in writing	Series added - 2014-06
<b>15.002</b>	<b>Employee relations</b>							
15.002.001	Disciplinary matters reporting	Disciplinary matters - reporting	Once appropriate action taken	Until superseded	Destroy	Business requirement		
15.002.002	Employment Tribunals	Applications	Termination of employment	6 years	Destroy	Business requirement		
15.002.003	Trade union liaison - Strategy	Partnership Agreement	Superseded	Permanent	Retain for historical value	Business requirement		Added "partnership agreement" to description. Amended trigger from "Current" 2014-07+I22
15.002.004	Trade union liaison - Administration	Supporting and routine documentation,	Superseded	2 years	Destroy	Business requirement		Added series reference 2014-07
<b>15.003</b>	<b>Equal opportunities</b>							
15.003.001	Equalities and diversity - guidelines		Until superseded	1 year	Destroy	Business requirement		Amended trigger from "Current" 2014-07
15.003.002	Equalities and diversity - Investigations - Case Files		Investigation concludes and action is spent / Retain current information throughout employment	5 years / Employment term	Destroy	Business requirement	Place on personnel file	Added note 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>15</b>	<b>HUMAN RESOURCES</b>							
15.003.003	Harassment Statistics Monitoring Forms		Current year	1 year	Review	Business requirement	Consider historical value.	
15.003.004	Dignity at Work		Current year	2 years	Destroy	Business requirement		
15.003.005	Disability Equality Scheme		Superseded	3 years	Destroy	Business requirement	Disability Discrimination (Public Authorities) (Statutory Duties) (Scotland) Regulations 2005. SSI 2005 No 565 Regulation 2. Review at three year intervals	Series added 2014-07
15.003.006	Gender Equality Scheme		Superseded	3 years	Destroy	Business requirement	Sex Discrimination (Public Authorities) (Statutory Duties) (Scotland) Order 2007 SSI 2007 No 32. Article 3. Review at three year intervals	Series added 2014-07
15.003.007	Gender Equality - Annual reports		Current year	3 years	Destroy	Business requirement	Sex Discrimination (Public Authorities) (Statutory Duties) (Scotland) Order 2007 SSI 2007 No 32 Article 5	Series added 2014-07
15.003.008	Equal pay statement		Superseded	3 years	Destroy	Business requirement	Sex Discrimination (Public Authorities) (Statutory Duties) (Scotland) Order 2007 SSI 2007 No 32 Article 6	Series added 2014-07
15.003.009	Equal pay audit	Equal pay audit report published online	Date of audit	3 years	Destroy	Statutory requirement	Equality Act 2010 (Equal Pay Audits) Regulations 2014 SI 2014 No 2559 Section 3 (1) (a) and Section 9(1) (a)	Series added 2015-04
<b>15.004</b>	<b>Monitoring employees</b>							

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>15</b>	<b>HUMAN RESOURCES</b>							
15.004.001	Performance appraisal (Probationary reports and performance plans)		Date completed	5 years	Destroy	Business requirement		
15.004.002	Reporting		Current	5 years	Destroy	Business requirement		
15.004.003	Staff directory		Current	Current	Destroy	Business requirement	Consider historical value	
<b>15.005</b>	<b>Occupational health</b>							
15.005.001	Absence reporting		Date after action completed	5 years	Destroy	Business requirement	Access to Medical Reports Act 1988 c28 provides the general provisions on the right of access to records created after 01 January 1989. Place on personnel or occupational health file.	Added to note 2014-07
15.005.002	Occupational health (separate from employee file)		Date of birth (unless see notes)	75 years	Destroy	Statutory	Where statutory health surveillance has been undertaken records to be retained for 40 years after last consul, or 75 years after DOB, whichever is longest. See also Health and Safety.	
15.005.003	Occupational health - staff training (separate from Health & Safety file)		Date course completed	50 years  Attach to personnel file / occupational health file	Destroy	Business requirement	Where records relate to training associated with the reasons for statutory Health Surveillance. Then these records should be retained for the same length of time as the individual's health record.	

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>15</b>	<b>HUMAN RESOURCES</b>							
15.005.004	Personal risk assessments		After revised risk assessment takes place or termination of employment	6 years	Destroy	Business requirement	Where risk assessments relate to the statutory health surveillance then the assessments should be retained for the same timescale as the occupational health records. Place latest assessment on personnel file / occupational file.	Amended authority from Statutory. Added to note 2014-07
15.005.005	Sickness monitoring		Termination of employment	6 years	Destroy	Business requirement	Access to Medical Reports Act 1988 c28 provides the general provisions on the right of access to records created after 01 January 1989. Place on personnel file of occupational health file.	Added reference to Personnel File. 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>15</b>	<b>HUMAN RESOURCES</b>							
15.005.006	Major injuries		Termination of employment	40 years	Destroy	Business requirement	Access to Medical Reports Act 1988 c28 provides the general provisions on the right of access to records created after 01 January 1989. Section 6. Retention of reports. A copy of any medical report which a medical practitioner has supplied for employment or insurance purposes shall be retained by him for at least six months from the date on which it was supplied. Retention period may be dependent on which health and safety legislation the information falls under. May need relevant information for superannuation payments	Added to note 2014-07
<b>15.006</b>	<b>Recruitment</b>							
15.006.001	Authorisation		Recruitment finalised	6 months	Destroy	Business requirement		
15.006.002	Job descriptions		Date superseded	6 months	Destroy	Business requirement		

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>15</b>	<b>HUMAN RESOURCES</b>							
	Recruitment		Recruitment finalised	6 months	Destroy	Business requirement		
	Recruitment process		Recruitment finalised	6 months	Destroy	Business requirement		
	Secondment		Termination of employment	6 years	Destroy	Business requirement		
	Volunteers		Termination of employment	6 years	Destroy	Business requirement		
<b>15.007</b>	<b>Terms and conditions of employment</b>							
15.007.001	Staff benefits		Termination of employment	6 years	Destroy	Business requirement		
15.007.002	Staff facilities		Termination of employment	6 years	Destroy	Business requirement		
15.007.003	Staff recognition		Termination of employment	6 years	Destroy	Business requirement		
15.007.004	Terms and conditions		Termination of employment	6 years	Destroy	Business requirement		
<b>15.008</b>	<b>Training</b>							
15.008.001	Driver training		Termination of employment	6 years	Destroy	Business requirement		
15.008.002	Reporting		Date after action completed	5 years	Destroy	Business requirement		
15.008.003	Support training		Termination of employment	6 years	Destroy	Business requirement		
15.008.004	Training courses		Current year	1 year	Destroy	Business requirement	Records of training on personal files concerning children or health and safety training e.g. manual handling, violence and aggression. Individual records placed on personal files.	Amended trigger from "Current" and added reference to personal file to notes.
15.008.005	Training plan		Date after action completed	2 years	Destroy	Business requirement		
<b>15.009</b>	<b>Workforce planning</b>							



Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>15</b>	<b>HUMAN RESOURCES</b>							
15.009.001	Workforce development planning		Date of last action	5 years	Destroy	Business requirement		
<b>15.010.</b>	<b>Job evaluation</b>							
15.010.001	Job evaluation	Final report	Current	Retain permanently	Retain	Business requirement	This is a distinct function from Employee Monitoring (which is primarily employee focussed). This is more process focussed and may be broken down into smaller activities, for example: initial evaluation process and appeals.	Added reference number 2014-07. Corrected 2015-04
15.010.002	Job evaluation	Results of large scale job evaluation	Date evaluation finalised	5 years	Destroy	Business requirement		Added reference number 2014-07. Corrected 2015-04
15.010.003	Job evaluation	Working papers	Date evaluation finalised	5 years	Destroy	Business requirement		Added reference number 2014-07. Corrected 2015-04

## 16. ICT

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
16	INFORMATION AND COMMUNICATION TECHNOLOGY	The function of planning, delivering, supporting and maintaining Information Technology (IT) and Communication system and service requirements across the Council.		
16.001	ICT System Development	<p>The activities involved in developing ICT systems for the Council.</p> <p>Activities include: undertaking feasibility studies and consultations; developing specifications; identifying and evaluating development options; developing, or commissioning the development of, bespoke systems or sourcing commercial systems; installing, testing and commissioning systems; making controlled changes to systems to meet changing needs; decommissioning systems.</p>		
16.002	ICT Security Management	<p>The activities involved in managing access to, and use of, the Council's ICT systems by staff and others.</p> <p>Activities include: authorising and enabling user access; monitoring system usage to ensure compliance with legislative requirements and Council policies; reporting, investigating and responding to system security breaches and incidents; sanitising ICT hardware prior to disposal.</p>		

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
16	INFORMATION AND COMMUNICATION TECHNOLOGY	The function of planning, delivering, supporting and maintaining Information Technology (IT) and Communication system and service requirements across the Council.		
16.003	ICT Operations Management	The activities involved in operating the Council's ICT systems.  Activities include: monitoring system performance; system testing; reporting, investigating and resolving system faults; managing system data storage, including back archiving and deletion; maintaining software licences.		
16.004	ICT User Training and Support	The activities involved in providing support to users of the Council's ICT systems.  Activities include: designing and delivering system user training; providing day-to-day support to users in response to requests.		

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>16</b>	<b>ICT</b>							
<b>16.001</b>	<b>ICT Systems Development</b>							
16.001.001	Initial development of and post-implementation changes to an ICT system.		Decommissioning of system	5 years	Review for business and historical value	Business requirement	typically held in project files until implementation and relevant records subsequently transferred to system files	
16.001.002	Initial development of an ICT system which is not implemented.		Last action on development	5 years	Destroy	Business requirement	May be of use for related future projects	
<b>16.002</b>	<b>ICT Systems Security Management</b>							
16.002.001	Security protocols for an ICT system.		Decommissioning of system	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Amended Authority to Business Requirement. Moved statute to Notes. 2014-06
16.002.002	Opening, maintenance and closure of a user account for an ICT system.		Closure of account	1 year	Destroy	Business requirement		
16.002.003	Routine monitoring of access to, and use of, an ICT system.		End of current year	1 year	Destroy	Business requirement		
16.002.004	Detection and investigation of security breaches of an ICT system, and action taken.		Last action on incident	3 years	Destroy	Business requirement		
<b>16.003</b>	<b>ICT Systems Operations Management</b>							
16.003.001	Routine monitoring and testing of an ICT system, and action taken to rectify problems and optimise performance.		End of current year	1 year	Destroy	Business Requirement		
16.003.002	Investigation of faults reported by users of an ICT system, and action taken to rectify problems.		Close of investigation	3 years	Destroy	Business Requirement		

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>16</b>	<b>ICT</b>							
16.003.003	Management of data in an ICT system, including the operation of routine data backup, archiving and deletion routines.		End of current year	1 year	Destroy	Business Requirement		
16.003.004	Maintenance of the software licence(s) for an ICT system.		Expiry/ Termination of licence	5 years	Destroy	Prescription and Limitation (Scotland) Act, 1973 and 1984		
16.003.005	Management of an ICT system - system file	handover documents, user guides, system support, technical and knowledgebase documentation	Decommissioning of system	5 years	Destroy	Business Requirement		
16.003.006	Removal / return of mobile ICT systems hardware & software from / to the Council's premises	register or log	Return of equipment	5 years	Destroy	Business Requirement		
16.003.007	Arrangements for the sanitisation and disposal of institutional ICT equipment	disposal log	Disposal of equipment	5 years	Destroy	Business Requirement	ensure record of disposals added to council asset disposal register - this will typically be held within Finance	
<b>16.004</b>	<b>ICT Systems User Training &amp; Support</b>							
16.004.001	Development of technical & application training and guidance for IT system users		superseded	1 year	Destroy	Business Requirement	for administration of training and individual staff training records see HR Retention Schedule	
16.004.002	Logging, investigation and resolution of user requests for technical and application support		Close of call	1 year	Review for business value	Business requirement	May be of use for future development plans and support knowledgebase	

# 17. INFORMATION MANAGEMENT

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
17	INFORMATION MANAGEMENT	The management of information resources and access to information regimes by the council. Includes Freedom of Information Act, client access to records, Environmental Information Regulations, and Data Protection Act.	Information Governance	990 - Information management
17.001	Access to information	Records demonstrating the provision of access to Council information in accordance to legislative requirements. Includes the activities involved in managing the Council's compliance with the Data Protection Act 1998, the Freedom of Information (Scotland) Act 2002 and the Environmental Information (Scotland) Regulations 2004.	requests for information; RFI; subject access requests; SAR; decisions; appeals; withheld information; exemptions; applicant; data controller; data processor; redaction; publication scheme; personal information; sensitive personal information;	826 - Data Protection 722 - Freedom of Information - advice 879 - Environmental information regulations
17.002	Archives	<b>Archives management is covered under function 19 - Leisure and culture which will be covered in phase 2</b>		
17.003	Knowledge management	Council information asset management		



REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
17	INFORMATION MANAGEMENT	The management of information resources and access to information regimes by the council. Includes Freedom of Information Act, client access to records, Environmental Information Regulations, and Data Protection Act.	Information Governance	990 - Information management
17.004	Records management	<p>The activities involved in managing the Council's business records.</p> <p>Records means documents and other items in any medium and format which are generated or received by the Council in the course of its work, and which are kept for information and as evidence of its work.</p> <p>Activities include: organising, classifying and indexing records; storing records; determining retention periods for records; converting records to alternative media or formats; carrying out conservation or preservation work on records; monitoring retention of records and disposing of redundant records.</p>		1305 - Records management 996 - Policy - retention schedules
17.005	Registration	see appropriate function for retention details of statutory and non-statutory registers; these will all have significant archival value		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
17	<b>INFORMATION MANAGEMENT</b>							
17.001	<b>Access to information</b>							
17.001.001	Data Protection - record of subject access request processing	initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	Data Protection Act 1998 c.29, s.7	Amended trigger from Statutory 2014-07
17.001.002	Data Protection - record of subject access request processing <b>where appeal made to UK Information Commissioner</b>	initial request, response, appeal records, related correspondence and other supporting documentation	Outcome of appeal	6 years	Destroy	Business requirement	Data Protection Act 1998 c.29, s.7	Amended trigger from Statutory 2014-07
17.001.003	Data protection - general compliance records	Files re. DP audit, general compliance, data breaches, security, training, etc,	Current year	3 years	Destroy	Business requirement		
17.001.004	Data protection - Notification and changes		Current year	3 years	Destroy	Business requirement	Data Protection Act 1998 c.29, s.20.	Amended trigger from Statutory 2014-07
17.001.005	Freedom of information (FoISA) - processing of requests for information	initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13	
17.001.006	Freedom of information (FoISA) - processing of requests for information <b>where appeal made to Scottish Information Commissioner</b>	initial request, response, appeal records, related correspondence and other supporting documentation	Outcome of appeal	6 years	Destroy	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13	Amended trigger from Statutory 2014-07
17.001.007	Council Publication Scheme		Superseded	3 years	Review for historical value	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13	

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>17</b>	<b>INFORMATION MANAGEMENT</b>							
<b>17.001.008</b>	Environment Information Regulations - processing of requests for information	initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	The Environmental Information (Scotland) Regulations 2004 SSI 2004/520	
<b>17.001.009</b>	Environment Information Regulations - processing of requests for information <b>where appeal made to Scottish Information Commissioner</b>	initial request, response, appeal records, related correspondence and other supporting documentation	Outcome of appeal	6 years	Destroy	Business requirement	The Environmental Information (Scotland) Regulations 2004 SSI 2004/520	
<b>17.002</b>	<b>Archives</b>							
	<b>Archives management is covered under function 19 - Leisure and culture</b>							
<b>17.003</b>	<b>Knowledge management</b>							
<b>17.003.001</b>	Contacts lists		Superseded	None	Destroy	Business requirement		
<b>17.003.002</b>	Information asset lists		Superseded	2 years	Destroy	Business requirement		
<b>17.003.003</b>	Geographic Information System (GIS)	I&R Source data for SVDLS for loading to GIS. System itself to be kept up to date	Date of survey completion	5 years	Transfer to archive	Business requirement		Amended action from "Destroy" 2014-07
<b>17.004</b>	<b>Records management</b>							
<b>17.004.001</b>	Records surveys	Information relating to record audits	Current	2 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
17	<b>INFORMATION MANAGEMENT</b>							
17.004.002	Classification schemes	Classification schemes	Current	Until superseded	Review for historical value	Business requirement	Consider historical value.	
17.004.003	Forms development	Standard templates	Superseded	1 year	Sample for historical value	Business requirement		
17.004.004	Image capture		Date of scan	Nil	Destroy	Business requirement	Paper information may be destroyed immediately after the scanned image has been checked and accepted if the scanning is completed to the relevant BSI standard	Amended retention period from 2 years. Added note. 2014-07
17.004.005	Retention schedules		Superseded	20 years	Destroy	Business requirement		Amended from 2 years and removed note 2015-11
17.004.006	Lists of Records destroyed	records destruction register	Date of destruction	100 years	Destroy	Business requirement	The long retention reflects governance needs around child care. Organisations where this is not an issue may consider a shorter retention	Amended retention from 20 years and added note, 2015-11
17.004.007	Records disposal certificated	Disposal certificates	Date of destruction	20 years	Destroy	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13, S61 RM code	Amended retention period from Permanent. 2014-07
17.004.008	Records retention issues log		Date of last action	6 years	Destroy	Business requirement	Consider retaining the summary statistics as a measurement of service delivery and for appraising the effectiveness of retention schedules.	

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
17	INFORMATION MANAGEMENT							
17.005	Registration							
	see appropriate function for retention details of statutory and non-statutory registers; these will all have significant archival value							

## 18. LEGAL SERVICES

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>18</b>	<b>LEGAL SERVICES</b>	Management of legal activities on behalf of the council as a corporate body.	<b>Legal and contracts, Legal affairs</b>	
<b>18.001</b>	Advice	The process of providing legal advice on a point of law.		676 - Law - legal advice
<b>18.002</b>	Bylaws	Local bylaws.		
<b>18.003</b>	Land and highways	Information on land and highways.		
<b>18.004</b>	Land registration	Legal documentation relating to land charges, searches and title investigations.		
<b>18.005</b>	Litigation	The process of managing, undertaking or defending for or against litigation on behalf of the local authority		
<b>18.006</b>	Management of legal activities	Activities relating to the execution of legal duties.		
<b>18.007</b>	Planning controls	Activities relating to the execution of legal duties in relation to planning.		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>18</b>	<b>LEGAL SERVICES</b>							
<b>N/A</b>	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
<b>N/A</b>	Invoicing, budgeting etc..	See Schedule 12: Finance						
<b>N/A</b>	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
<b>N/A</b>	Management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
<b>N/A</b>	Strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
<b>N/A</b>	Tendering and contracts management	See Schedule 22: Procurement						
<b>18.001</b>	<b>Advice</b>							
<b>18.001.001</b>	Advice to the public	Community legal advice	Date superseded.	1 year /5 years	Destroy	Business requirement		



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>18</b>	<b>LEGAL SERVICES</b>							
<b>18.001.002</b>	Provision of legal advice	Case file	Date file closed	5 years	Transfer to Archives	Business requirement	Advice where expert opinion of counsel received is to be retained permanently. (Transfer to archives after 5 years.) Other advice: Review for historical value for potential retention in archives if a major precedent - otherwise destroy.	Amended note 2014-07.
<b>18.002</b>	<b>Bylaws</b>							
<b>18.002.001</b>	Enactment	Byelaws		Permanent	Transfer to Archives	Business requirement	Retain for historical value.	Moved trigger to note and amended authority 2014-07
<b>18.002.002</b>	Enforcement	Papers relating to byelaw enforcement matters generally	Date matter concluded	2 years / 5 years	Destroy	Business requirement		
<b>18.003</b>	<b>Land and highways</b>							
<b>18.003.001</b>	Acquisition	Road adoptions - land acquisitions and highways	Disposal	Life of acquisition plus 5 years	Destroy	Business requirement		
<b>18.003.002</b>	Disposal	Road adoptions - land dispersals and highways	Disposal	Disposal plus 5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973	Moved citation to notes. 2014-07
<b>18.004</b>	<b>Land registration</b>							
<b>18.004.001</b>	Land charges	Searches	Date file closed	12 years	Destroy	Statutory	Prescription & Limitation (Scotland) Act 1973 and 1984	
<b>18.004.002</b>	Land charges	Registers - land registration charges	Date file closed	10 years	Permanent	Business requirement		
<b>18.005</b>	<b>Litigation</b>							

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>18</b>	<b>LEGAL SERVICES</b>							
<b>18.005.001</b>	Anti-social behaviour cases (All papers relating to court case including all file papers and any productions.)		Date of expiration of court order/conclusion of any court action.	10 years	Destroy	Business requirement	Law Society Guidelines	Moved citation to notes. 2014-07
<b>18.005.002</b>	Eviction actions (All papers relating to court case)		Date of court order/conclusion of any court action	10 years	Destroy	Business requirement	Law Society Guidelines	Moved citation to notes. 2014-07
<b>18.005.003</b>	Adoption cases /Freeing for adoption, fostering; OR other cases involving children including child protection orders. (All papers relating to court case including all file papers and any productions.)	Case Record	Date of order/decision or close of file	Adoption order made - 100 years. No adoption order made - 10 years	Destroy	Statutory	See also RRS Children and Families. Adoption Agencies (Scotland) Regulations 2009. SSI 2009 No 154. Reg 27 Case record of adoptions to be kept in an accessible form in secure conditions for at least 100 years. In respect of a prospective adopter to whom an adoption order is not made, retain for at least 10 years. Preserve other case records in secure conditions for as long as it is considered appropriate	Moved citation to notes and updated. 2014-07
<b>18.005.004</b>	Employment tribunal. (All papers.)		Date file closed.	10 years	Destroy	Business requirement		
<b>18.005.005</b>	Mental health. (All papers.)		Date file closed (or death if indefinite guardianship).	10 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>18</b>	<b>LEGAL SERVICES</b>							
<b>18.005.006</b>	Any other civil action. (All papers relating to court action.)		Date of expiration of court order/conclusion of any court action.	10 years	Destroy	Business requirement	Law Society Guidelines	
<b>18.005.007</b>	Commercial	Case files (not relating to contracts)	Date of last action	5 years	Review major litigation cases for historical value, otherwise destroy.	Business requirement		
<b>18.005.008</b>	Criminal	Case files	Date of last action	5 years	Review major litigation cases for historical value, otherwise destroy.	Business requirement		
<b>18.005.009</b>	Debt recovery	Simple debt collection actions	Date of court action if dismissed OR payment in full of any decree (last instalment of payment plan).	1 year or 5 years	Destroy	Business requirement		
<b>18.005.010</b>	Precedent cases	Records documenting the conduct of litigation involving the Council, where a legal precedent was established.	Date case closed	Permanent	Transfer to Archives	Business requirement		
<b>18.006</b>	<b>Management of legal activities</b>							
								18.006.002 series removed 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>18</b>	<b>LEGAL SERVICES</b>							
<b>18.006.002</b>	Agreements	Concordat. Process of agreeing terms between organisations <b>Note:</b> this does not include contractual agreements.	Date agreement expires or is terminated	6 years	Destroy	Business requirement	Any agreement recorded in the registers or the books of Council and Session should be retained indefinitely as it will appear in any searches made in these registers. The correspondence file associated with such agreements can be destroyed as suggested.	
<b>18.006.003</b>	Conveyancing files and (covering the process of changing ownership of land or property).		Date file closed	10 years	Destroy	Business requirement		
<b>18.006.004</b>	Deeds (and any documents required along with deeds).		Date file closed	Permanent	Retain	Business requirement	Transfer to archives for historical value.	Amended authority from Statutory and added note 2014-07
<b>18.006.005</b>	Land charges		Date file closed	10 years	Destroy	Business requirement		
<b>18.006.006</b>	Purchase (open market). (correspondence, tax certificates, missives, letters of obligation)		Date file closed	5 years	Destroy (unless unusually complicated then retain until property disposed of)	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>18</b>	<b>LEGAL SERVICES</b>							
<b>18.006.007</b>	Compulsory purchase - Authorisations, Deeds etc.		Date property disposed of.	Deeds are transferred with the sale. General papers retain 5 years	Will be required in future transactions for that property	Business requirement		
<b>18.006.008</b>	Compulsory purchase - Correspondence and other papers including GVD.		Disposal of property	10 years	Destroy/ Review for archival value	Business requirement		Amended retention period to Disposal + 10 years from Permanent. 2014-07
<b>18.006.009</b>	Sale or disposal -Titles and plans		Disposal of property	Permanent	Archive	Business requirement		Amended Action from "Destroy"? 2014-07
<b>18.006.010</b>	Sale or disposal - Correspondence and other papers.		Date of sale	5 years	Destroy	Business requirement		
<b>18.006.011</b>	Servitudes and wayleaves		Deeds, titles and plans to be retained permanently.	Deeds granted kept permanently.	Retain	Business requirement		
<b>18.006.012</b>	Servitudes and wayleaves - Correspondence and other papers		Date of grant of deed.	5 years	Destroy	Business requirement		
<b>18.006.013</b>	Copyright	Advice on IPR and copyright ownership.	Date superseded.	Nil	Destroy	Business requirement		
<b>18.006.014</b>	Trusts	Correspondence/admin papers.  Trust doc being kept permanently with council's deeds	Date superseded.	10 years	Destroy	Business requirement		
<b>18.01</b>	<b>Planning controls</b>							

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>18</b>	<b>LEGAL SERVICES</b>							
<b>18.007.001</b>	Certificate of Lawful Use or Development	Certificate	Date of agreement period expires.	5 years	Review	Statutory	Town and Country Planning (Scotland) Act 1997 and 2006	Moved citation to notes column 2014-07
<b>18.007.002</b>	Certificate of Lawful Use or Development	Other documentation	Date of certificate.	20 years	Destroy	Business requirement	Prescription & Limitation Act (Scotland) Act 1973 and 1984	Moved citation to notes column 2014-07

## 19. LEISURE & CULTURE

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>19</b>	<b>LEISURE &amp; CULTURE</b>	<b>The function of providing cultural, leisure and sports facilities and activities for people in the council area, and of promoting sports and the arts in the region.</b>	<b>Culture, leisure and sport;</b>	
<b>19.001</b>	Allotments	Activities involved in developing, maintaining and renting out allotment sites	activities cross planning and council property functions but are included here in line with the LGCS	Planning - allotments
<b>19.002</b>	Archives	The activities involved in managing archives collections held in the archive centre; The activities involved in providing access to archives collections held in the archive centre, and in encouraging and helping people to discover and exploit them; The activities involved in developing and delivering services for users of the archive centre.		Archives - general information
<b>19.003</b>	Arts			Arts - development; Arts - information
<b>19.004</b>	Community facilities			Council - commercial activities - equipment hire - civic events; Grants - community facilities; Conference, hall and meeting room hire;
<b>19.005</b>	Leisure promotion	See Schedule 20 Management		Coastline - events; Countryside - events; Parks and open spaces - events; Countryside - educational packs; Countryside - general information; Countryside - visitor centres; Exhibitions - temporary; Social services - inclusion - leisure and social activities; Sports - fishing - information



REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
19	LEISURE & CULTURE	The function of providing cultural, leisure and sports facilities and activities for people in the council area, and of promoting sports and the arts in the region.	Culture, leisure and sport;	
19.006	Libraries			Libraries - catalogues; Libraries - children's services; Libraries - computers and the internet; Libraries - European Public Information Centre (EPIC) network; Libraries - fines; Libraries - general information; Libraries - how to join; Libraries - information services Libraries - loan renewals Libraries - local collections Libraries - mobile library service Libraries - online information resources Libraries - reserving books and other items Libraries - sale of old books and publications Libraries - Scottish Parliamentary information Libraries - special collections Libraries - special needs Libraries - toy libraries
19.007	Museums and Art Galleries			Museums and galleries - loans donations and bequests Museums - collections Museums - events and exhibitions Museums and galleries - enquiries Museums and galleries - general information Museums and galleries - shops
19.008	Cinemas and theatres			
19.009	Parks and open spaces			Parks and open spaces - maintenance Parks and open spaces - outdoor Parks and open spaces - general information
19.010	Sports			Grants - sporting clubs Sports - clubs - directory Grants - sports Sports - development Education - sports - coaching

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>19</b>	<b>LEISURE &amp; CULTURE</b>	<b>The function of providing cultural, leisure and sports facilities and activities for people in the council area, and of promoting sports and the arts in the region.</b>	<b>Culture, leisure and sport;</b>	
<b>19.011</b>	Sports facilities		Leisure centres	Sports - information and booking Sports - equipment hire Council passes - leisure and sport Sports - golf - municipal courses Leisure and sport - outdoor activity centres Sports - facilities - information Sports - pitches and courts
<b>19.012</b>	Tourism	See Schedule 09 Economic Development		Tourism - accommodation - camping and caravan sites Tourism - tourist information centres Tourism - zoos and farm parks

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
N/A	invoicing, budgeting etc..	See Schedule 12: Finance						
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
N/A	management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
N/A	strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
N/A	Tendering and contracts management	See Schedule 22: Procurement						
<b>19.001</b>	<b>Allotments</b>							
<b>19.001.001</b>	Establishment, development and closure of an allotment site		Closure of site	5 years	Destroy	Business requirement		
<b>19.001.002</b>	Maintenance of infrastructure and facilities at an allotment site		End of current year	5 years	Destroy	Business requirement		
<b>19.001.003</b>	Processing of an application for rental of an allotment plot or to erect a structure, where the application is rejected.		End of current year	1 year	Destroy	Business requirement		

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.001.004</b>	Processing of an application for rental of an allotment plot or to erect a structure, where the application is approved.		Termination of rental	1 year	Destroy	Business requirement		
<b>19.002</b>	<b>Archives</b>							
<b>19.002.01</b>	Accession register			Permanent	Retain for historical value	Business requirement		
<b>19.002.02</b>	Catalogue of all archival holdings held by the Council			Permanent	Retain for historical value	Business requirement		
<b>19.002.03</b>	Depositor records	including liaison with owner on conditions of donation	End of life of deposit	5 years	Destroy	Business requirement		
<b>19.002.04</b>	Loans to third parties	loan agreement	End of loan period	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Moved citation to notes 2014-07
<b>19.002.05</b>	Loans to third parties	record of loan	End of life of deposit	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Moved citation to notes 2014-07
<b>19.002.06</b>	Loans from third parties	record of loan	End of loan period	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Moved citation to notes 2014-07
<b>19.002.07</b>	Conservation records		End of life of deposit	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Moved citation to notes 2014-07
<b>19.002.08</b>	Register of individual visitors to the archives centre.	Visitors' Books Visitor Registration Forms user database	Current	5 years	Destroy	Business requirement	Security purposes	

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.002.09</b>	Research services		End of current year	5 years	Review for re-use value	Business requirement	Used for compilation of info for future work plans, FAQs on a collection etc.. For Financial records relating to fee payment see Schedule 12: Finance	
<b>19.002.10</b>	Reprographic services provision - where no fees charged	Copying/Photographic orders, copyright forms	End of financial year	3 years	Destroy	Business requirement	Copyright Act 1988. For Financial records relating to fee payment see Schedule 12: Finance	Moved citation to notes 2014-07
<b>19.002.11</b>	Environmental monitoring	Temp/RH reading records	End of current year	5 years	Destroy	Business requirement	BS 5454	
<b>19.002.12</b>	Environmental monitoring	Report on environmental conditions		Permanent	Retain	Business requirement	BS 5454	
<b>19.002.13</b>	Production of archives	Production/Request slips	End of current year	3 years	Destroy	Business requirement		
<b>19.002.14</b>	Archival item withdrawal	Record of withdrawal	Withdrawal plus 20 years	Permanent	Retain for historical value	Business requirement		
<b>19.003</b>	<b>Arts</b>							
<b>19.003.001</b>	Arts development programme, project or event where Council is initiator or pays keys role	bids for funding from external organisations, organisation of sponsorship, collaboration with national, regional or local arts organisations, communications with artists/performers	End of programme/event	5 years	Review for historical and business value;	Business requirement		

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.003.002</b>	Artist details	Records documenting details of artists and their work.	End of calendar year	3 years	Review for ongoing value	Business requirement		
<b>19.003.003</b>	Advice and assistance given to a community arts project		End of project	3 years	Destroy	Business requirement		
<b>19.004</b>	<b>Community facilities</b>							
<b>19.004.001</b>	Business/ private hire applications	applications and booking forms	End of current year	5 years	Review	Business requirement	Prescription and limitation (Scotland) Act 1973 (as amended)	Moved citation to notes 2014-07
<b>19.004.002</b>	Subsidised rate (Category 2 forms) - Successful applications		End of financial year	5 years	Destroy	Business requirement	Prescription and limitation (Scotland) Act 1973 (as amended)	Moved citation to notes 2014-07
<b>19.004.003</b>	Subsidised rate (Category 2 forms) - Unsuccessful applications		End of financial year	1 year	Destroy	Business requirement		
<b>19.005</b>	<b>Leisure promotion</b>	<b>See Schedule 20: Management</b>						
<b>19.006</b>	<b>Libraries</b>		See Schedule 10: Education and Skills for School Library Services					
<b>19.006.001</b>	Book ordering		End of financial year	6 years	Destroy	Statutory		
<b>19.006.002</b>	Catalogue	On line database or paper lists	Superseded	Permanent	Retain for historical value	Business requirement		Added detail to Description and added trigger.
<b>19.006.003</b>	Fines		End of financial year	6 years	Destroy	Statutory		
<b>19.006.004</b>	Library development records	Stock plans, reader development	Superseded	3 years	Destroy	Business requirement		
<b>19.006.005</b>	Inter-library loan agreements		End of loan period	5 years	Destroy	Business requirement		

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.006.006</b>	Community information files	details of local groups, community organisations etc	Superseded	1 year	destroy	Business requirement	Maintain current only, and update as required	
<b>19.006.007</b>	Membership	registration and renewals	Termination	1 year	Destroy	Business requirement	Data Protection Act 1998	
<b>19.006.008</b>	Public access IT administration	Acceptable use of IT/registration form	Termination	5 yrs	Destroy	Business requirement	Prescription & Limitation Act Data Protection Act 1998	
<b>19.007</b>	<b>Museums and Art Galleries</b>							
<b>19.007.001</b>	Depositors agreements			Permanent	Retain for historical value	Business Requirement		
<b>19.007.002</b>	Loans to third parties	loan agreement	End of loan period	5 years	Destroy	Business requirement		
<b>19.007.003</b>	Loans to third parties	record of loan	End of life of deposit	5 years	Retain	Business requirement		
<b>19.007.004</b>	Loans from third parties	record of loan	End of loan period	5 years	Retain	Business requirement		
<b>19.007.005</b>	Museum catalogue		Superseded	Nil	Review for historical value	Business requirement		
<b>19.007.006</b>	Museum development records		Superseded or project closure	3 years	Review for historical value	Business requirement		
<b>19.007.007</b>	Accreditation - notification of registered status	working documents	Whilst relevant	3 years		Business requirement		
<b>19.007.008</b>	Accreditation.	notification of registered status		Permanent	Retain for historical value	Business requirement		

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.007.009</b>	Environmental monitoring	Temp/RH reading records	End of current year	5 years	Destroy	Business requirement	required for Accreditation	
<b>19.007.010</b>	Environmental monitoring	Report on environmental conditions		Permanent	Review for historical value	Business requirement	required for Accreditation	
<b>19.007.011</b>	Gallery /museum object withdrawal			Permanent	Review for historical value	Business requirement		
<b>19.008</b>	<b>Cinemas and Theatres</b>							
	Events management & promotion	See Schedule 20 - Management						
	Contracts management e.g. with artists for performances	See Schedule 22 - Procurement						
	Financial management	See Schedule 12 - Finance						
<b>19.009</b>	<b>Parks and open spaces</b>							
<b>19.009.001</b>	Adoption of land as a public open space or recreational facility			Permanent Until disposed of plus 20 years	Retain for business and historical value	Business requirement	Prescription and limitation (Scotland) Act 1973 (as amended)	Moved citation to notes 2014-07
<b>19.009.002</b>	Development of land as a public open space or recreational facility		Closure of amenity	5 years	Destroy	Business requirement		
<b>19.009.003</b>	Maintenance of infrastructure and facilities on public land or in a recreational facility		End of current year	5 years	Destroy	Business requirement		
<b>19.009.004</b>	Closure of a public open space or a recreational facility		Closure of amenity	20 years	Destroy	Business requirement	Prescription and limitation (Scotland) Act 1973 (as amended)	Retention period amended from 5 years - 2014-07



Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
	Events management & promotion	See Schedule 20 - Management						
	Land & property management	See Schedule 5 - Council Property						
	Health and Safety e.g. water testing; equipment inspections e.g. children's playground equipment , accident reports etc..	See Schedule 13 Health & Safety						
<b>19.01</b>	<b>Sports</b>							
<b>19.010.001</b>	Sports coach training	the development of a training programme for sports coaches	Completion of training programme	5 years	Review for business value	Business requirement		
<b>19.010.002</b>	Sports coach training	the administration of a training programme for sports coaches	Completion of training programme	1 year	Destroy	Business requirement		
<b>19.010.003</b>	Advice and assistance given to a community sports project		End of project	3 years	Destroy	Business requirement		
<b>19.010.004</b>	Records documenting the development of a sport development programme to encourage participation and progression in sport.		Completion of development programme	5 years	Review for business value	Business requirement		
<b>19.011</b>	<b>Sports &amp; Leisure Facilities</b>							
<b>19.011.001</b>	Membership	Registration and renewals	Termination	1 year	Destroy	Business requirement	Data Protection Act 1998	Moved citation to notes 2014-07
<b>19.011.002</b>	Bookings	booking forms including equipment bookings	End of financial year	1 year	Destroy	Business requirement	Data Protection Act 1998	Moved citation to notes 2014-07
	Events management & promotion	See Schedule 20 - Management						

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
	Contracts management e.g. with outsourced services	See Schedule 22 - Procurement						
	Health and Safety e.g. pool test sheets; equipment testing, accident reports etc..	See Schedule 13 Health & Safety						
	Financial records - including ticket sales	See Schedule 12 - Finance						
<b>19.012</b>	<b>Tourism</b>		<b>See Schedule 09: Economic Development</b>					

## 20. MANAGEMENT

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>20</b>	<b>MANAGEMENT</b>	<b>Management of corporate activities. Includes policies and procedures</b>		
<b>20.001</b>	Ceremonial	<p>Management of ceremonial events; The activities involved in planning and co-ordinating civic events.</p> <p>Civic events includes: civic ceremonies; civic hospitality events; official visits to the Council. Also includes the activities involved in arranging for the Council to be officially represented at events, ceremonies etc. other than those which the Council organises.</p> <p>Activities include: making arrangements for transport, accommodation, catering, media coverage and other arrangements appropriate to the event.</p>	Civic Event Management Civic Representation; Sometimes under Governance function	360 - Mayor - invitations
<b>20.002</b>	Communication support	Supporting communication with and around the Council. Includes . . Interpreting and translation, Mail processing, Publication, Staff communications		<p>169 - Languages - translating and interpreting services</p> <p>367 - Statistics - census information</p> <p>659 - Council - publications</p> <p>827 - Council - commercial activities - sundry items and publications</p>
<b>20.003</b>	Corporate communication	Communication with the public and other external bodies including the media, other local authorities, parliament, central government and other public sector bodies - for purposes of promoting the Council and its services;	Public relations, Campaigns, Corporate branding, Corporate publicity, Graphic design, Marketing, Media cuttings, Media liaison, Media releases, Public relations	359 - Council - news and information releases

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>20</b>	<b>MANAGEMENT</b>	<b>Management of corporate activities. Includes policies and procedures</b>		
<b>20.004</b>	Enquiries and complaints	Processing of enquiries and complaints to the Council .	Comments and complaints; Customer Relations Management (CRM); Appeals; Complaints; Complaints to Ombudsman; Compliments; Customer profiling; Customer satisfaction; Stage 1 complaints; Stage 2 complaints	653 Council - performance - customer satisfaction surveys 353 Complaints - procedure
<b>20.005</b>	External audits			
<b>20.006</b>	Preparing business	Includes Meetings, Officer representation and Partnership and agency working		
<b>20.007</b>	Project Management	Start up, Initiation and delivery, Closure, Governance		
<b>20.008</b>	Quality and performance	Includes Assessments, Best value reviews, Inspections, Process mapping		725 Council - performance - indicators Business Process Improvement 1151
<b>20.009</b>	Statutory returns	Information passed on to central government as part of statutory requirements		
<b>20.010</b>	Strategic planning	The planning of a business operation or service; includes Business cases, Corporate initiatives, Organisational structure, Policies and procedures, Public consultation,		867 Council - consultation - service delivery

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.001</b>	<b>Ceremonial</b>							
<b>20.001.001</b>	Formal record of a civic event or an official visit to the Council	Visitors book, photographs, video and audio recordings, programme, text of speeches delivered, press cuttings, commemorative gifts	Date of last action	3 years	Review for archival value	Business requirement	Retain one set of records only - copies to be destroyed once business use concluded	Amended retention and disposal from Permanent/Retain. 2014-07
<b>20.001.002</b>	Records documenting the planning of a civic event and/or official visit to the Council		Date of last action	3 years	Destroy	Business requirement		
<b>20.001.003</b>	Formal record of official Council representation at events, ceremonies etc. other than those which the Council organises.	Photographs, video and audio recordings, programme, text of speeches delivered, press cuttings	Date of last action	3 years	Review for archival value	Business requirement		Amended disposal. 2014-07
<b>20.001.004</b>	Records documenting the planning of official Council representation at events, ceremonies etc. other than those which the Council organises.		Date of last action	3 years	Destroy	Business requirement		
<b>20.002</b>	<b>Communication support</b>							
<b>20.002.01</b>	Language translation services	Record of translation	Current year	3 years	Destroy	Business requirement	Offer to archivist once administrative use has concluded	
<b>20.002.02</b>	Mail processing	Incoming and outgoing mail logs and registers	Current	3 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.002.03</b>	Publications - major publications	Guides, books and other Council publications	Date published	Permanent	Retain	Business requirement	Retain one set of records only - copies to be destroyed once business use concluded. Comply with legal deposit requirements: <a href="http://www.nls.uk/about-us/what-we-are/legal-deposit">http://www.nls.uk/about-us/what-we-are/legal-deposit</a>	Added note on Legal Deposit 2014-07
<b>20.002.04</b>	Publications - minor publications	Guides, books and other Council publications	Date published	3 years	Sample for archival value	Business requirement	Retain one set of records only - copies to be destroyed once business use concluded. Comply with legal deposit requirements: <a href="http://www.nls.uk/about-us/what-we-are/legal-deposit">http://www.nls.uk/about-us/what-we-are/legal-deposit</a>	Added note on Legal Deposit 2014-07
<b>20.002.05</b>	Publications - preparatory records		Conclusion of campaign	1 year	Destroy	Business requirement		
<b>20.002.06</b>	Staff communications	Staff memos, newsletters	Administrative use ends	3 years	Destroy	Business requirement		
<b>20.003</b>	<b>Corporate communication</b>							
<b>20.003.001</b>	Campaigns - final outputs	Final outputs - presentations, leaflets	Conclusion of campaign	3 years	Sample for archival value	Business requirement	Retain one set of records only - copies to be destroyed	
<b>20.003.002</b>	Campaigns - preparatory records		Conclusion of campaign	1 year	Destroy	Business requirement		
<b>20.003.003</b>	Corporate identity and branding - artwork	Final artwork for corporate identity marks	Superseded	Permanent	Retain	Business requirement	Transfer to archives	Added trigger and note 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.003.004</b>	Corporate identity and branding - preparatory records	Records documenting the development of corporate style guides for official use of corporate identity marks.	Superseded	1 year	Destroy	Business requirement		
<b>20.003.005</b>	Marketing materials - final outputs	presentations, leaflets, posters	Superseded	3 years	Sample for archival value	Business requirement	Retain one set of records only - copies to be destroyed	
<b>20.003.006</b>	Marketing materials - preparatory records		Approval of final outputs	1 year	Destroy	Business requirement		
<b>20.003.007</b>	Communications with other public sector organisations	requests for information and other general correspondence	Last action	3 years	Review for archival and re-use value	Business requirement	Includes other Local Government authorities, Local Government organisations, Central Government departments and agencies and parliamentary organisations	
<b>20.003.008</b>	Consultations - Council responses to external consultations	Records documenting the Council's response to a consultation/survey carried out by an external organisation	Last action	3 years	Review for ongoing value	Business requirement		
<b>20.003.009</b>	Consultations - Council consultation of external organisations - Final outputs	Reports, presentations, anonymised statistics	Publication date	5 years	Review for ongoing value	Business requirement		
<b>20.003.010</b>	Consultations - Council consultation of external organisations - preparatory records	Records documenting the design of a consultation/survey.	Completion of survey/consultation	3 years	Review for ongoing value	Business requirement		



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.003.011</b>		Records documenting the administration of a consultation/survey.	Completion of survey/consultation	1 year	Destroy	Business requirement		
<b>20.003.012</b>		Records documenting a response from another organisation to a consultation/survey.	Completion of survey/consultation	1 year	Destroy	Business requirement		
<b>20.003.013</b>		Records documenting the analysis of responses to a consultation/survey.	Completion of survey/consultation	3 years	Destroy	Business requirement		
<b>20.003.014</b>	Media relations records - final outputs	Media reports, briefings, press releases, published version of a media interview,	Publication/release date	5 years	Review for archival and re-use value	Business requirement		
<b>20.003.015</b>	Media relations records - preparatory records	organisational records, drafts, correspondence	Last action	1 year	Review for archival and re-use value	Business requirement		
<b>20.003.016</b>	Media relations records - Media liaison		Date of last action	5 years	Review for archival and re-use value	Business requirement		
<b>20.003.017</b>	Media relations records - media coverage	Records documenting the monitoring of media coverage of the Council.	Current	5 years	Review for Archives	Business requirement		
<b>20.003.018</b>	Customer satisfaction surveys - survey design	Records documenting the design of the survey.	Completion of survey	3 years	Review of ongoing value / Review for Archives	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.003.019</b>	Customer satisfaction surveys - individual responses	Records documenting identifiable individual responses to the survey.	Completion of analysis of responses	None	Destroy	Statutory	Data Protection Act 1998 c. 29 Destroy immediately anonymised summaries have been created	
<b>20.003.020</b>	Customer satisfaction surveys - analysis	Records documenting summaries and analyses of responses to the survey.	Completion of survey	5 years	Review for archival and re-use value	Business requirement		
<b>20.003.021</b>	Public relations - Statistics, trends and customer satisfaction data	Anonymised summaries and reports	Current	5 years	Review for archival value	Business requirement		
<b>20.004</b>	<b>Enquiries and complaints</b>							
<b>20.004.001</b>	Comments and enquiries - case files	Records documenting the processing of customer comments and enquiries about the Council including responses	Last action on comments	1 year	Destroy	Business requirement	See also Information Management schedule for enquiries under Data Protection, Freedom of Information and Environmental Information legislation	
<b>20.004.002</b>	Comments and enquiries - analysis	Statistics and anonymised responses	Current	3 years	Review for archival and re-use value	Business requirement		
<b>20.004.003</b>	Complaints - case file	Records documenting the handling of a customer complaint.	Last action on complaint	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45;	Amended authority from Statutory
<b>20.004.004</b>	Complaints - analysis	Statistics and anonymised responses	Current	5 years	Review for archival and re-use value	Business requirement		
<b>20.004.005</b>	Complaints - register	Complaints Register	Current Paper-last entry Electronic-review yearly	10 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.005</b>	<b>External audits</b>							
	Refer to retention schedule of specific function that is being audited							
<b>20.006</b>	<b>Business preparation</b>							
	For Meetings, Officer representation and Partnership and agency working see Retention Schedule 8: Democracy							
<b>20.006.001</b>	Records documenting the Council's membership of a local government organisation.		Termination of membership	3 years	Destroy	Business requirement		
<b>20.006.002</b>	Records documenting the Council's representation in the work of a local government organisation.	Records of nominations to positions in the local government organisation.	Termination of membership	5 years	Review for archival and re-use value	Business requirement		
<b>20.007</b>	<b>Project Management</b>							
<b>20.007.001</b>	Projects funded by the Council - major records	Business case and proposal, Project plan, lessons learnt report, assessments, reviews - final versions and key drafts	Project close	6 years	Review for archival and re-use value	Business requirement		Amended retention from 25 years. 2014-07
<b>20.007.002</b>	Projects funded by the Council - preparatory records	minor drafts, correspondence, copies of financial and contractual records	Project close	6 years	Review for archival and re-use value	Business requirement	For records relating to the procurement of services in relation to projects see Retention Schedule 12 - Finance	

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.007.003</b>	Projects - funded through European and other external funds	All documentation relating to the project: Specifications, plans, reports, correspondence, consultations ..etc, Feasibility studies, copies of financial documents,	Closure of the European Funding Programme(s) which funded the project	3 years	Review for archival and re-use value	Statutory	Retention and Disposal depends on the length of funding programme and type of projects. Decision will be taken on a case-by-case basis. Grant offer may stipulate length of retention. Seek expert advice on European Funding.	Amended trigger, retention period and note 2014-07.
<b>20.008</b>	<b>Quality and performance</b>							
<b>20.008.001</b>	Assessments for accreditation, eg. Chartermark, IIP		Assessment completed	5 years Until superseded	Destroy	Business requirement		
<b>20.008.002</b>	Performance monitoring and review of quality, efficiency, or performance of a local authority service or unit - <b>major records</b>	Final reports - Best Value Review; Policy review; Strategic plan review; operational plan review	Approval of review report	5 years	Destroy	Business requirement		
<b>20.008.003</b>	Performance monitoring and review of quality, efficiency, or performance of a local authority service or unit - <b>preparatory records</b>	Supporting and preparatory documentation including minor drafts, correspondence, meeting records	Approval of review report	1 year	Destroy	Business requirement		
<b>20.008.004</b>	Inspections - external inspections received in relation to corporate or service specific performance management indicators (PFI)	Inspection report	Date of inspection report	5 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.008.005</b>	Process maps		When superseded or obsolete	3 years	Destroy	Business requirement		
<b>20.009</b>	<b>Statutory returns</b>							
<b>20.009.001</b>	Reports to government - Outputs	Final version of statutory performance data submitted	Date of return	5 years	Destroy	Business requirement		
<b>20.009.002</b>	Reports to government - preparatory records	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Current	2 years	Destroy	Business requirement		
<b>20.01</b>	<b>Strategic planning</b>							
<b>20.010.001</b>	Corporate initiatives		End of initiative	5 years	Review for re-use and archival value	Business requirement		
<b>20.010.002</b>	Records documenting the preparation of business for consideration by the Council's strategic management group/ Senior Management Team, and the record of discussion and decisions.	Agenda, reports/papers for consideration, minutes	Current year	Permanent	Retain	Business requirement		Added trigger 2014-07
<b>20.010.003</b>	Council Corporate Plan.		Superseded	Permanent	Retain	Business requirement		Added trigger 2014-07
<b>20.010.004</b>	Strategic service plan		Superseded	Permanent	Retain	Business requirement		Added trigger 2014-07
<b>20.010.005</b>	Operational service plan		Superseded	3 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.010.006</b>	Organisational structure		Superseded	1 year	Sample for archival value	Business requirement		
<b>20.010.007</b>	Corporate policies - master records	including significant records documenting policy development	Superseded	Permanent	Retain	Business requirement	Owning function and responsible service is responsible for ensuring that a master copy is held permanently;	Added trigger 2014-07
<b>20.010.008</b>	Corporate policies - Departmental/service copies		Superseded	None	Destroy	Business requirement		
<b>20.010.009</b>	Corporate policies - preparatory records		Authorisation of policy	1 year		Business requirement		
<b>20.010.010</b>	Service specific policies and procedures		Superseded	2 years	Sample for archival value	Business requirement		
<b>20.010.011</b>	Policy consultation - major policies	The process of consulting the public and staff in the development of significant policies of the local authority	Consultation completed	5 years	Destroy	Business requirement		
<b>20.010.012</b>	Policy consultation - minor policies	The process of consulting the public and staff in the development of minor policies of the local authority	Consultation completed	1 year	Destroy	Business requirement		

## 22. PROCUREMENT

REF	FUNCTION / Activity	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
22	PROCUREMENT	<b>Management of processes involved in arranging, tendering, managing contracts and other purchasing of the organisation.</b>		830 - Council - procurement - policy
22.001	Contracting	Documentation relating to contracts including monitoring supplier performance and taking action to deal with unsatisfactory performance; negotiating revisions and extensions to contracts. Also includes activities involved in supplier approval, purchasing goods, works or services where supplier approval and contract tendering is not required.  Activities include: authorising purchasing; obtaining estimates and quotations; placing orders; taking delivery of goods and taking action to deal with any in unacceptable condition;	purchasing; supplier; authorising purchasing; estimates; quotes; orders; goods delivery; supplier performance; monitoring; revisions; extensions	828 - Council - procurement - contracts lists 829 - Council - procurement - contracts management
22.002	Market information	General information on products that the authority might consider purchasing.		
22.003	Tendering	The activities involved in tendering Council contracts for the supply of goods, works or services above a predetermined value, or for other reasons, in accordance with Council policies and legislative requirements.  Activities include: drawing up contract specifications; defining tender evaluation criteria; issuing requests for tenders; controlling the receipt and opening of tenders; evaluating tenders; awarding contracts; reporting and publishing information about contract awards, in accordance with legislative requirements.	tenders; contract specification; tender evaluation; ITT; invitation to tender; tender evaluation; evaluation criteria; contract award;	



Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>22</b>	<b>PROCUREMENT</b>							
<b>22.001</b>	<b>Contracting</b>							
22.001.001	Approved supplier evaluation criteria records		Superseded	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45	Amended authority from Statutory - 2014-06
22.001.002	Invitations to prospective suppliers to apply for contract		Date of invitation for approval issued for current suppliers	3 years	Destroy	Business requirement		
22.001.003	Evaluations of applications for approval from prospective suppliers & notification of the outcome: <b>contracted suppliers</b>		End of approval	3 years	Destroy	Business requirement		
22.001.004	Evaluations of applications for approval from prospective suppliers & notification of the outcome: <b>rejected supplier</b>		Date unsuccessful notice issued	1 year	Destroy	Business requirement		
22.001.005	Contracted supplier lists or databases		When superceded	None	Destroy	Business requirement		
22.001.006	Contract management files	Including; Contract award letters and agreements, post-tender negotiations, service level agreements, compliance reports, performance reports, variations to contracts (revisions, extensions).	End of contract	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45 S.I. 1991 No. 2680 The Public Works Contracts Regulations 1991 S.I. 1993 No. 3228 The Public Services Contracts Regulations 1993 S.I. 1995 No. 201 The Public Supply Contracts Regulations 1995 S.I 2003/46 The Public Contracts (Works, Services and Supply) and Utilities Contracts (Amendment) Regulations 2003	Amended authority from Statutory - 2014-06 Removed reference to "Ordinary Contracts". 2014-06
								Series deleted. 2014-06.

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>22</b>	<b>PROCUREMENT</b>							
22.001.008	Records containing data on, and analyses of, performance against the plans for the implementation of the Council's procurement strategy		End of current financial year	5 years	Destroy	Statutory	S.I 1991/2680; S.I 1993/3228; S.I 1995/201; SI 2003/46	
22.001.009	Records of purchasing authorisation limits		Superseded	1 year	Destroy	Business requirement		
22.001.010	Internal authorisations for procurement		End of current financial year	1 year	Destroy	Business requirement		
22.001.011	Purchase ordering records (for VAT-registered bodies)	Purchase orders; goods received notes	End of current financial year	6 years	Destroy	Statutory	<i>Keeping VAT records</i> HMRC Reference: Notice 700/21 (October 2013)	Updated Note on HMRC guidance. Amended retention from 5 years. 2014-06
22.001.012	Information on tender and award of contracts made by an authority acting in the capacity of a Utility		Award of contract	4 years	Destroy	Statutory	Utilities Contracts ( Scotland) Regulations 2006 SSI 2006 No 2 Regulation 37 As amended by Public Contracts and Utilities Contracts (Scotland) Amendment Regulations 2009 SSI 2009 No 428 As amended by SSI 2009 No 439 By electronic means Reg 12	Series added 2014-06.
22.001.013	Register of contracts	Register of all an authority's current contracts	Expiration/ conclusion of contract	Nil	Delete	Statutory	Procurement Reform (Scotland) Act 2014. Section 35. The statutory requirement is that register entries for contracts cannot be deleted until the contract expires or is terminated. The authority may choose to keep the entries for a longer period for historical purposes.	Series added 2015-04
<b>22.002</b>	<b>Market information</b>							
22.002.001	Product evaluation		Current	None	Destroy	Business requirement	If part of a contract then until the contract ends plus 5 years	Note added 2014-06

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>22</b>	<b>PROCUREMENT</b>							
22.002.002	Product information		Current	None	Destroy	Business requirement		
<b>22.003</b>	<b>Tendering</b>							
22.003.001	Initial proposal	Business case/requisition; contract advertisement, statements of interest (successful); pre-qualification questionnaire (PQQ) and evaluation, draft and agreed specification, evaluation criteria, invitation to tender	End of contract	5 years	Destroy	Statutory	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	
								22.003.002 Series deleted. 2014-06.
22.003.003	Contract award reports (OJEU)		End of contract	5 years	Destroy	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45; S.I 1991/2680; S.I 1993/3228; S.I 1995/201; SI 2003/46	
22.003.004	Issue of Invitations to Tender and handling of incoming tenders records		Award of contract	1 year	Destroy	Business requirement	S.I 1991/2680; S.I 1993/3228; S.I 1995/201; SI 2003/46	

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>22</b>	<b>PROCUREMENT</b>							
22.003.005	Tender evaluation, negotiation and notification records <b>Unsuccessful tenders</b>		Award of contract	1 year	Destroy	Business requirement	S.I 1991/2680; S.I 1993/3228; S.I 1995/201; SI 2003/46; records relating to second and third choice contractors may be kept throughout contract to avoid re-tendering if successful contractor withdraws service	
22.003.006	Tender evaluation, negotiation and notification records <b>Successful tenders</b>		End of contract	5 years	Destroy	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45; S.I 1991/2680; S.I 1993/3228; S.I 1995/201; SI 2003/46	
								22.003.007 Series deleted. 2014-06.
22.003.008	Statistical reports to Scottish Government on contracts awarded		Date of creation	3 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45	Updated reference to Scottish Executive. Amended Authority from Statutory

## 24. RISK MANAGEMENT

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>24</b>	<b>RISK MANAGEMENT and INSURANCE</b>	The activities involved in anticipating incidents or events that would disrupt Council operations or services and developing incident response and recovery plans.  Activities include: testing response and recovery plans.	<b>Risk management</b>	410 - Business - food safety - risk assessment 123 - Housing - council - home insurance
<b>24.001</b>	Claims	Claims handling against the council.		124 - Housing - council - insurance claims
<b>24.002</b>	Insuring against loss	Insuring against loss.		
<b>24.003</b>	Risk management and business continuity	Business continuity in the event of a disaster or unforeseen event. Includes disaster recovery and business resilience plans.		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Notes Citation	Edit History
24	<b>RISK MANAGEMENT and INSURANCE</b>						
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.						
N/A	Invoicing, budgeting etc..	See Schedule 12: Finance					
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety					
N/A	Management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources					
N/A	Strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management					
N/A	Tendering and contracts management	See Schedule 22: Procurement					
<b>24.001</b>	<b>Claims</b>						
<b>24.001.001</b>	Claims processing	Claims records	Date all obligations and entitlements concluded <b>or</b> for minors, 16th birthday	5 years	Destroy	Business requirement Prescriptions and Limitations (Scotland) Act 1973 and 1984. For particularly serious or contentious cases or cases of proven negligence, consider retention up to 20 years. For cases of employer's liability, consider retention up to 40 years.	Authority amended from Statutory. Notes amended to offer options of 20 and 40 years in specific cases. 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Notes Citation	Edit History
<b>24</b>	<b>RISK MANAGEMENT and INSURANCE</b>						
<b>24.002</b>	<b>Insuring against loss</b>	<b>See also Finance RRS</b>					
<b>24.002.001</b>	Insurance policy document		Date all obligations and entitlements concluded.	5 years or Permanent	Destroy or Permanent	Prescriptions and Limitations (Scotland) Act 1973 and 1984.	
<b>24.002.002</b>	Certificate of insurance		Date all obligations and entitlements concluded.	5 years or Permanent	Destroy	Prescriptions and Limitations (Scotland) Act 1973 and 1984.	
<b>24.002.003</b>	Certificate of insurance: employers' liability insurance.		Date all obligations and entitlements concluded.	40 years or Permanent	Destroy or Permanent	Prescriptions and Limitations (Scotland) Act 1973 and 1984.	Forms part of the policy documentation
<b>24.002.004</b>	Policy and tender renewal documents.		Date policy renewed	5 years	Destroy	Business requirement	
<b>24.002.005</b>	Summary arrangements		Date superseded	Permanent - offer to archivist	Review for historical value	Business requirement	
<b>24.003</b>	<b>Risk management and business continuity</b>						
<b>24.003.001</b>	Business continuity planning	Approved plans	Date superseded	1 year	Destroy	Business requirement	



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>24</b>	<b>RISK MANAGEMENT and INSURANCE</b>							
<b>24.003.002</b>	Education	Campaigns	Date superseded	1 year	Destroy	Business requirement		
<b>24.003.003</b>	Business continuity plan - final approved version		Date superseded	5 years	Retain for historical value	Business requirement		
<b>24.003.004</b>	Business continuity plan - training programme development		Date superseded	5 years	Review for historical value	Business requirement		
	Business continuity - training programme delivery		Date superseded	1 year	Destroy	Business requirement		
<b>24.003.005</b>	Emergency response records.		Date of last action.	5 years	Review for historical value	Business requirement		
<b>24.003.006</b>	Risk register - assessment of the risk of an emergency occurring which would affect the Council's ability to carry out its functions		Date superseded	5 years	Review for historical value	Business requirement		
<b>24.003.007</b>	Valuations		Date superseded	5 years	Review for historical value	Business requirement		



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