



RETENTION AND DESTRUCTION SCHEDULE

September 2021
Version 11.3

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| Document Information | | | |
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| Manager | | Executive Manager – Governance and Law | |
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| Date | Version updated | New version number | Brief description of changes |
| 20/09/2021 | 11.2 | 11.3 | General statement added to document footer, and repeated in Sections 4 and 6, regarding moratorium on the destruction of children’s records, including pupil records, until outcome of Scottish Historical Abuse Inquiry is known. 8.19 to 8.20 – reference made to closure period and review of SEEMiS retention. 8.19 to 8.39 - relating to Pupil information – updated to take account of Pupils Educational Records (Scotland) Regulations 2003, and adoption of SCAARS retention periods. |

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RETENTION AND DESTRUCTION SCHEDULE

This Retention and Destruction Schedule has been created to support officers and elected members of the Shetland Islands Council in the areas of Data Protection, Freedom of Information and the Local Government (Scotland) Act.

The Schedule has been developed to reflect an understanding of the administrative processes that give rise to records/file creation. The Schedule is independent of any particular format of record that might be historically created, (e.g. paper, card, electronic).

Records sentenced for destruction under the guidelines may be destroyed in accordance with the provisions of the Schedule. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation.

The Shetland Islands Council will hold notification of the records that have been destroyed in accordance with the Schedule.

Records for permanent preservation should be passed to the Council's Archivist of its permanent place of deposit.

OBJECTIVES OF THE SCHEDULE

The aims of the Schedule are to :

- Assist officers and elected members in identifying records that may be worth preserving permanently as part of the Council's archives.
- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration.
- Provide consistency for the destruction of those records not required permanently after specified periods.
- Promote improved Records Management practices within the Council.

TRANSFER OF RECORDS TO ARCHIVAL STORAGE

- Officers/elected members wishing to transfer permanent records to archival custody should contact the Archivist.
- The Data Protection Act provides an exemption for information about identifiable living individuals that is held for research, statistical or historical purposes to be held indefinitely, provided specific requirements are met.
- Records no longer required for administrative use may still retain sensitive information. The Archivist should be informed of sensitivity at the time of transfer of the material to the archives, and an appropriate closure period agreed. The closure period should comply with Freedom of Information legislation and the authority's policy.

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DESTRUCTION OF RECORDS

- Where there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.
- When records identified for disposal in the Schedule are destroyed, a Document Destruction Log Sheet should be completed and a register of such records needs to be kept. For records not covered by the Schedule contact Executive Manager - Governance and Law, Jan Riise. Enough details should be retained to identify which records have been destroyed.

AMENDMENTS TO THE SCHEDULE

- Any amendments to the Schedule should be forwarded to the Team Leader – Administration, Anne Cogle, for review and implementation. This is necessary to ensure that any amendments do not conflict with professional or statutory regulations or guidance.

This Retention and Destruction Schedule has been authorised by the Executive Management Team of Shetland Islands Council.

Date of first Issue: 13 December 2004

Updates: April 2005; August 2006; August 2007; October 2007; March 2008; September 2015; August 2016

Key:

| | | |
|------|---|--|
| Cy | = | Current Year |
| Cy+ | = | Current year plus the number of years stated |
| T | = | Terminate |
| D | = | Destroy |
| P | = | Permanent |
| A | = | Archive |
| CPC | = | Certificate of Practical Completion |
| CMGD | = | Certificate of Making Good Defects |

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DEMOCRATIC PROCESS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|--|--|-----------|
| 1 DEMOCRATIC PROCESS | | | |
| Elections | | | |
| 1.1 Preparation | | | |
| 1.2 Activities undertaken in preparing for an election | Destroy 5 years from date of election | <ul style="list-style-type: none"> • Notices of Appointment • Notices of Candidature • Declarations • Returning Officer Correspondence | |
| 1.3 Review | | | |
| 1.4 Voting | Destroy 6 months from date of election | <ul style="list-style-type: none"> • Unused Ballot papers • Ballot Papers | Statutory |
| 1.5 Results | | | |
| 1.6 Declaration of results | Destroy 6 months from date of election | <ul style="list-style-type: none"> • Consolidated Returns of Votes Received | Statutory |

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DEMOCRATIC PROCESS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|---------------------------------------|--|---|--|--|
| Council and Committee Meetings | | | | |
| 1.7 | The process of preparing business for Council consideration and making the record of discussion, debate and resolutions | Permanent Transfer to Council Archives after administrative use is concluded Cy+6. Destroy 1 year after last action | <ul style="list-style-type: none"> • Council/Committee Minutes • Reports/Appendices to Minutes • Council/Committee Agenda Notices • Draft Reports/Comments | Common Practice Only the master/signed copies of Minutes to be retained in the archive. |
| 1.8 | Minute taking | Destroy after date of confirmation of the minutes | <ul style="list-style-type: none"> • Draft/Rough Minutes • Audio tapes | Common Practice |
| External Committee Meetings | | | | |
| 1.9 | The process of preparing business for External Committees consideration and making the record of discussion, debate and resolutions, where the local authority legally owns the record. | Permanent Transfer to Council Archives after administrative use is concluded Cy+6. | <ul style="list-style-type: none"> • Documents establishing the committee • Agendas • Minutes • Reports • Recommendations • Supporting documents such as briefing and discussion papers. | Common Practice Could relate to school clerking, partnerships, etc |

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DEMOCRATIC PROCESS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|--|----------------------------------|--|
| External Committee Meetings continued | | | |
| 1.10 | The process of preparing business for External Committees consideration and making the record of discussion, debate and resolutions, where the local authority does not own the record. | Destroy 1 year after last action | <ul style="list-style-type: none"> • Documents establishing the committee • Agendas • Minutes • Reports • Recommendations • Supporting documents such as briefing and discussion papers. |
| Elected Members | | | |
| 1.11 | | Cy+6 Destroy | <ul style="list-style-type: none"> • General Correspondence |

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ASSET MANAGEMENT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|----------------------------------|--|---|---|
| 2 ASSET MANAGEMENT | | | |
| Summary Assets Management | | | |
| 2.1 | See Property Management for real property assets. See Transport Management for vehicle assets. | | |
| 2.2 | Summary management reporting on the overall assets of the Local Authorities | Permanent Transfer to Council Archives after administrative use is concluded Cy+5. | <ul style="list-style-type: none"> • Schedules of Acquisitions • Consolidated Current Asset Reports • Annual Reports • Summary of Current Assets • Asset Registers <p style="text-align: right;">Common Practice</p> |
| 2.3 | The process of maintaining assets | Destroy 7 years after last action | <ul style="list-style-type: none"> • Garden maintenance • Cleaning • Painting • Ticket Machines (Ferries) |

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ASSET MANAGEMENT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--|---|
| Asset Monitoring and Maintenance | | | |
| 2.4 | Management systems that allow the monitoring & management of assets in summary form. | Destroy 7 years after the conclusion of the financial transaction that the record supports | <ul style="list-style-type: none"> • Subsidiary Asset Registers |
| 2.5 | The process of maintaining Plant, and equipment. | Destroy 7 years after sale or disposal of asset | <ul style="list-style-type: none"> • Service Records • Plant Files |
| 2.6 | Process of reporting and reviewing assets status | Destroy 2 years after administrative use is concluded. | <ul style="list-style-type: none"> • Routine Returns and Reports on Asset Status • Inventories • Stock takes • Surveys of Usage • Acquisition and Disposal Reports & Proposals |

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As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

ASSET MANAGEMENT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|---|------|
| Asset Acquisition and Disposal | | | |
| 2.7 Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets | Destroy 7 years after all obligations/entitlements are concluded. | <ul style="list-style-type: none"> • Legal Documents relating to the Purchase/Sale • Particulars of Sale Documents • Board of Survey • Leases • Applications for Leases, Licences & Rental Revision • Tender Documents • Conditions of Contracts • Certificates of Approval | |
| 2.8 Property Management | | | |
| 2.9 Reports to management on overall property of the Local Authority | Permanent Transfer to Council Archives after administrative use is concluded Cy+6. | <ul style="list-style-type: none"> • Consolidated Property & Buildings Annual Reports • Summary of Leased Property • Summary of Local Authorities Owned Property • Site Register • Register of Leases • Security Reports <ul style="list-style-type: none"> - assessment - implementation - corporate updates | |

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ASSET MANAGEMENT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|--|--|
| Property Development and Renovation | | | |
| 2.10 | The process of managing and undertaking renovations and development of a property | | |
| 2.11 | Management : buildings of "special interest" | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Project Specifications • Plans • Installation Manuals • Certificates of Approval <p style="text-align: right;">Common Practice</p> |
| 2.12 | Management : all other buildings | Retain for life of property or building | <ul style="list-style-type: none"> • Project Specifications • Plans • Installation Manuals • Certificates of Approval • Pier Files <p style="text-align: right;">Common Practice For asbestos see Health and Safety</p> |
| 2.13 | The action process | Destroy 7 years after the conclusion of the transaction that the record supports | <ul style="list-style-type: none"> • Work Orders • Tender Documents • Conditions of Contracts • <p style="text-align: right;">Common Practice</p> |

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ASSET MANAGEMENT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|------------------------------|--|--|--|---|
| Leasing And Occupancy | | | | |
| 2.14 | The process of managing leased property | Destroy 15 years after the expiry of the lease | <ul style="list-style-type: none"> • Lease Agreements • Rental Expenditure Authorities • Valuation Queries • Applications for Leases, Licences & Rental Revision | <p>Common Practice</p> <p>Some of the information other than the lease itself could be kept for a shorter period.</p> |
| Systems Management | | | | |
| 2.15 | The internal process to develop or extend the capabilities of a system used to support the activities of the local authority | Retain for life of system then Destroy | | |
| 2.16 | The process to Implement a system used to support the activities of the local authority | Destroy 7 years after last action | <ul style="list-style-type: none"> • Implementation Plan | |
| 2.17 | The process to Support and administer a system used to support the activities of the local authority | Destroy 5 years after last action | | |

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ASSET MANAGEMENT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-----------------------------|---|---|--|
| Transport Management | | | |
| 2.18 | The process of acquisition and disposal of vehicles through lease or purchase | Destroy 7 years after the disposal of the vehicle | <ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet Authorisation Numbers |
| 2.19 | The process of managing allocation & maintenance of vehicles | Destroy 7 years after the sale or disposal of the vehicle | <ul style="list-style-type: none"> • Approvals as Drivers • Allocations & Authorisations for Vehicles • Maintenance |
| 2.20 | The process of recording vehicle usage | Destroy 5 years after the sale or disposal of the vehicle | <ul style="list-style-type: none"> • Log Books • Vehicle Usage Reports • Vehicle Log Sheets • Sold Vessels - Ferries |
| 2.21 | Transport Operating Licenses | Destroy 2 years | <ul style="list-style-type: none"> • Vehicle Maintenance Records • Vehicle Log Books/sheets |

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ASSET MANAGEMENT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--------------------------|---|---|--|
| Insurance | | | |
| Policy Management | | | |
| 2.22 | The summary management of insurance arrangements | Permanent Transfer to Council Archives after administrative use is concluded. | <ul style="list-style-type: none"> Insurance Register |
| 2.23 | The process of insuring Local Authorities Officers, property, vehicles and equipment against negligence, loss or damage | Destroy 7 years after the terms of the policy have expired | <ul style="list-style-type: none"> Insurance Policies Correspondence |
| 2.24 | The process of renewing insurance policies | Destroy 2 years after the insurance policy has been renewed | <ul style="list-style-type: none"> Insurance Policy Renewal Records Correspondence |
| Claims Management | | | |
| 2.25 | The process that records insurance claims against the Local Authorities or Local Authorities Officers | Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age) | <ul style="list-style-type: none"> Claims Records Correspondence |

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ASSET MANAGEMENT

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|---|--|--|---|-----------------|
| 3 MANAGEMENT AND ADMINISTRATION | | | | |
| Corporate Planning and Reporting | | | | |
| 3.1 | The corporate planning and reporting activities of Local Authorities | Permanent Transfer to Council Archives after administrative use is concluded Cy+10. | <ul style="list-style-type: none"> • Corporate Plans • Annual Budgets • Strategy Plans • Business Plans • Annual Reports • Internal Audits and investigations • Audit Reports, Follow-Up Reports, Investigations and Reviews | Common Practice |
| 3.2 | The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions | Permanent Transfer to Council Archives after administrative use is concluded. | <ul style="list-style-type: none"> • Strategic Management Team Minutes | Common Practice |
| 3.3 | The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions | Destroy 3 years from closure | | Common Practice |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|------------------------------|---|
| Corporate Planning and Reporting | | | |
| 3.4 | The process of preparing business for Business Unit consideration and making the record of discussion, debate and resolutions | Destroy 3 years from closure | Common Practice |
| Statutory returns | | | |
| 3.5 | The process of preparing information to be passed on to central government as part of statutory requirements | Cy+10 Destroy | <ul style="list-style-type: none"> • Performance Indicators • Reports to Central Government Common Practice |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|---|---|---|--|--|
| Policy, Procedures, Strategy and Structure | | | | |
| 3.6 | Activities that develop policies, procedures, strategies and structures for the Local Authorities. | Permanent Transfer to Place of Deposit after administrative use is concluded Cy+10 | <ul style="list-style-type: none"> • Policy, Procedure, Precedent, Instructions • Organization Charts • Records relating to Policy Implementation and Development • Education plan • Asset management plan • Children' services Plan • Community Strategy • Community Plan • Community safety plan • Equalities Framework and Action Plan • Health Improvement Plan | Common Practice Change in current practice to cy+6 |
| 3.7 | The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines | Destroy 5 years from closure | Common Practice | |
| 3.8 | Management diaries | Cy+ 1 | Appointment diaries used by management | |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--------------------------------|--|--|--|
| Public Consultation | | | |
| 3.9 | The process of consulting the public and staff in the development of major policies of the local authority | Destroy 5 years from closure | Common Practice |
| 3.10 | The process of consulting the public and staff in the development of minor policies of the local authority | Destroy 1 year from closure | Common Practice |
| Enquires and Complaints | | | |
| 3.11 | The management in summary form of Enquiries directed to Council to solicit information of routine or non-routine nature Complaints directed to Council <i>Includes FOI enquiries or requests</i> | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Indexes • Registers Common Practice |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|-------------------------------|--|--|---|---|
| Information Management | | | | |
| 3.12 | The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively. | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Classification Schemes • Registers • Indexes • Authorised Lists of File Headings | Common Practice |
| 3.13 | The management of enquiries, submissions and complaints which result in significant changes to policy or procedures | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Reports • Returns • Correspondence | Common Practice |
| 3.14 | The management of detailed responses on Council actions, policy or procedures | Destroy 5 years after administrative use is concluded | <ul style="list-style-type: none"> • Reports • Returns • Correspondence | Common Practice |
| 3.15 | The management of routine responses on Council actions, policy or procedures | Destroy 2 years after administrative use is concluded | <ul style="list-style-type: none"> • Printed Material • Form Letters | Common Practice |
| 3.16 | The process that records the disposal of records | Destroy 6 years after last action | <ul style="list-style-type: none"> • Disposal Certificates • Destruction Log Sheets | Common Practice based on Limitation Act |
| Data Protection | | | | |
| 3.17 | <ul style="list-style-type: none"> • Subject Access Requests • Liaison Group Notes | Permanent | | |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|---|--|---|---|-----------------|
| Records Management | | | | |
| 3.18 | Permanent | <ul style="list-style-type: none"> • Information Requests • Liaison Group Notes | | |
| Quality and Performance Management | | | | |
| 3.19 | The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit. | Destroy 5 years from closure | <ul style="list-style-type: none"> • Best value Review | Common Practice |
| 3.20 | The process of assessing the quality, efficiency, or performance of a local authority service or unit | Destroy 2 years from closure | <ul style="list-style-type: none"> • Assessment form | Common Practice |
| Public Relations | | | | |
| Publications | | | | |
| 3.21 | The process of designing setting information for publication. | Destroy 3 years from last action | | Common Practice |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-------------------------------|---|--|---|
| Publications continued | | | |
| 3.22 | Process of interaction with the media | Destroy 3 years from closure | Common Practice |
| 3.23 | Media publications concerning local authorities | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Press cutting • Media reports Common Practice |
| 3.24 | The process of developing and promotion of Local Authorities Campaigns and events | Permanent Transfer to Place of Deposit after administrative use is concluded. | Common Practice |
| Civic And Royal Events | | | |
| 3.25 | The recording of ceremonial events and civic occasions | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Visitors Book • Audio Tapes • Video Tapes • Photographs • Newspaper Clippings Common Practice |
| 3.26 | The process of organising a ceremonial event or civic occasions | Destroy 7 years after administrative use is concluded | Common Practice |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|--|---|---|---|--|
| Registration of Births Deaths and Marriages | | | CHECK – Registration records are owned by NRS. | |
| 3.27 | Process of the summary registration of a birth, death or marriage | Permanent. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> Deaths register; Births Register; Marriage register | A3/A21 Handbook of Instructions to Registrars. Place of deposit may be SIC or GROS |
| 3.28 | Process of certification of the registration of a birth, death or marriage. | Destroy 3 years after last action | <ul style="list-style-type: none"> Form 11 (Medical Certificate) RR3 Re-Registration | A3/A21 Handbook of Instructions to Registrars. |
| 3.29 | Process of notification in relation to births, deaths and marriages | Destroy 3 years after last action | <ul style="list-style-type: none"> Notice of Marriage Hospital Returns Birth Cards | A3/A21 Handbook of Instructions to Registrars. |
| 3.30 | Spoiled extracts | Retain for current year +6 destroy. | | |
| 3.31 | Receipt Books | Retain for current year +6 destroy | | |
| 3.31 | Banking Reports | Retain for current year +6 destroy | | |
| Marriage Service | | | | |
| 3.32 | Process of conducting a marriage services | Destroy 3 years after action | E-mails (regarding procedure to be followed, availability of Registrar, etc.) | Common Practice |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--|--|
| Approved Places Licensing | | | |
| 3.34 Application to Licence approved places | Retain for one year after licence expires or new application has been received | <ul style="list-style-type: none"> • Applications • General Correspondence • Copy certificates • Approval of Marriage Places | |
| | Retain for one year | <ul style="list-style-type: none"> • Refusal for licence | |
| 3.35 Application to Licence approved places | Permanent | <ul style="list-style-type: none"> • Risk Assessment | Statutory. Health and Safety at Work Act |
| Registration Service - General | | | |
| 3.36 General Correspondence | Cy +3 years then destroy | <ul style="list-style-type: none"> • General correspondence • Suppliers Catalogues | Not including 'R' & 'M' letters |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---------------------------------|------------------------------|--|---|
| Area Support Teams (AST) | | | |
| Communications | | | |
| 3.37 | Contacts | Destroy 1 year from leaving date | Contact Details for volunteers and members |
| 3.38 | Enquiries | Destroy 6 years from enquiry closure | Enquiries received by the Clerk in relation to the AST or National Panel and responses to them |
| 3.39 | Events | Transfer after 3 years to CHS to review for historical value | Documentation relating to events held by members and volunteers |
| | | | CHS – Children’s Hearings Scotland |
| 3.40 | Meetings | Destroy 6 years from date of meeting | <ul style="list-style-type: none"> • Agendas for Panel and AST meetings • Minutes for Panel and AST meetings • Papers for Panel and AST meetings |
| Governance | | | |
| 3.41 | Complaints | Destroy 6 years from closure Destroy 6 months after completion if unsubstantiated | Complaints received by local authorities in relation to the National Children’s Panel |
| 3.42 | Records Management Disposals | Destroy 12 years from last action | Documentation relating to the disposal of records |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|--|---|------|
| 3.43 Finance | Destroy 7 years after the conclusion of the transaction | <ul style="list-style-type: none"> • Documentation relation to expenses claims, including travel • Documentation relating to invoices for equipment or services that are to be reclaimed from CHS • Receipts for equipment or services that are to be reclaimed from CHS | |
| People | | | |
| 3.44 Absence and Leave | Destroy 6 years from leaving date | Documentation relating to the recording and management of a Panel or AST member's leave of absence | |
| 3.45 Feedback | Destroy after 3 years | Feedback from panel and AST members attending training courses | |
| 3.46 Training Manuals, Materials and Content | Transfer after 3 years to CHS to review for historical value | Details of training delivered to panel and AST members, including presentation, seminars, course notes and papers | |
| 3.47 Training Records | Destroy 6 years from leaving date | Individual panel and AST member training records, including attendance records, awards and certificates | |
| 3.48 Training Requests | Destroy 6 years from leaving date | Documentation recording an individual's training needs or requests for specific training | |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---|------|
| 3.49 Exit Interviews | Destroy 6 years from leaving date | Details of exit interviews held | |
| 3.50 Resignations | Destroy 6 years from leaving date | Documentation relating to resignations handed in by Panel and AST members | |
| 3.51 Observations | Destroy 6 years from leaving date | Documentation relating to the monitoring of panel members | |
| 3.52 Advertisements | Destroy after recruitment campaign | Advertisements for vacant panel or AST roles | |
| 3.53 Application Forms – Successful Candidates | Destroy 6 years from leaving date | Applications for a vacant role as a volunteer – successful candidates | |
| 3.54 Application Forms – Unsuccessful Candidates | Destroy 6 months after campaign ends – unless individual has requested retention of details for the next campaign | Applications for a vacant position – unsuccessful candidates | |
| 3.55 Appointments | Destroy 6 years from leaving date | Details of appointments of Panel and AST members | |
| 3.56 Campaigns | Transfer after 3 years | Documentation relating to recruitment campaigns for panel and AST members | |
| 3.57 Disclosure/PVG Certificates | Destroy 6 months after appointment | Copies of completed disclosure/PVG certificates | |
| 3.58 Disclosure/PVG Summaries | Destroy 6 years from leaving date | Summary of disclosures/PVGs undertaken, dates completed and outcome | |
| 3.59 Expressions of Interest | Destroy 6 months after campaign ends unless individual has requested retention of details for the next campaign | Details of expressions of interest in volunteering for the Panel/AST | |
| 3.60 Feedback | Destroy 6 months after recruitment finalised | Written feedback provided to candidates | |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---------------------------------------|---|---|---|
| 3.61 | Interview Notes & Scoring – Successful Candidates | Destroy 6 years from leaving date | Notes and scoring from interviews of successful candidates for a volunteer role |
| 3.62 | Interview Notes & Scoring – Unsuccessful Candidates | Destroy 6 months after interview | Notes and scoring from interviews of unsuccessful candidates |
| 3.63 | Invites to Interview | Destroy 6 months after recruitment finalised | Details of invites to interview |
| 3.64 | Reappointments | Destroy 6 years from leaving date | Details of reappointments of panel and AST members |
| 3.65 | Recommendations | Destroy 6 years from leaving date | Recommendations made to the National Convener for appointment or reappointment |
| 3.66 | References | Destroy 6 months after recruitment finalised if candidate is unsuccessful Destroy 6 years after leaving if candidate is successful | References provided in support of an individual's application |
| Policy, Practice and Procedure | | | |
| 3.67 | Guidance and Manuals | Destroy once superseded | General guidance provided to Panel and AST members |
| 3.68 | Policies | Destroy once superseded | Established and agreed policies |
| 3.69 | Procedures | Destroy once superseded | Established and agreed procedures |
| 3.70 | Attendance Records | Destroy 6 years from leaving date | Documentation relating to attendance at hearings |
| 3.71 | Availability | Destroy after hearing | Documentation relating to the availability of panel members to attend hearings |
| 3.72 | Cancellations | Destroy after 3 years | Documentation relating to panel cancellations by members |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-----------------------|-------------------------------|--|------|
| 3.73 Non Availability | Destroy after 3 years | Documentation relating to the non availability of panel members to attend hearings | |
| 3.74 Rotas | Destroy 6 years after hearing | Rotas produced for children's hearings | |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|------------------------------|--------------------------------------|--|
| Children's Panel Advisory Committee | | | |
| 3.42 | Minutes Reports | Permanent | |
| Children's Panel Advisory Committee continued | | | |
| 3.43 | Agendas | Retain until superseded then destroy | |
| 3.44 | General Correspondence | Retain for 6 years then destroy | <ul style="list-style-type: none"> • Correspondence with other authorities • Consultation documents • Correspondence with Scottish Executive • Correspondence with Panel Members |
| 3.45 | Scottish Executive Guidance | Retain until superseded then destroy | |
| 3.46 | Children's Hearings Articles | Retain for 6 years then destroy | |
| 3.47 | Children' Hearings Reviews | Retain for 6 years then destroy | <ul style="list-style-type: none"> • Consultation documents |

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MANAGEMENT AND ADMINISTRATION

| | FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|------|--|---|----------------------------|-------------|
| 3.48 | Panel Members' Monitoring Forms and Training Records | Destroy 1 year after end of appointment | | |
| 3.49 | Seminar Reports | Retain for 3 years then destroy | | |

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|--|------|
| SCP/CPAC Training, Travel and Expenses | | | |
| 3.50 | Permanent | <ul style="list-style-type: none"> • Minutes • Reports | |
| 3.51 | Retain until superseded then destroy | <ul style="list-style-type: none"> • Agendas | |
| 3.52 | Retain for 1 year after end of appointment then destroy | <ul style="list-style-type: none"> • Individual Training Records | |
| SCP/CPAC Recruitment/appointments /Re-appointments | | | |
| 3.53 | Destroy 1 year after the event | <ul style="list-style-type: none"> • Training arrangements | |
| 3.54 | General Correspondence Cy+6 then destroy | <ul style="list-style-type: none"> • Correspondence with other authorities • Questionnaires • Recruitment Statistics • Correspondence with Panel Members | |

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MANAGEMENT AND ADMINISTRATION

| 3.55 | Recruitment campaign correspondence | Retain for 1 year after campaign then destroy | <ul style="list-style-type: none"> Application forms, reference, interview arrangements, etc | |
|---|--|--|---|--|
| | FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
| 3.5 | Appointments, Re-appointments and Resignations | Permanent | <ul style="list-style-type: none"> Correspondence with Scottish Executive Appointments Register | |
| 3.57 | | Retain 1 year after superseded then destroy | <ul style="list-style-type: none"> Guidance from Scottish Executive | |
| CPAC Complaint Handling/Monitoring procedures and Individual Cases | | | | |
| 3.58 | General Correspondence | Retain 1 year after superseded then destroy | <ul style="list-style-type: none"> Complaints procedures | |
| | | Retain 1 year after satisfactory conclusion of complaint | <ul style="list-style-type: none"> Correspondence relating to individuals complaints | (A note of the decision is placed on an individual's file and destroyed 1 year after appointment ends) |
| SCRA | | | | |
| 3.59 | General Correspondence | Retain for 6 years then destroy | <ul style="list-style-type: none"> Consultation exercises Reports | |
| 3.60 | SCRA code of practice and blueprint updates | Retain 1 year after superseded then destroy | | |

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MANAGEMENT AND ADMINISTRATION

3.61 Annual reports Retain for 3 years then destroy

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|---|--------------------------------|
| Safeguarders and Legal Representatives | | | |
| 3.62 General Correspondence | Retain for 6 years then destroy | <ul style="list-style-type: none"> • Correspondence with Scottish Executive • Recruitment information • Correspondence with Scottish Safeguarders Association • Correspondence with Panel Members | |
| 3.63 Appointments, Re-appointments and Resignations | Destroy 1 year after appointment ends | <ul style="list-style-type: none"> • Applications • CV's • References • Correspondence with Sheriff Principal | |
| 3.64 | Permanent | <ul style="list-style-type: none"> • Appointment Registers | |
| 3.65 Copies of Expenses Claims Forms | Retain for 3 years then destroy | | Original with Finance Services |
| 3.66 Training Information | Retain for 1 year after event then destroy | <ul style="list-style-type: none"> • Dates and information regarding training available | |

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MANAGEMENT AND ADMINISTRATION

| | | | | |
|------|--|---|---|-------------|
| 3.67 | | Retain for 1 year after appointment ends then destroy | <ul style="list-style-type: none"> Panel Members training records | |
| 3.68 | CoSLA Fees Guidance | Retain for 1 year after superseded | | |
| | FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
| | Curators ad Litem/Reporting Officers | | | |
| 3.69 | General Correspondence | Retain for 6 years then destroy | <ul style="list-style-type: none"> Correspondence with Panel Members Recruitment Information | |
| 3.70 | Copies of expenses claims | Retain for 3 years then destroy | | |
| 3.71 | Appointments, Re-appointments and Resignations | Retain for 1 year after appointment ends then destroy | <ul style="list-style-type: none"> Applications CV's References Correspondence with Sheriff Principal | |
| 3.72 | | Permanent | <ul style="list-style-type: none"> Appointment Registers | |
| 3.73 | Training Information | Retain for 1 year after event then destroy | <ul style="list-style-type: none"> Dates and information regarding training available | |
| 3.74 | | Retain for 1 year after appointment ends then destroy | <ul style="list-style-type: none"> Panel Members training records | |

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MANAGEMENT AND ADMINISTRATION

3.75 CoSLA Fees Guidance Retain for 1 year after superseded

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Disclosure Scotland

3.76 Copies of Disclosures Retain for 90 days then destroy

3.77 Disclosure Records Retain for 1 year after appointment ends then destroy

- Reference number
- Type of disclosure
- Date of issue
- Position

3.78 General Correspondence Retain for 6 years then destroy

3.79 Guidance Retain for 1 years after superseded then destroy

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MANAGEMENT AND ADMINISTRATION

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|--|---|
| Children's Panel Advisory Group | | | |
| 3.80 | Agendas Minutes Reports General Correspondence | Retain for 6 years then destroy | |
| Case Summaries and Procedures | | | |
| 3.81 | Case Summaries | Permanent | <ul style="list-style-type: none"> • Complaints |
| 3.82 | Procedures | Permanent | <ul style="list-style-type: none"> • Recruitment • Appointments • Complaints |
| Adoption and Fostering Panel | | | |
| 3.83 | Minutes | Permanent | |
| 3.84 | Reports | Retain until Minute of relevant meeting has been approved then destroy | |
| 3.85 | Appointments, Re-appointments and Resignations | Retain for 1 year after appointment ends then destroy | <ul style="list-style-type: none"> • Applications, References, etc |
| 3.86 | | Permanent | <ul style="list-style-type: none"> • Appointment Registers |
| 3.87 | General Correspondence | Retain for 6 years then destroy | |

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COMMUNITY SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|---|---|
| 4 COMMUNITY SERVICES | | | |
| <p style="color: red; margin: 0;">As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.</p> | | | |
| Adoption and Fostering | | | |
| 4.1 | Summary Process involved in checking the suitability of prospective adoptive parent and fosters carers. | Permanent. | <ul style="list-style-type: none"> • Adoption and Fostering panel minutes |
| 4.2 | Process involving individual case management of children looked after by the local authority. This includes children who have been adopted, within children's homes or fostered. | 75 years from DOB Note: if a fostered child dies before age 18 15 years from DOD | <ul style="list-style-type: none"> • Young Persons Being Looked After Files • Adoption Client Files • Natural parents file • Adoption allowance file • Fostering records |
| 4.3 | Process involving individual case management of families or adults who have Adopted children. | 75 years from DOB of child adopted. | <ul style="list-style-type: none"> • Adopted parent counselling files • Approved adopters |
| 4.4 | Process involved in checking the suitability of people to become adoptive parents or foster carers | Destroy 10 years from closure (Statutory period) | <ul style="list-style-type: none"> • Foster Carer's Files |

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COMMUNITY SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|--|---|--|
| 4.5 Process involved in checking the suitability of people to become adoptive parents or foster carers | Destroy after 25 years | <ul style="list-style-type: none"> Incident Reports | |
| "Looked After" Children | | | |
| 4.6 Systems that managers children looked after by the local authority in summary form. | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> Children's home register | Common Practice Closed for 50 years |
| 4.7 Process involving individual case management of children looked after by the local authority This includes children and young people: 1. Adopted via the local authority 2. In children's home 3. Fostered by local authority 4. On Custodianship orders 5. On residence Orders 6. Subject to supervision orders | 75 years from DOB Note if a child dies before age 18 15 years from DOD | <ul style="list-style-type: none"> Young Persons Being Looked After Files Looked after children client files Residential care children's file Privately fostered children's file Guardian ad litem files Children's home inspection records/log books | Common Practice Statutory Based Arrangements to Look After Children (Scotland) Regulations 1996 – reg. 12. *75 th birthday of 25 years from date of death if death occurs under 18 years of age. |
| 4.8 Process involving individual case management of families or adults who have fostered children in their care. | 35 years after carer has ceased to foster | <ul style="list-style-type: none"> Foster Carer files Supported lodging files | Common Practice |
| 4.9 Note: Foster care financial files see Finance | | | |

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COMMUNITY SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--|--|
| Child Protection | | | |
| 4.10 Process involving summary case management of children under the protection of local authority. | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Child Protection Register | Common Practice Closed for 70 years |
| 4.11 Process involving summary case management of adults convicted of Schedule 1 offences. | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Schedule 1 offenders | Common Practice Closed for 70 years |
| 4.12 Process involving Individual case assessment, investigation, registration, and management of children involved in child protection: a) Investigated, conferenced and registered b) Core assessment c) Investigated but not conferenced and registered | Destroy 35 years from D.O.B | <ul style="list-style-type: none"> • Child protection case files which have <ul style="list-style-type: none"> a) Conference minutes b) Core Assessment c) Investigation d) Registration | Common Practice Note: If a child protection case file is in regards to a child in care it is kept for the same length of time as the Adoption and fostering file for that child. 75 years from D.O.B. |
| 4.13 Process involving Individual cases involving initial assessment and provision of advice in regards child protection. | Destroy 5 years from closure | <ul style="list-style-type: none"> • Child protection files <ul style="list-style-type: none"> e) Initial assessment f) Advice only | Common Practice |

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COMMUNITY SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|---|-----------------|
| Children's Services – General | | | |
| 4.14 Children in Need (who have not been adopted or looked after and who have not been the subject of a child protection inquiry) | Destroy 10 years from closure. | | Common Practice |
| 4.15 Process involving individual case management of services or support to unaccompanied minors (Asylum Seekers) if not "looked after" | Destroy 10 years from closure. | | Common Practice |
| 4.16 Process involving individual case management of services or support to youths. | Destroy 25 years from DOB. Or destroy 10 years from last contact. | <ul style="list-style-type: none"> • Youth Service Client files • Youth Justice | Common Practice |
| 4.17 Process involved in assessing students' work during placement (Social Work – Community Care, Children & Families and Criminal Justice) | Destroy 3 years after final assessment | Portfolios for students | Best practice |

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COMMUNITY SERVICES

Special Educational Needs

| | | | | |
|------|--|-----------------------------|---|---|
| 4.18 | Process involving in assessing and providing Individual support for children who have need of special education support. | Destroy 35 years from D.O.B | <ul style="list-style-type: none"> • SEN files | Common Practice Main needs is to keep to protect against 'failure to educate claims' |
|------|--|-----------------------------|---|---|

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|----------------------|------------------|---------------------|------|
|----------------------|------------------|---------------------|------|

Family Support

| | | | | |
|------|--|-------------------------------------|--|-----------------|
| 4.19 | Process involving individual case management in the provision of support by the local authority to families. | 7 years file closure | <ul style="list-style-type: none"> • Parenting skills • Special education • Attendance records • Project files | Common Practice |
| 4.20 | Process involved in assessing a Family's' suitability in the care of children. | 25 years from DOB of youngest child | | Common Practice |

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COMMUNITY SERVICES

Adult and Elderly Case Files

| | | | | |
|------|---|--|---|-----------------|
| 4.21 | Process involving summary case management of services or support to adults. | Permanent Transfer to Place of Deposit after administrative use is concluded. | | Common Practice |
| 4.22 | Process involving in assessing and providing individual support for people with mental illness. | Destroy 10 years after last contact | <ul style="list-style-type: none"> • Mental Health files | Common Practice |
| 4.23 | Process involving in assessing and providing individual support for people with mental illness. | Destroy 5 years after last contact | <ul style="list-style-type: none"> • Case files – Mental illness – Curator Bonis | Common Practice |

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Adult and Elderly Case Files continued

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COMMUNITY SERVICES

| | | | | |
|------|--|--|---|---|
| 4.24 | Process involving in assessing and providing individual support or services for all other people. | Destroy 3 years after last contact | <ul style="list-style-type: none"> • Aids and Adaptations • Blind Welfare • Client Case Files • Day service provision • Deceased Clients (not Adoption/Fostering) • Elderly-Home Help • *General Welfare Sect 12 • Occupational therapy | Common Practice *Social Work (Scotland) Act 1968 |
| | | Cy Destroy (Cy+1 where medical involvement) | <ul style="list-style-type: none"> • Monitoring Records | |
| 4.25 | Process involved in assessing and providing individual support or services for adults with Learning Difficulties | Destroy 10 years after last contact | <ul style="list-style-type: none"> • Case files – Learning Disabilities Residential Care | Common Practice |
| 4.26 | Process involved in assessing and providing individual support or services for adults with Learning Difficulties | Destroy 10 years after last contact | <ul style="list-style-type: none"> • Client File – Learning Disabilities | Common Practice Client file - Health Board policy |
| 4.27 | Process involved in assessing and providing individual support or services for adults with Learning Difficulties | Destroy 75 years after last action | <ul style="list-style-type: none"> • Case files – Learning Disabilities Guardianship • Case files – Learning Disabilities – Secretary of State Case | Common Practice |

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COMMUNITY SERVICES

Adult and Elderly Case Files continued

| | | | | |
|------|--|--------------------------------|---|---|
| 4.28 | Documents relating to the operation of the establishment. | 25 years from closure of file. | <ul style="list-style-type: none"> • Diaries • Rotas • Daily logs • Inspections • Resident's/Client's Log Books • Resident's medical/progress notes | Common Practice Note information about the maintenance and repair of homes is under asset management |
| 4.29 | Documents relating to the day-to-day activities of Social Workers (see example of records) | Current year +1 | <ul style="list-style-type: none"> • Social Worker diaries | Note: If client information is contained in the diary, advice should be sought from Committee Services on the retention period. |

Program Management and Development

| | | | |
|------|--|------------------------------|--|
| 4.30 | Process involved in development of service or program for children. | Destroy 7 years from closure | |
| 4.31 | Process involved in provision of a service or programs to support the development of children. | 25 years from closure | <ul style="list-style-type: none"> • Attendance records • Course reports |
| 4.32 | Process involved in provision of services or programs to support the development of youths. | 15 years from closure | |

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COMMUNITY SERVICES

- 4.33 Process involved in provision of a service or program to adults. 7 years from last entry

Community Care Services

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COMMUNITY SERVICES

| | | | |
|------|--|--------------------|---|
| 4.34 | Process involved in the provision of services or programs to support Community Care Services | Cy+5 years Destroy | <ul style="list-style-type: none"> • Application for Community Care Services Contract • Application Form • Authorised providers list application form • Commissioning Community Care Services operations guidance – Care proposal budget pro-forma • Confirmation of service provided • Grant claim related forms • Standard letter to Finance requesting payment • Standard letter to voluntary organisations notifying amounts approved for individual applicants • Standard letter to applicant regretting no award. • Notification of Rates for Community Care Services |
|------|--|--------------------|---|

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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COMMUNITY SERVICES

Community Care Services Continued

| | | | |
|------|--|---------------------|--|
| 4.35 | Process involved in the provision of services or programs to support Community Care Services | Cy+25 years Destroy | <ul style="list-style-type: none"> • Grant applications, reports, copy certificates • PFA staff – notification of fee being chargeable • Registration staff-copy of applications, copy reports, copy certificates |
| 4.36 | Process involved in the provision of services or programs to support Community Care Services | Permanent | <ul style="list-style-type: none"> • Call up letter and service specification |

Social Care Standard Forms

| | | |
|------|--|--------------|
| 4.37 | A1 Assessment - board & lodgings | Cy+3 Destroy |
| 4.38 | A2 Residents contribution | Cy+5 Destroy |
| 4.39 | AA1 Adoption Allowance – payment authorisation | Cy+1 Destroy |
| 4.40 | AA2 Adoption Allowance record of payments | Cy+5 Destroy |

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

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COMMUNITY SERVICES

Social Care Standard Forms continued

| | | |
|------|---|---------------|
| 4.41 | AA3 Approved Adoption Allowance – Confirmation of Circumstances | Cy+5 Destroy |
| 4.42 | AA3A Adoption Allowance – Confirmation of Circumstances | Cy+5 Destroy |
| 4.43 | AA4 – Adoption Allowance – request for payment | Cy+1 Destroy |
| 4.44 | C3 – Independent Fund cash book | Cy+25 Destroy |
| 4.45 | C4 – Recreation cash book | Cy+25 Destroy |
| 4.46 | C5 – Holiday Allowance claim for reimbursement of VAT | Cy+5 Destroy |
| 4.47 | C9 – Confirmation | Cy+5 Destroy |
| 4.48 | CA1 – Clients a/c cash book | Cy+5 Destroy |
| 4.49 | CA2 – Clients a/c record book | Cy+5 Destroy |
| 4.50 | CA3 – Clients a/c Reconciliation sheet | Cy+5 Destroy |
| 4.51 | CA4 – Clients a/c bank reconciliation form | Cy+5 Destroy |

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COMMUNITY SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|---------------------|------|
| Social Care Standard Forms continued | | | |
| 4.52 | CA5 – Clients a/c letter of indemnity | Cy+1 Destroy | |
| 4.53 | CA6 - Clients a/c expenditure voucher | Cy+5 Destroy | |
| 4.54 | CL1 – Pocket money record book | Cy+5 Destroy | |
| 4.55 | CL2 – Savings record card | Cy+5 Destroy | |
| 4.56 | CL5 – Individual clothing record card | Cy+5 Destroy | |
| 4.57 | CL6 – Clothing imprest claim form | Cy+1 Destroy | |
| 4.58 | CL7 – Residents property record card | Cy+5 Destroy | |
| 4.59 | CL8 – Residents property in own keeping | Cy+1 Destroy | |
| 4.60 | CL9 – Clothing imprest request for cash advance | Cy+1 Destroy | |
| 4.61 | CL10 – Property receipt | Cy+5 Destroy | |
| 4.62 | CS1 – Controlled stationery control sheet | Cy+5 Destroy | |

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COMMUNITY SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|--------------------------------|------|
| Social Care Standard Forms continued | | | |
| 4.66 | CS2 – Controlled stationery receipt | Cy+5 Destroy | |
| 4.64 | CS11 – Community Service log of work requested. | Cy+5 Destroy | |
| 4.65 | CS12 – Community Service Squad leader record | Cy+5 Destroy | |
| 4.66 | CS13 – Community Service receipt | Cy+5 Destroy | |
| 4.67 | DRSP1 – Resident's property register | Cy+5 Destroy | |
| 4.68 | DRSP2 – Residents property transfer form | Cy+5 Destroy | |
| 4.69 | DRSP3 – Property envelope | Retain until property released | |
| 4.70 | DRSP4 – Letter to QLTR Form A | Cy+5 Destroy | |
| 4.71 | DRSP5 – Letter to QLTR Form B | Cy+5 Destroy | |
| 4.72 | DRSP6 – Letter to Bank/Bdg Soc Form A | Cy+5 Destroy | |

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COMMUNITY SERVICES

| 4.73 | DRSP7 – Letter to Bank/Bdg Soc Form B | Cy+5 Destroy | | |
|---|--|------------------|---------------------|------|
| | FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
| Social Care Standard Forms continued | | | | |
| 4.74 | DRSP8 Letter to Insurance Company | Cy+5 Destroy | | |
| 4.75 | DRSP9 – Property/savings receipt | Cy+5 Destroy | | |
| 4.76 | DRSP10 – Property release form | Cy+5 Destroy | | |
| 4.77 | DRSP11 – Property gift form | Cy+5 Destroy | | |
| 4.78 | DRSP12 – Discharge form | Cy+5 Destroy | | |
| 7.79 | GA1 – General a/c record card | Cy+1 Destroy | | |
| 4.80 | GA2 – Expenditure voucher | Cy+1 Destroy | | |
| 4.81 | GA3 – General a/c reconc. Form | Cy+1 Destroy | | |
| 4.82 | GR1 – Remittance advice | Cy+5 Destroy | | |
| 4.83 | GT1 – Telephone income book | Cy+5 Destroy | | |
| 4.84 | H1 - Handcrafts-stock record book | Cy+3 Destroy | | |

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COMMUNITY SERVICES

| 4.85 | H3 – Handcrafts –sales record book | Cy+3 Destroy | | |
|---|---|---------------------|------|--|
| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
| Social Care Standard Forms continued | | | | |
| 4.86 | H4 – Handcrafts-finished crafts record | Cy+3 Destroy | | |
| 4.87 | IM1 – Income monitoring form | Cy+5 Destroy | | |
| 4.88 | IP1 – Suppliers a/c list | Cy+3 Destroy | | |
| 4.89 | ISR1 – Internal supplies requisition | Cy+1 Destroy | | |
| 4.90 | MF1 – Medical examination claim form | Cy+1 Destroy | | |
| 4.91 | MF2 – Sessional medic. exam fee claim visiting med officer for LA home etc. | Cy+1 Destroy | | |
| 4.92 | MF3 – Medical examination fees | Cy+1 Destroy | | |
| 4.93 | ML1 – Meals income return | Cy+5 Destroy | | |
| 4.94 | R1 – Standard receipt | Cy+6 Destroy | | |
| 4.95 | R2 – Receipt for sum passed to client | Cy+6 Destroy | | |
| 4.96 | R3 – Travel tickets receipt | Cy+6 Destroy | | |

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COMMUNITY SERVICES

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|---|--|--|---|-------------|
| 4.97 | RC1 – Request for cheque | Cy+6 Destroy | | |
| 4.98 | RMC3 – Residents accomm charges | Cy+6 Destroy | | |
| | FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
| Social Care Standard Forms continued | | | | |
| 4.99 | RMC3A – Residents accomm charges-wkly summary | Cy+6 Destroy | | |
| 4.100 | RMC4 – Residential accomm for elderly/disabled residents paying by monthly bankers s/o | Cy+1 Destroy | | |
| 4.101 | RMC4A Standing order authority | N/A | <ul style="list-style-type: none"> Submitted to bank | |
| 4.102 | RMC5 – Monthly maintenance return | Cy Destroy | | |
| 4.103 | RSI – Request for withdrawal from resident's/client's savings account | Cy+3 Destroy | | |
| 4.104 | S12/1 – Application for assistance | Retain for life of case file | | |
| 4.105 | S12/2 – Repayment agreement | Retain for life of case file | | |
| 4.106 | S12/3 – Section 12 loan record card | Retain for 5 years after repayment or write-off by auditor, then Destroy | | |

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COMMUNITY SERVICES

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|-------|---|--------------|
| 4.107 | S12/4 – Sect 12 loan records – Control card | Cy+5 Destroy |
| 4.108 | S12.5 – Reminder letter | Cy+5 Destroy |
| 4.109 | S12/6 – Final reminder | Cy+5 Destroy |

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|---------------------|------|
| Social Care Standard Forms continued | | | |
| 4.110 | S12/7 – Section 12 monthly return | Cy+1 Destroy | |
| 4.111 | TR – Travel requisition | Cy+1 Destroy | |
| 4.112 | TT1 – Request for travel tickets | Cy+1 Destroy | |
| 4.113 | TT2/TT3 – Travel requisitions/warrants | Cy+5 Destroy | |
| 4.114 | TT4 – Travel tickets memo | Cy+1 Destroy | |
| 4.115 | TT5 – BR warrants issued | Cy+5 Destroy | |
| Criminal Justice | | | |
| 4.116 | Process involved in the provision of services or programs to support the Council's Criminal Justice Service | | |

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COMMUNITY SERVICES

| | | |
|-------|-------------------------------|--------------|
| 4.117 | Alternative to Custody | Cy+3 Destroy |
| 4.118 | Case files – Criminal Justice | Cy+3 Destroy |

| | FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-------|--|----------------------------------|---------------------|------|
| | Criminal Justice continued | | | |
| 4.119 | Case files – <ul style="list-style-type: none"> • Circular 11/Schedule 1/ Sex Offenders • Life Licence • Life Parole • Probation (Sex Offenders) | Retain for 75 years then Destroy | | |
| 4.120 | Case files – Non Parole Licence | Retain for 5 years then Destroy | | |
| 4.121 | Case files – Parole Licence | Retain for 5 years then Destroy | | |
| 4.122 | Case files – Circular 11/Schedule 1/Sex Offenders | Retain for 75 years then Destroy | | |
| 4.123 | SER Requests and Reports | Retain for 5 years then Destroy | | |

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COMMUNITY SERVICES

| | | |
|-------|---|---------------------------------|
| 4.124 | Diversion Service - referrals | Retain for 5 years then Destroy |
| 4.125 | Diversion Service – assessments | Retain for 5 years then Destroy |
| 4.126 | Supervised Attendance Scheme case files | Retain for 5 years then Destroy |

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|----------------------|------------------|---------------------|------|
|----------------------|------------------|---------------------|------|

Criminal Justice continued

| | | |
|-------|---|----------------------------------|
| 4.127 | Intensive Probation referrals | Retain for 5 years then Destroy |
| 4.128 | Intensive Probation case files | Retain for 5 years then Destroy |
| 4.129 | Community Service Orders | Retain for 5 years then Destroy |
| 4.130 | Home Background Report | Retain for 5 years then Destroy |
| 4.131 | Home Leave Report | Retain for 5 years then Destroy |
| 4.132 | Case files – Probation (except Sex Offenders) | Retain for 5 years then Destroy |
| 4.133 | Case files – Probation (Sex Offenders) | Retain for 75 years then Destroy |

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COMMUNITY SERVICES

| | | |
|-------|--------------------------------------|----------------------------------|
| 4.134 | Case files – Life Licence | Retain for 75 years then Destroy |
| 4.135 | Case files – Voluntary Throughcare | Retain 5 years then Destroy |
| 4.136 | Offenders – Compensation orders | Retain 5 years then Destroy |
| 4.137 | Offenders – Fines supervision orders | Retain 5 years then Destroy |

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-----------------------------------|--|---------------------------------|--|
| Criminal Justice continued | | | |
| 4.138 | Case files – Offenders – Sects 198/406 | Retain for 5 years then Destroy | Criminal Procedure (Scotland) Act 1975 |
| 4.139 | Case files – Offenders – Sects 206/413 | Retain for 5 years then Destroy | Criminal Procedure (Scotland) Act 1975 |

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HOUSING SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|---------------------------|-------------------------|--|---|--|
| 5 HOUSING SERVICES | | | | |
| Housing Management | | | | |
| 5.1 | Current SIC House Files | Permanent | <ul style="list-style-type: none"> • Tenancy Agreements • Correspondence with Tenants and other parties regarding the property • Succession/Assignment papers • Evictions • Technical Inspection Reports • Property Condition Surveys • Letting information • Abandoned Tenancy Notices | The Scottish Secure Tenancies (Abandoned Property) Order 2002 SSI 2002 No 313 Regulation 8 |
| 5.2 | Sold House Files | See Retention & Destruction 5.5 Legal and Contracts, 8.17 Finance. Current plus 12 years after sale of house | | |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed. Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.

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HOUSING SERVICES

5.3 Demolished House Files See Retention & Destruction 5.5 Legal and Contracts, 8.17 Finance. Current plus 12 years after demolition of house

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--------------------------------------|------------------------------|---|------|
| Housing Management Continued | | | |
| 5.4 Garage & Garage Site Files | Permanent. | Garage Application forms / Allocations of garage / Correspondence letters relating to offers & refusals / Garage Tenancy Agreement. Garage Site folders show letter of transferring tenants and correspondence in relation to termination & re-let / Garage Site Tenancy Agreement. | |
| 5.5 Closed Housing Application Files | Destroy 7 years from Closure | <ul style="list-style-type: none"> • Housing Application Form • Correspondence with applicant and other agencies • Points Allocations • Offers of accommodation | |

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HOUSING SERVICES

| | | | |
|-----|-----------------------------------|------------------------------|---|
| 5.6 | Closed Homeless Application Files | Destroy 7 years from closure | Homeless Application Form Correspondence with applicant and other agencies |
|-----|-----------------------------------|------------------------------|---|

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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HOUSING SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--|------|
| 5.7 Temporary Accommodation | Permanent. | <ul style="list-style-type: none"> • Decorating and Furnishing of a leased property • New rent start sheets • Abandoned tenancies • Void inspections • Evictions | |
| 5.8 Section 5 and HHA nomination agreement plus annual policy reviews | Permanent. Paper copies do not need to be kept. | | |
| HOUSING GENERAL | | | |
| 5.9 Recording of Flexitime | Human Resources 6.8 on Retention & Destruction schedule recommends current + 2 years | Flexitime recording sheets | |
| 5.10 Health and Safety | Refer to Health and Safety section within SIC Retention & Destruction | <ul style="list-style-type: none"> • Fire safety - North Ness • Housing Forum • Newsletters • Risk Assessments • Risk Register • Staff Safety / accident books | |

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HOUSING SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--|--|
| Housing Asset Management and Technical | | | |
| 5.11 | Tender documents | See 5.10 Legal & Contracts of Retention Schedule | Tender documents, Quotations |
| 5.12 | Unsuccessful Tender documents | See 5.11 Legal & Contracts of Retention Schedule | Tender documents, Quotations |
| 5.13 | Asbestos Register | See 9.5 Retention Schedule Health & Safety. | |
| 5.14 | Refurbishment Payments | Current + 7 years (in house files) | |
| 5.15 | Transfer Payment Scheme | Current + 7 years (in house files) | |
| 5.16 | Refurbishment and Planned Maintenance projects | See 2.12 Retention Schedule Asset Management | Plans / Decanted Tenant folder created showing all actions / decisions / copy of signed plans, decant pack and move back details. Separate folder should be kept showing all agendas, minutes & contractors meetings |
| DLO | | | |
| 5.17 | Housing DLO Job Tickets | Current Year + 2 Destroy | |
| 5.18 | Copies of invoices | See 8.5 Retention Schedule Finance | |
| 5.19 | Timesheets | See 3.9 Retention Schedule Finance | |

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HOUSING SERVICES

5.20 Recharge documentation See 8.5 Retention Schedule Finance

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

5.21 Local orders See 8.5 Retention Schedule Finance

5.22 Copies of sick lines and SAL forms See 8.9 Retention Schedule Finance

5.23 Monitoring of staff leave See 6.8 Retention Schedule Human Resources

Annual Leave, Sick Leave & Compassionate Leave

5.24 Mobile Phone Bills Cy+2 Destroy

FINANCE

5.25 Overtime and TOIL Forms See 8.9 and 6.8 Retention Schedule Finance

5.26 Journals See 8.5 Retention Schedule Finance

5.27 Insurance Claims See 8.27 Retention Schedule Finance

5.28 Property Acquisition and Transfers Permanent.

Properties transferred from other owners

5.29 Travel Arrangements See 3.50-3.52 on Retention Schedule Management & Administration

HOUSING SUPPORT

5.30 Housing Support Plans for Sheltered Housing See 4.23 on Retention Schedule

Support Plan document

5.31 Housing Support Worker Diaries See Social Work information within Retention & Destruction - 25 years retention.

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HOUSING SERVICES

| | | | |
|------|------------------------|--|--|
| 5.32 | Outreach Support Plans | See Social Work information within Retention & Destruction - 25 years retention. | Housing Support Plans, Contact Monitoring forms & case notes |
|------|------------------------|--|--|

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HOUSING SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-------------------------------|--|--|---|
| POLICY AND INFORMATION | | | |
| 5.33 | Entering survey data | Destroy once logged onto recording spreadsheets. Electronic records kept. | <ul style="list-style-type: none"> • Repair Satisfaction Surveys • Homeless Satisfaction Surveys • Planned Maintenance Surveys • Tenant Satisfaction Surveys • Application Feedback Forms • Equal Opportunities Forms |
| 5.34 | Performance Indicators and Statistical information about service. | 3.5 on Retention Schedule, Management & Administration | |
| 5.35 | The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines. | 3.7 on Retention Schedule, Management & Administration | |
| 5.36 | Activities that develop policies, procedures, strategies and structures for the Local Authorities. | 3.6 on Retention Schedule, Management & Administration | |
| 5.37 | Service Plans | 3.1 on Retention Schedule, Management & Administration | |

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HOUSING SERVICES

| 5.38 | Monitoring and Review of Common Housing Register FUNCTION DESCRIPTION | Cy+10 years Retention Action | Minutes of reviews, actions taken, changes implemented. EXAMPLES OF RECORDS | Note |
|------|--|---|--|---|
| 5.39 | Intranet Internet | Destroy as soon as superseded | Information for internet and intranet pages. | |
| 5.40 | Advice and Information | Destroy as soon as superseded | Leaflets, Advertising & Factsheets | |
| 5.41 | Registered Tenant Organisations | Permanent | Registration documentation | Housing (Scotland) Act 2001. 2001 asp 10 Section 53 (3) |
| 5.42 | Archives | Current + 7 years. Paper copies not to be used. | Archive request & destruction requests, Archive and Disposal register | |
| 5.43 | | | | |
| 5.44 | The registration of individuals housing applications | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Council Housing Register | Common Practice |
| 5.45 | The process of applying for Council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file) | Destroy 7 years from closure | <ul style="list-style-type: none"> • Council housing application forms and supporting material • Application for transfer of tenancy and supporting papers | Common Practice. These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority. |

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LEGAL AND CONTRACTS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|-------------------------|---|--|--|-----------------|
| 6 LEGAL SERVICES | | | | |
| Litigation | | | | |
| 6.1 | The process of managing, undertaking or defending for or against litigation on behalf of the local authority. | Destroy 6 years after last action. Major litigation – offer to Archivist for review. | <ul style="list-style-type: none"> • Criminal case file • Childcare case file • Civil case file • Correspondence | Common Practice |
| 6.2 | Debt recovery in relation to council houses, where debt has been cleared and tenancy ended | Destroy 6 months after the later of the clearance of the debt or the ending of the tenancy | <ul style="list-style-type: none"> • Rent arrears cases | |
| 6.3 | Debt recovery in relation to unpaid Council invoices, where invoice has been paid | Destroy 6 months after date of payment of invoice | <ul style="list-style-type: none"> • Unpaid invoices | |
| Advice | | | | |
| 6.4 | The process of providing legal advice on a point of law. | Destroy 3 years after last action – unless major precedent then offer to Archivist for review. | | Common Practice |

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LEGAL AND CONTRACTS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--------------------------------|---|---|---|
| Agreements | | | |
| 6.5 | Process of agreeing terms between organisations. Note: this does not include contractual agreements | Destroy 6 years after agreement expires or is terminated | <ul style="list-style-type: none"> • Concordant <p>Common Practice</p> |
| Conveyance | | | |
| 6.6 | The process of transferring land ownership. | Destroy 10 years after closure | <ul style="list-style-type: none"> • Land charges • Conveyancing files <p>Law Society best practice recommendation.</p> |
| 6.7 | Council House Sales files | Cy+ 10 Destroy | Law Society best practice recommendation. |
| Contracts and Tendering | | | |
| Pre contract advice | | | |
| 6.8 | The process of calling for expressions of interest | Destroy 2 years after contract let or not proceeded with. | <ul style="list-style-type: none"> • Expressions of Interest <p>Common Practice</p> |

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LEGAL AND CONTRACTS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--|-----------------|
| Specification and Contract Development | | | |
| 6.9 The process involved in the development and specification of a contract | <ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired. • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired | <ul style="list-style-type: none"> • Tender specification <p>Note: For project files containing drafts leading to a final version these records can be destroyed.</p> | Statutory |
| Tender Issuing and Return | | | |
| 6.10 The process involved in the issuing and returns of a tender. | Destroy 1 year after start of Contract | <ul style="list-style-type: none"> • Opening notice • Tender envelope | Common Practice |
| Evaluation of Tender | | | |
| 6.11 Summary tender evaluation criteria | <ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired. • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired | Evaluation criteria | Statutory |

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LEGAL AND CONTRACTS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--------------------------------|--|--|--|
| 6.12 | <ul style="list-style-type: none"> • Successful tender document | <ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired. • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired | <ul style="list-style-type: none"> • Tender documents • Quotations <p style="text-align: right;">Statutory</p> |
| 6.13 | Unsuccessful tender documents | Destroy 1 year after start of Contract | <ul style="list-style-type: none"> • Tender documents • Quotations <p style="text-align: right;">Common Practice</p> |
| Post Tender Negotiation | | | |
| 6.14 | The process in negotiation of a contract after a preferred tender is selected. | Destroy 1 year after the terms of contract have expired | <ul style="list-style-type: none"> • Clarification of contract • Post tender negotiation minutes <p style="text-align: right;">Common Practice</p> |
| Awarding of Contracts | | | |
| 6.15 | <ul style="list-style-type: none"> • The process awarding of contract | <ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired. • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired | <ul style="list-style-type: none"> • Signed contract <p style="text-align: right;">Statutory</p> |

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LEGAL AND CONTRACTS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|-----------------------------|--------------------------------------|--|--|-----------------|
| Contract Management | | | | |
| 6.16 | Contract operation and monitoring | Destroy 2 years after the terms of contract have expired | <ul style="list-style-type: none"> • Service Level Agreement • Compliance • Performance | Common Practice |
| 6.17 | Management and amendment of contract | (a) <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired. (b) <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired | <ul style="list-style-type: none"> • Minutes and papers of meetings • Changes to requirements • Variation forms • Extension of contract • Complaints • Disputes on payment | Statutory |
| Justice of the Peace | | | | |
| 6.18 | Register of Justice of the Peace | Permanent. Offer to Archivist for review. Transfer to a place of deposit after administrative use is concluded. | | |

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LEGAL AND CONTRACTS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|----------------------------|---|---|--|
| Licensing | | | |
| 6.19 | Application for alcohol licenses | Retain for 6 years then Destroy | |
| 6.20 | Appeals re. alcohol license applications | Retain for 6 years then Destroy | |
| Licensing continued | | | |
| 6.21 | Register of applications – alcohol licenses | Permanent. Offer to Archivist for review. Transfer to a place of deposit after administrative use is concluded. | |
| 6.22 | Failure to renew/Withdrawn applications | Cy+ 5 Destroy | |
| 6.23 | Street traders licenses | Cy+5 Destroy | |
| 6.24 | Second-hand dealers licenses | Cy+5 Destroy | |
| 6.25 | Window cleaners licenses | Cy+5 Destroy | |
| Legal | | | |
| 6.26 | Conveyancing files | Cy+10 Destroy | Law Society best practice recommendation |

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LEGAL AND CONTRACTS

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---------------------|--|
| 6.27 Council House Sales files | Cy+10 Destroy | | Law Society best practice recommendation |
| 6.28 Litigation Files | Cy+10 Destroy. Offer sample to Archivist. | | Law Society best practice recommendation |
| 6.29 Title deeds | Permanent. Offer to Archivist for review. Transfer to a place of deposit after administrative use is concluded. | | |
| 6.30 Disposal files – Council owns no adjoining property | Cy+10 Destroy | | |
| 6.31 Disposal files – Council owns adjoining property | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded. | | |
| 6.32 Acquisition files | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded. | | As long as Council own property. |
| 6.33 Abandoned Tenancy Notices/ Notices to Quit | CY +5 destroy | | |

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HUMAN RESOURCES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|------------------|---------------------|------|
| 7.0 HUMAN RESOURCES Personal File Administration | | | |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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HUMAN RESOURCES

| | | | | |
|-----|--|---|--|--|
| 7.1 | Items to be held on Employee Personal Files held in Service Area/Department. | To be held for the duration of employment, and as per the Employee Records Checklist, then destroy 6 years from end of employment. When employees work with children and vulnerable groups, the personal file should be destroyed 75 years after end of employment. | <ul style="list-style-type: none"> ▪ Copy ID (List A & List B)* ▪ Application Form ▪ References ▪ Criminal Convictions Declaration Form ▪ Copy Qualifications ▪ Copy Conditions of Service ▪ Copy Register of Employee Interest Form ▪ Conditional & Unconditional Offer Letters ▪ Induction Information ▪ Copy Drivers Licence (where relevant) ▪ Training Requests/Certificates ▪ Flexible Working Requests ▪ Remote Working Requests ▪ Amendment to Employee Details Form(s) ▪ Secondments / UHD / Acting Up arrangements ▪ Maternity/Paternity Information ▪ Adoption Leave ▪ Redeployment Information ▪ TUPE Information ▪ Migrant Worker information* ▪ JE Information ▪ Retirement Information ▪ Working Beyond 65 Information ▪ Employee Review & Development Sessions - Supervision Notes | Common Practice * In line with the requirements of the UK Border Agency and the Immigration, Asylum & Nationality Act 2006. |
|-----|--|---|--|--|

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HUMAN RESOURCES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|----------------------|---|--|--|
| 7.2 | Held for the duration of the penalty. | <ul style="list-style-type: none"> ▪ Disciplinary materials | In line with the Disciplinary Policy |
| 7.3 | To be held until processed on CHRIS | <ul style="list-style-type: none"> ▪ New Employee Information Sheet | Common Practice |
| 7.4 | To be held until processed by Finance then should be destroyed. | <ul style="list-style-type: none"> ▪ Bank Mandate ▪ SAL Forms ▪ Pension Form | As recommended by Internal Audit |
| 7.5 | To be held separately for 90 days. | <ul style="list-style-type: none"> ▪ Disclosure Information | Requirement. |
| 7.6 | To be held separately for 1 year. | <ul style="list-style-type: none"> ▪ Working Time Regs – Opt-out Forms | Common Practice |
| 7.7 | To be held separately for 2 years. | <ul style="list-style-type: none"> ▪ Relocation Information | Employees are required to pay back expenses if they leave the Council before 2 years employment. |
| 7.8 | To be held separately for cy+2 | <ul style="list-style-type: none"> ▪ Flexible Working Hours Recording Sheets ▪ Absence Management Information ▪ Statements for Fitness ▪ Return to Work Interviews ▪ Public Duties - Jury Service ▪ Leave (e.g. annual leave, sick leave, special/personal leave, compassionate leave, study leave etc) ▪ Occupational Health Referrals/Reports - PRTW / Medicals required for the post | As recommended in the relevant Policies. |

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HUMAN RESOURCES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|--|---|
| PERSONNEL Administration | | | |
| 7.9 Summary management systems that allow the monitoring & management of employees in summary form. <u>Note: The summary information that this record class attempts to capture is as follows:</u> Name Date of Birth Date of Appointment Work History Details Position/Designation Titles & Dates Held | Permanent Cy+1 | <ul style="list-style-type: none"> ▪ Employee Register – Permanent Staff ▪ CHRIS – Create/Amend/End Post Forms ▪ BRO Memos | As recommended by Internal Audit |
| 7.10 The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements. | Destroy 6 years from end of employment. | <ul style="list-style-type: none"> ▪ Letter of appointment ▪ Letter of acceptance ▪ Educational qualifications ▪ Register of Employees Interests Forms (Legal and Administration will destroy their copy immediately they are informed employment has ended) ▪ Employment contracts | Staff who have had links with children (Social Work and Education) should be retained for 75 years. A record should also be kept information of the location the staff member worked at for Legal purposes. |

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HUMAN RESOURCES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|--|---|-----------------------------------|
| <p>Employee and Industrial Relations</p> <p>TUPE Transfers</p> | | | |
| 7.11 | <p>Process of negotiating terms and conditions for TUPE transfers.</p> <p>Information on terms and conditions negotiations should be held for 8 years.</p> <p>Original terms and conditions from before TUPE should be held for the duration of the employee's contract. Once contracts have terminated, personal files should be held as per 6.1 above.</p> | <ul style="list-style-type: none"> ▪ Notes from meetings ▪ Terms and conditions ▪ Employee records e.g. Contract of employment ▪ Job Profiles and Person Specifications | As recommended by Legal Services. |
| 7.12 | <p>Identification & development of significant directions concerning industrial matters</p> <p>Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.</p> | <ul style="list-style-type: none"> ▪ Generic agreements and awards ▪ Negotiations ▪ Disputes ▪ Claims lodged | |
| 7.13 | <p>Liaison processes of minor and routine industrial matters</p> <p>Destroy 2 years after administrative use is concluded.</p> | <ul style="list-style-type: none"> ▪ Daily Industrial relations management | Common Practice |

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HUMAN RESOURCES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---|--|
| 7.14 Processing of Disciplinary and Grievances Investigations where proved | Oral Warnings – Retain for 6 months then destroy Written Warnings – Retain for 9 months then destroy Final Written Warnings – Retain for 12 months then destroy Punitive disciplinary action short of dismissal in conjunction with a final written warning – retain for 18 months then destroy. | <ul style="list-style-type: none"> ▪ Warnings and other disciplinary action short of dismissal shall normally be expunged from a personal file after a period of satisfactory employment. ▪ Notes of disciplinary hearings where proved. ▪ Staffing Appeals Committee materials. | For all practical purposes this function would not be subject to records management as all disciplinary records will be held permanently in HR for reference purposes. |
| 7.15 Processing of Disciplinary Investigations where unfounded. | Destroy immediately after the disciplinary has been found to be unfounded or after appeal. | <ul style="list-style-type: none"> ▪ Notes of disciplinary hearings where unfounded. • Staffing Appeals Committee materials | Common practice. |
| 7.16 Processing of Grievance Investigations where proved. | Permanent. | <ul style="list-style-type: none"> ▪ Notes of grievance hearings where proved. • Staffing Appeals Committee materials | For all practical purposes this function would not be subject to records management as all grievance records will be held permanently in HR for reference purposes. This is in keeping with the Council's Grievance Procedure. |
| 7.17 Processing of Grievance Investigations where unfounded. | Destroy immediately after the grievance has been found to be unfounded or after appeal. | <ul style="list-style-type: none"> ▪ Notes of grievance hearings where unfounded • Staffing Appeals Committee materials | Common practice. |
| 7.18 Gross Misconduct / Dismissal following Disciplinary. | Permanent. Transfer to a place of deposit after administrative use is concluded. | <ul style="list-style-type: none"> ▪ Disciplinary Investigation materials. | Common practice. |

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HUMAN RESOURCES

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|---------------------------------------|--|---|--|
| General | | | |
| 7.19 | Destroy 1 year after documents have been superseded | <ul style="list-style-type: none"> ▪ SIC HR Policy documents ▪ SIC Procedure documents | |
| Pay and Grading | | | |
| 7.20 | Retain for 1 year after documents have been superseded then destroy | <ul style="list-style-type: none"> ▪ Job Descriptions ▪ Job Profiles ▪ Person Specifications | |
| 7.21 | Retain for 20 years after evaluation date then destroy | <ul style="list-style-type: none"> ▪ Evaluation Details/Results ▪ Job Evaluation Appeal Details | |
| Equal Employment Opportunities | | | |
| 7.22 | The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies. | Destroy 5 years after action completed | |
| Health and Well-being | | | |
| 7.23 | The process of checking and ensuring the health of staff | 75 years from the time the record was created. | <ul style="list-style-type: none"> ▪ Occupational Health Records ▪ Health questionnaire ▪ Medical clearance ▪ Adjustment to work place |

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HUMAN RESOURCES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|-------------------------|--|--|--|---|
| Recruitment | | | | |
| 7.24 | The selection of an individual for an established position | Destroy 1 year after recruitment has been finalised. | <ul style="list-style-type: none"> ▪ Restrictions ▪ Recommendations | Common Practice and in line with the requirements of the UK Border Agency and the Immigration, Asylum & Nationality Act 2006. |
| 7.25 | | Retain for 6 years from end of employment | <ul style="list-style-type: none"> ▪ Policies and Procedures ▪ Recruitment Approval ▪ Advertisements ▪ Enquirers and Applicants ▪ Shortlisting papers ▪ Interview papers ▪ Offer of Employment ▪ Migrant Worker information (where relevant) ▪ Any Resident Labour Market Test i.e. Advert, inc. JobCentre Plus | Common Practice |
| 7.26 | The selection of an individual for an established position | Retain for a maximum of 90 days then destroy | <ul style="list-style-type: none"> ▪ Offer/Acceptance of Appointment ▪ Written Statement | |
| 7.27 | | Following 6 months review destroy or until individual requests their details be removed from the Registers | <ul style="list-style-type: none"> ▪ Disclosure Scotland Checks/Results | |
| | | | <ul style="list-style-type: none"> ▪ Employment Register – Temporary ▪ Employment Register – Relief ▪ Employment Register - Vocational | |
| Staff Monitoring | | | | |
| 7.28 | Performance | Destroy 5 years after action completed | <ul style="list-style-type: none"> ▪ Probation reports ▪ Performance plans | Common Practice |

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HUMAN RESOURCES

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|--|--|--|--|
| 7.29 Process of monitoring staff leave and attendance. | Cy+2 Destroy | <ul style="list-style-type: none"> ▪ Sick leave ▪ Jury service ▪ Study leave ▪ Special and personal leave ▪ Annual leave record cards ▪ Compassionate leave requests ▪ Maternity/Adoption leave ▪ Phased Return to Work administration | Common Practice |
| Staff Retention | | | |
| 7.30 Financial reward | Destroy 7 years after action completed | | Common Practice. All records relating to actual payment are dealt with under Finance. |
| 7.31 Other strategy | Destroy 3 years after action completed | | Common Practice. |
| Redeployment | | | |
| 7.32 Process of redeploying staff | Destroy 5 years after action completed | <ul style="list-style-type: none"> ▪ Redeployment Statement ▪ CV ▪ Departmental Responses ▪ Accompanying notes | Common Practice |
| Termination | | | |
| 7.33 The process of termination of staff through voluntary redundancy, resignation, dismissal and retirement | Destroy 6 years after termination | Materials relating to: <ul style="list-style-type: none"> ▪ Resignation ▪ Redundancy (section 188) ▪ Dismissal (for reasons other than Disciplinary e.g. Ill Health Retiral) • Death in Service • Retirement | Except where dismissal relates to disciplinary action – see Processing of Disciplinary Investigations. |

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HUMAN RESOURCES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---------------------------------|---|--|--|
| Training and Development | | | |
| 7.34 | Routine staff training processes, not occupational health and safety or children related. | Destroy 2 years after action completed | <ul style="list-style-type: none"> ▪ Course individual staff assessment |
| 7.35 | Training (occupational health and safety training) | Destroy 50 years after training completed, or last entry Training is general kept for 3 years or at the outside 6 years after employee leaves | <ul style="list-style-type: none"> ▪ OH&S training register ▪ OH&S Course individual staff assessment |
| 7.36 | Training (concerning children) | Destroy 35 years after training completed, or last entry | <ul style="list-style-type: none"> ▪ Course individual staff assessment ▪ Training register |
| 7.37 | Training (materials) | Destroy 1 year after course is superseded | <ul style="list-style-type: none"> ▪ Training Materials <p style="text-align: right;">Common Practice</p> |
| 7.38 | Training Directory | Destroy 1 year after directory has been superseded | Common Practice |
| 7.39 | Training (proof of completion) | Destroy 7 years after action completed | <ul style="list-style-type: none"> ▪ Certificates ▪ Awards ▪ Exam results ▪ Training Records (proof of completion) <p style="text-align: right;">Common Practice</p> |
| 7.40 | Training Database | | Information held with the consent of trainees. Updated regularly. Information shared with SIC Human Resources. |

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|----------------------|---|--|---|
| 7.41 | Training – Claims | T+5 | Information required to be kept for 5 years from the last payment received from HIE. |
| 7.42 | Training – Education Business Partnership | | Held in agreement with the Education Service, Schools, Shetland Enterprise and Careers Scotland. |
| 7.43 | Training – SQA file | | |
| 7.44 | Training Short Course Database | Cy+1 Destroy | |
| 7.45 | Training – Trainee Personal File | Cy+5 Destroy | Information required to be kept for 5 years from the last payment received from HIE |
| 7.46 | Trainee Pay Files | Cy+5 Destroy | Information required to be kept for 5 years from the last payment received from HIE |
| 7.47 | Training Details | Cy+2 Destroy | Updated annually and held with trainers permission. |
| 7.48 | Training – Work Experience | Cy+5 | Personal Information held for 5 years and held with the agreement of Schools and the Education service. Policies etc reviewed and updated annually. |
| 7.49 | Training Records and Requests | Cy+6 Destroy | |
| 7.50 | Crew Safety Induction Report (FAM1) | Retain whilst employed by SIC then Destroy | |
| 7.51 | Crew Skills and Training Audit Form | Retain whilst employed by SIC then Destroy | |

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Retention and destruction schedule

EDUCATION SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--|------|
| <p>8 EDUCATION</p> <p>Historical Child Abuse Inquiry Scotland</p> <p style="color: red;">As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.</p> | | | |
| <p>SCHOOLS</p> | | | |
| <p>School Meals</p> | | | |
| 8.1 | Summary information | 7 years from end of year | |
| 8.2 | Individual school information | 3 years | |
| 8.3 | Dinner register | Cy+3 destroy | |
| 8.4 | School meals summary sheets | Cy+3 destroy | |
| <p>Management</p> | | | |
| 8.5 | Log Books | Retain for date of last entry in the book +6 years, then transfer to Archives. | |
| 8.6 | Minutes of the Senior Management Team and other internal administrative bodies | Retain for date of meeting +5 years then offer to Archivist for sample | |

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EDUCATION SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-----------------------------|---|--|------|
| Management continued | | | |
| 8.7 | Reports made by the Head Teacher of the Management Team | Retain for closure of file + 6 years then destroy. | |
| 8.8 | Records created by head Teachers, Deputy Head Teachers, Heads of year and other members of staff with administrative responsibilities | Retain for closure of file +6 years then destroy. | |
| 8.9 | Correspondence created by head Teachers, Deputy Head Teachers, heads of year and other members of staff within administrative responsibilities. | Retain for date of correspondence +3 years then destroy | |
| 8.10 | Professional development plans | Retain for closure of file +6 years then destroy. | |
| 8.11 | School development plans | Retain for closure of file +6 then offer to Archivist for review | |
| 8.12 | PPRs | Retain for 5 years after termination then destroy | |
| 8.13 | Head Teacher's filing | Retain for 5 years then destroy. Offer sample to Archivist. | |

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EDUCATION SERVICES

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|-----------------------------|----------------------------------|---|---|
| Management continued | | | |
| 8.14 | School Board Minutes | Permanent. Retain for school session +6 years. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded. | |
| 8.15 | Photographs | Cy then destroy. Offer sample to Archivist. | Request permission from pupils and parents before passing to Archivist. |
| 8.16 | Building size/Classroom capacity | Retain until superseded then destroy. | |
| 8.17 | Building plans | Retain for current year then offer to Archivist. | |
| 8.18 | Prize giving | Retain for current year then offer to Archivist. | |

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EDUCATION SERVICES

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|---|---------------------------------------|--|----------------------------------|---|
| | Pupils | | | |
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| <p>NOTE July 2014 - The Archivists in Scottish Local Authorities Working Group is developing an approach to preserving historical records generated by the SEEMIS education management system. CHECK at next review.</p> | | | | |
| 8.19 | Pre-school Enrolment and Registration | Cy – destroy | Enrolment and Registration Forms | Consider historical value and address the permanent preservation of digital registers. Councils typically use SEEMiS or Phoenix and these collect and collate much more information than the paper registers. They may download onto cd only such information as was found in the paper registers and transfer these to the archives. |
| 8.20 | Admission registers | Retain for date of last entry in book or file +6 years then transfer to Archives – see note on closure period. | | <p style="color: red;">These records are closed to public access for 100 years following decision of the UK Information Commissioner. Archival retention under the historical and research exemption of the Data Protection Act 2018, Schedule 2, Part 6, Paragraph 28.</p> |
| 8.21 | Attendance registers | Retain for date of register +7 years then destroy. | | |

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Retention and destruction schedule

EDUCATION SERVICES

| | FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|------|--|---|--|---|
| 8.22 | Pupil record cards – Primary | Retain for the time the pupil remains at the primary school, then transfer to secondary school (or other primary school) when the child leaves. | | Pupils Educational Records (Scotland) Regulations 2003 |
| 8.23 | Pupil record cards – Secondary | Retain for a period of 5 years following the pupil having ceased receiving school education. | | Pupils Educational Records (Scotland) Regulations 2003 |
| 8.24 | Pupil files – Primary | Retain for the time the pupil remains at the primary school, then transfer to secondary school (or other primary school) when the child leaves. | | Pupils Educational Records (Scotland) Regulations 2003 |
| 8.25 | Pupil files – Secondary | Retain for a period of 5 years following the pupil having ceased receiving school education. | | Amended retention from DOB + 25 years Schools General (Scotland) Regulations 1975 SI 1135/176 reg 10(2) - pupil progress record; retention of pupil records is governed by Pupils' Educational Records (Scotland) Regulations 2003 SSI 2003/581, reg 4 |
| 8.26 | Additional Support Needs records - including Support Service (Psych / Hearing etc) | Retain for a period of 5 years following the pupil having ceased receiving school education. | Special Education needs files, reviews and individual education plans – see 8.39 | The Pupils Education Records (Scotland) Regulations 2003 SSI 2003 No 581, Regulation 4 - retention period. See also the Special Educational Needs and Disability Act 2001 (SENDA) , Special Educational Needs Code of Practice (2001). Education (Additional Support for Learning) Scotland Act 2004 and Education (Additional Support for Learning) Scotland Act 2009. |

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|------|--|---|---------------------|---|
| 8.27 | Letters authorising absence | Retain for date of absence +2 years then destroy. | | |
| 8.28 | Absence books | Cy+6 destroy | | |
| 8.29 | Examination results – Public | Retain for year of examination +6 then destroy | | |
| 8.30 | Examination results - Internal | Cy+6 then destroy | | |
| 8.31 | Any other records created in the course of contact with pupils | Cy+3 then review. | | At end of 3 years either allocated a further retention period or destroy |
| 8.32 | Statement maintained under the Education Act 1996-Section 324 | Retain for date of birth +30 years then destroy | | Do not destroy if legal action is pending. |
| 8.33 | Proposed statement or amended statement | Retain for date of birth +30 years then destroy | | Do not destroy if legal action is pending. |
| 8.34 | Advice and information to parents regarding educational needs | Retain for closure of file +12 years then destroy. | | Do not destroy if legal action is pending. |
| 8.35 | Accessibility strategy | Retain for closure of file +12 years then destroy. | | |
| 8.36 | Children-SEN-Files | Retain for closure of file +35 years then destroy | | See 8.39 |
| 8.37 | Education Psychology files | Date of last action or when student reaches 25 years (whichever is later) | | SCAARS adopted - Amended from - Retain for 5 years after termination (or 23 rd birthday) then destroy. |

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|--|--|---|---|
| 8.38 Case Files (including Appeals) | Retain for a period of 5 years following the pupil having ceased receiving school education. | | These records are unlikely to be required for Legal purposes, as any litigation would have been dealt with at the time of record creation. Litigation now being commenced 20 years or more after leaving school. Longer retention required, possibly 20 years after 18 th birthday. CHECK |
| 8.39 Individual Education Plan (IEP) - formerly known as Record of Needs | Retain for a period of 5 years following the pupil having ceased receiving school education. | May also be known as "Special Educational Needs files, reviews and IEPs". | Amended retention from DOB + 25 years The Pupils Education records (Scotland) Regulations 2003 SSI 2003 No 581 Regulation 4. |

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EDUCATION SERVICES

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|----------------------|--|---------------------|---|
| Curriculum | | | |
| 8.40 | School syllabus | Cy+1 destroy | It may be appropriate to review these records at the end of each year and allocate a new retention period or destroy |
| 8.41 | Curriculum Development | Cy+6 destroy | |
| 8.42 | Curriculum Returns | Cy+3 destroy | |
| 8.43 | Schemes of work | Cy+3 destroy | It may be appropriate to review these records at the end of each year and allocate a new retention period or destroy. |
| 8.44 | Timetables Class record books Mark books Record of homework set | Cy+1 destroy | |
| | Pupils' work | | The pupil at the end of each school year usually takes their pupils' work home. |
| 8.45 | Examination results | Cy+6 destroy | |
| 8.46 | SATS records | Cy+6 destroy | |
| 8.47 | Value added records | Cy+6 destroy | |

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EDUCATION SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|--|------------------|---------------------|--|---|
| Further And Higher Education/Training | | | | |
| Train Shetland | | | | |
| 8.48 | Train Shetland | Cy+7 | <ul style="list-style-type: none"> • Claims | All information required to be kept for 5 years from the last payment received from HIE |
| 8.49 | Train Shetland | Cy+5 | <ul style="list-style-type: none"> • Education Business Partnership | Held in agreement with Education Service, Schools, Shetland Enterprise and Careers Scotland. |
| 8.50 | Train Shetland | Cy+7 | <ul style="list-style-type: none"> • Database Training Records | Held with the consent of trainees and updated regularly. SIC Corporate information is shared with Personnel |
| 8.51 | Train Shetland | Cy+7 | <ul style="list-style-type: none"> • Employer Details | Updated annually and held with employers permission. |
| 8.52 | Train Shetland | Cy+1 | <ul style="list-style-type: none"> • Health and Safety | Reviewed trice annually in accordance with internal audits. Materials updated according to legislative changes, HSE recommendations etc |

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EDUCATION SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|----------------------|---|--|---|
| 8.53 Train Shetland | Cy+1 | <ul style="list-style-type: none"> Landladies | Updated annually and retained with permission of landladies. |
| 8.54 Train Shetland | Cy+1 | <ul style="list-style-type: none"> Placement Database | Details retained with permission of employers. Updated as changes occur. Health and Safety checks carried out annually. |
| 8.55 Train Shetland | One month after certificate has been received or longer if External Verification is required. | <ul style="list-style-type: none"> SQA File | |
| 8.56 Train Shetland | Information held for up to 12 months. | <ul style="list-style-type: none"> Short Course Database booking system | Held in agreement with SIC Personnel, other employers/employees. |
| 8.57 Train Shetland | Cy+7 | <ul style="list-style-type: none"> Trainee Personal File Trainee Pay Files | All information required to be retained for 5 years from the last payment received from HIE. |
| 8.58 Train Shetland | Cy+2 then Destroy | <ul style="list-style-type: none"> Training Details | Updated annually and held with trainer's permission. |

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EDUCATION SERVICES

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|-----------------------|---|--|
| Further And Higher Education/Training continued | | | |
| 8.59 | Train Shetland | <ul style="list-style-type: none"> • Work Experience | Personal information retained for 5 years with the agreement of Schools and the Education Service. Policies etc reviewed and updated annually. |
| 8.60 | Train Shetland | Cy+5 then Destroy | <ul style="list-style-type: none"> • Training Records • Training Requests |
| 8.61 | Train Shetland | Permanent | <ul style="list-style-type: none"> • Case Files • Works Licence Files <p>All files held at NAFC</p> |

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FINANCE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|--|-----------------|
| 9 FINANCE | | | |
| 9.1 Accounts & Audit | | | |
| Reporting | | | |
| 9.2 The process that consolidates financial transactions on an annual basis for corporate reporting purposes. | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Consolidated Annual Reports • Consolidated Financial Statements • Statement of Financial Position • Operating Statements • General Ledger | Common Practice |
| 9.3 The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books | Cy+6 Destroy | <ul style="list-style-type: none"> • Consolidated Monthly & Quarterly Reports • Consolidated Monthly & Quarterly Financial Statements • Working Papers for the preparation of the above • Monthly Accrual Statements • Cash Flow Statements • Creditor Listings and Reports • Debtor Listings and Reports | Common Practice |

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FINANCE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---|---|
| Financial Transactions Management | | | |
| 9.4 | <p style="text-align: center;">Cy+6 Destroy</p> <p style="text-align: center;">Retain for 10 years</p> | <ul style="list-style-type: none"> • Appointments & Delegations • Audit Investigations • Report of Auditor • Arrangements for the Provision of Goods and/or Services • Audit Reports, Follow Up Reports, Investigations and Reviews | <p>Statutory</p> |
| 9.5 | Cy+6 Destroy | <ul style="list-style-type: none"> • Allowances • Work Orders • Invoices, Waybills, Freight Charges • Credit Card Statements • Cash Pay-In Books • Receipts/Receipt Books • Cheque Book Counterfoils • Bank Statements • Subsidiary Ledgers (Annual) • Journals (Annual) • Vouchers • Departmental Recharges • Cash pay-in books • Virements • Travel Requests | <p>Statutory. This period may be reduced with the agreement of Customs and Excise and/or the Inland Revenue.</p> <p>Invoices – VAT Legislation</p> <p>Working papers for preparation of expenditure to be retained Cy+2 then destroyed.</p> |

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FINANCE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|--|---|--|---|--|
| Financial Transactions Management continued | | | | |
| 9.6 | Taxation Records | Cy+6 Destroy | <ul style="list-style-type: none"> • Taxation Records • Motor Vehicle Logs | Statutory |
| 9.7 | Processes involved in the collection of National Insurance Number | Destroy 2 years after the employee ceases employment | <ul style="list-style-type: none"> • Notification & Input Records | Common Practice |
| Payroll | | | | |
| 9.8 | Accountable processes relating to payment of employees | Cy+3 Destroy | <ul style="list-style-type: none"> • Authority Sheets • Payroll Deduction Authorities • Payroll Disbursement • Payroll Year-end Prints • Employee Pay Records • Employee Taxation Records • Payment Vouchers • Payroll Print-outs Cy+3 -D • Amendment prints • **P60 • *P45 | Statutory as per Inland Revenue requirements |
| | | **P60 – Permanent *Cy+3 Destroy | | |

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FINANCE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|--|---|---|
| Payroll | | | |
| 9.9 Non-accountable processes relating to payment of employees | Cy+3 Destroy | <ul style="list-style-type: none"> • Summary Employee Pay Reports • Receipts • Salaries Cumulative listing • Sickness/SSP forms • Timesheets • Travel Expenses • Wages – cumulative listings | Statutory as per Inland Revenue requirements |
| Financial Provisions | | | |
| Budgets And Estimates | | | |
| 9.10 The process of finalising Local Authority's annual accounts | Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Annual Account • Annual Account Working File • General Ledger | Common Practice Only the final version of the annual budget needs to be kept |

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FINANCE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---------------------|--|-----------------|
| Budgets And Estimates | | | |
| 9.11 The process of developing Local Authority's annual budget. | Cy+6 Destroy | <ul style="list-style-type: none"> • Draft Budgets • Departmental Budgets • Draft Estimates • Departmental Estimates • Management Accounts • Monthly and Quarterly Accounts • Monthly and Quarterly Statements • Returns and Reports on Asset statements | Common Practice |
| 9.12 The process of reporting which examines the budget in relation to actual revenue and expenditure | Cy+6 Destroy | <ul style="list-style-type: none"> • Quarterly Statements | Common Practice |
| 9.13 The process of developing local authorities' annual budget | Cy+2 Destroy | <ul style="list-style-type: none"> • Revenue Estimates Working Papers | Common Practice |
| Loans | | | |
| 9.14 The activity of borrowing money to enable Local Authorities to perform its functions and exercise its powers. | Cy+6 Destroy | <ul style="list-style-type: none"> • Loan Files | Statutory |

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FINANCE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|--|--|
| Loans continued | | | |
| 9.15 Summary management of loans | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Loans Registers | Common Practice |
| Housing | | | |
| 9.16 The Process of offering financial help with welfare housing provision and maintenance. | Cy+6 Destroy | <ul style="list-style-type: none"> • General Correspondence • Council Tax Benefit Claims • Enforcement Action • Payment Vouchers • Rent Allowance Claims • Rent Rebate Claims • Reports | Council Tax Benefit Claim information held electronically from 1993 to present Paper copies destroyed in accordance with the Schedule |
| 9.17 'Right to Buy' | Destroy 12 years after sale of house | <ul style="list-style-type: none"> • Sale documents • Agreement concerning sale | Common Practice |

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FINANCE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|--|------|
| Housing continued | | | |
| 9.19 Home Improvement Grants | Cy+6 after last payment for grants under £50,000. For grants over £50,000 destroy 12 years after last payment. Where plans and detailed drawings included offer to Archivist. | | |
| Council Tax Valuation | | | |
| 9.20 The valuation of rateable land within a municipal district for the purpose of the making of the rate | Valuation List Permanent. All other material Cy+6. | <ul style="list-style-type: none"> • Valuations • Correspondence • Objections • Reports • Correspondence • Application Forms • Notices of acquisition and disposition • Voucher Payments • Rates Valuation Roll | |

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FINANCE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---|------------------------|
| <p>Property History</p> | | | |
| <p>9.21 The recording of information for rateable properties identifying the person or company rated, including details of the value of the property. Note: Records containing accounting information primarily, and not being a source of property history, should be Disposed Of According to the appropriate record class within the Accounts & Audit function.</p> | <p>Permanent Transfer to Place of Deposit after administrative use is concluded.</p> | <ul style="list-style-type: none"> • Rate Books • Rate Cards • Register of Rateable properties | <p>Common Practice</p> |
| <p>Rates and Local Authorities Tax Correspondence</p> | | | |

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FINANCE

| | | | | |
|------|---|-----------|---|---|
| 9.22 | The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters | Cy+6 | <ul style="list-style-type: none"> • Notices • Objections • Applications • Correspondence • Rate Certificates • Notices of Acquisition <p style="text-align: right; margin-right: 20px;">and</p> <ul style="list-style-type: none"> • Disposition • Rate Property Files | Council Tax collection information held electronically from 1993 to present Paper copies destroyed in accordance with the Schedule |
| 9.23 | | Permanent | Rates Valuation Roll | |

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Insurance

Policy Management

| | | | | |
|------|---|---|---|--|
| 9.24 | The summary management of insurance arrangements | Permanent. Transfer to a Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Insurance Register | |
| 9.25 | The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage | Cy+6 Destroy | <ul style="list-style-type: none"> • Insurance policies • Correspondence | |
| 9.26 | The process of renewing insurance policies | Cy+5. Destroy 5 years after the insurance policy has been renewed. | <ul style="list-style-type: none"> • Insurance policy • Renewal records • Correspondence | |

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FINANCE

Claims Management

| | | | |
|------|---|--|--|
| 9.27 | The process that records insurance claims against the local authority or local authority officers | Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age) | <ul style="list-style-type: none"> • Claims records • Correspondence • Personal Injury Claims |
|------|---|--|--|

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|----------------------|---|--|--|
| Education | | | |
| 9.28 | Educational Maintenance Allowance [EMA] | <ul style="list-style-type: none"> ▪ EMA Financial Documents ▪ EMA Learning Agreement | EMA Learning Agreements are non-financial and only need to be retained for 2 years (cy +1) |
| 9.29 | Bursaries | <ul style="list-style-type: none"> ▪ Bursaries Financial documents ▪ Zetland Educational Trust [ZET] financial documents | |

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HEALTH AND SAFETY

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|------------------------------------|--|---|--|
| 10 HEALTH AND SAFETY | | | |
| Inspections and Assessments | | | |
| 10.1 | Process for inspecting equipment to ensure it is safe | Destroy 6 years from destruction of equipment. | <ul style="list-style-type: none"> • Equipment inspection records Statutory |
| 10.2 | Processing the geo-technical assessments of a quarry | When quarry is no longer in use consult or refer to Health and Safety Executive (HSE) | Statutory |
| 10.3 | Process of carrying out monitoring to ensure that the process is safe | Destroy 3 years from last action | <ul style="list-style-type: none"> • Monitoring results Statutory |
| 10.4 | Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos | Destroy 40 years from last action | <ul style="list-style-type: none"> • Property asbestos files Common practice based on Statutory |
| 10.5 | | Permanent. | <ul style="list-style-type: none"> • Asbestos Removal Register |
| 10.6 | Process of monitoring of areas where employees and persons are likely to have come in contact with radiation | Destroy 50 years from last action or at age 75 years whichever is the greater | <ul style="list-style-type: none"> • Radon monitoring |

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HEALTH AND SAFETY

| 10.7 | Process of monitoring of areas where employees and persons are likely to have come into contact with radiation | Cy+25 | <ul style="list-style-type: none"> • Relates to staff using radioactive isotopes • Health check records | |
|--|--|--|--|-----------------|
| | FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
| Inspections and Assessments continued | | | | |
| 108 | Process to ensure safe systems of work | Retain until superseded or process ceases +1 year | | Common practice |
| 10.9 | Process to assess the level of risk | Destroy 3 years from last assessment. | <ul style="list-style-type: none"> • Risk Assessments | Statutory |
| 10.10 | Processes that permit work | Destroy 1 year from last action. | | Common practice |
| 10.11 | Process that records injuries to adults | Destroy 25 years from closure | <ul style="list-style-type: none"> • Accident Books | Statutory |
| 10.12 | Process that records injuries to children | Destroy 25 years from closure | <ul style="list-style-type: none"> • Accident Books | Statutory |
| 10.13 | Accident Notification | Permanent | <ul style="list-style-type: none"> • Accident Notifications • Accident Investigations • Fatal Accident Investigations | |
| 10.14 | Public Register – Abstract of H&S Notices affecting the public | Cy+3 Transfer to a Place of Deposit after administrative use is concluded. | | |

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HEALTH AND SAFETY

10.15 Accident/Incident Statistics Cy+1 Destroy

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|-------------------------------|--|------|
| Building Maintenance | | | |
| 10.16 The process of managing and undertaking renovations of property. | Cy+5 Destroy | <ul style="list-style-type: none"> • Property Health and Safety Files • Property Repair History • Property Surveys • Property Inspection Records | |
| Accidents and Injuries | | | |
| 10.17 Recording of Accidents and injuries | Destroy 40 years from closure | <ul style="list-style-type: none"> • PIN forms | |

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|---|------|
| 11 ENVIRONMENTAL SERVICES AND EMERGENCY PLANNING | | | |
| Emergency Planning | | | |
| 11.1 Process to develop the emergency/disaster plan for the local community | Permanent . Offer to Archivist. Transfer to Place of Deposit after superseded. | <ul style="list-style-type: none"> • Civil defence plan • Major Incident Plan | |
| 11.2 Process to record the results of the test for emergency/disaster plan for the local community | Destroy 10 years after closure | | |
| 11.3 Council EP co-ordination group (or equivalent) minutes | Permanent Transfer to a Place of Deposit for permanent preservation | | |
| 11.4 Financial Planning (Bellwin Scheme) | Cy+6 destroy | | |
| 11.5 Other Council's correspondence | Cy+1 Destroy | | |
| 11.6 Civil Defence Grants Records | Cy+6 Destroy | | |
| 11.7 Council Services correspondence | Cy+1 Destroy | | |
| 11.8 <ul style="list-style-type: none"> • H&S Liaison Group meeting minutes • HELAS | Cy+2 Destroy | | |

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As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---------------------------|--|---|--|
| Emergency Planning | | | |
| 11.9 | External agencies correspondence | Cy+1 Destroy | |
| 11.10 | HASCOG minutes | Cy+1 Destroy | |
| 11.11 | HSE correspondence | Permanent, Offer to Archivist. Transfer to a Place of Deposit for permanent preservation | |
| 11.12 | Emergency Procedures Plan | Permanent, Offer to Archivist. Transfer to a Place of Deposit for permanent preservation | |
| 11.13 | EPP – Master copy, review and distribution | Permanent, Offer to Archivist. Transfer to a Place of Deposit for permanent preservation | |
| 11.14 | Exercise and De-brief records | Cy+5 then Destroy | |
| 11.15 | Training Records | Cy Destroy | |
| 11.16 | Completed Incident Report Forms and Operational Logs | Retain for 10 years then either destroy. Offer sample to Archivist. | <u>Police incident logs are retained for 10 years</u> |

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|---------------------|------|
| Emergency Planning continued | | | |
| 11.17 Out of Hours Directory | Permanent, Offer to Archivist. Transfer to a Place of Deposit for permanent preservation | | |
| 11.18 Out of Hours Directory – Correspondence and amendments | Cy+1 destroy | | |
| Major Incident | | | |
| 11.19 Activities that report on all major incidents in the local community. Whether the emergency plan has been invoked or not. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | | |
| 11.20 Activities that report on all minor incidents in the local community | Destroy 7 years after closure | | |
| 11.21 Activities that report on all Shetland Islands Council Ferry exercises | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | | |

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|--|---|---|
| Enforcement Certification and Prosecution | | | |
| Registration, Certification and Licensing | | | |
| 11.22 | Includes information created within environmental health, trading standards, childcare and adult registration units within a local authority. | Cy - Destroy | <ul style="list-style-type: none"> Enforcement Policy |
| 11.23 | Summary management systems that allow the monitoring and management of registration, certification and licenses registration requirements in summary form. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> Visual Impairment register Register of Food Business Registration Forms Register of Cooling Towers <p style="text-align: right;">Common practice</p> |
| 11.24 | The process involved in licensing sites for the holding or use of toxic or hazardous substances. (Including petroleum, agricultural chemical products or herbicides) | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded – 60 years after registration or entitlement lapses. | <ul style="list-style-type: none"> Petroleum storage tank location plans Health and Safety licensing Hazardous substances Contaminated land register/pollution |

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--|---|
| Registration, Certification and Licensing continued | | | |
| 11.25 The administration of applications, registration, certifications and licences in relation to local authorities' registration requirements | Destroy 2 years after registration or entitlement lapses. | <ul style="list-style-type: none"> • Applications for animal registration • Applications for registration of a business premises • Application for release of animals impounded • Registers • Certificates of registration of door supervisors, taxi drivers, beauty therapists, • Animal movement licenses • Gaming • Fire Certification • Disable Parking permit • Registration to sell poison | Statutory. Note: may want archival review in cases of licensing of children in entertainment. |
| 11.26 The process registration of homes or carers for the care and support of children, in the responsibility of the local authority. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded – 25 years from closure of centre, or discontinuation of care | <ul style="list-style-type: none"> • Organisation Files • Child carers files • Childcare registration • Day care registration • Children's home | Common practice. The responsibility of OFSTED from 1 April 2002. |

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---|-----------------|
| Notification | | | |
| 11.27 The process of issuing notices to citizens with respect to particular responsibilities | Destroy 2 years after the matter is concluded | <ul style="list-style-type: none"> • Fire Prevention Notices • Fire Prevention Infringement Notices • Objections to Notices • Appeals Against Notices • Registration of Premises Infringement Notices • Animal Impounding Notices | Common Practice |
| Investigation, Inspection and Monitoring | | | |
| 11.28 The process of investigation, monitoring or inspection of laws in the responsibility of the local authority. | Destroy 7 years from last action. | <ul style="list-style-type: none"> • Trading standards sample and inspections records • Fire certificate compliance inspections | Common Practice |
| Prosecution | | | |

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ENVIRONMENTAL HEALTH

| | | | | |
|-------|--|--|--|-----------------|
| 11.29 | The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities. | Destroy 7 years from last action. * Permanent Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Prosecution/sanction files • *Prosecutions Register | Common Practice |
|-------|--|--|--|-----------------|

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Bye-Laws

Enactment

| | | | | |
|-------|----------------------------------|--|---|-----------------|
| 11.30 | The process of making local laws | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Master Set of Bye-Laws • Policy Development Documents • Correspondence • Submissions | Common Practice |
|-------|----------------------------------|--|---|-----------------|

Administration and Enforcement of Bye-laws

| | | | | |
|-------|---|--|--|-----------------|
| 11.31 | The process of administering and enforcing bye-laws | Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased. | <ul style="list-style-type: none"> • Applications for certificates • Permits • Licences • Infringement notices • Correspondence | Common Practice |
|-------|---|--|--|-----------------|

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---|-----------------|
| Cemeteries & Crematoria | | | |
| 11.32 Summary management systems that record the location and occupancy of deceased individuals. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Internment register • Lair register • Lair Plans | Common Practice |
| 11.33 The process of regulation of burials and cremations | Destroy 5 year after last action | <ul style="list-style-type: none"> • Headstone approvals • Permits • Applications • Orders • Burial accounts • Cemetery diaries • Interment correspondence | Common Practice |
| 11.34 The process of regulation of burials and cremations | Cy+2 Destroy | <ul style="list-style-type: none"> • Lair certificate stubs • Lair receipts | Common Practice |

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-------------------------|---|---|-----------------|
| Waste Management | | | |
| 11.35 | The provision of hard waste removal, destruction and waste reduction services by the council to ratepayers. | | |
| Collection | | | |
| 11.36 | The process of arranging the collection or transportation of household waste. | Destroy 2 year after last action | Common Practice |
| 11.37 | The process of arranging the collection or transportation of controlled waste. | Destroy 6 year after last action | Common Practice |
| Disposal | | | |
| 11.38 | The summary management of sites used for the disposal of waste within the local authority. | Permanent Transfer to Place of Deposit after administrative use is concluded. | |

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---------------------------|---|---|---|
| Disposal continued | | | |
| 11.39 | The process of the short-term storage of household waste. | Destroy 10 year after site closure. | <ul style="list-style-type: none"> Transfer sites |
| 11.40 | The process involved in managing the use, type and amount of waste to be disposed at a specific site. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> Waste site plans <p>Gremista Landfill SEPA Pollution Prevention and Control Act 1999 Pollution Prevention and Control (Scotland) Regulations 2000 Landfill (Scotland) Regulations 2003 Permit to Operate a Non-Hazardous Waste Landfill Installation Permit Number: PPC/N/50027 Paragraphs: 10.1.2 and 10.1.3</p> <p>Energy Recovery Plant SEPA Pollution Prevention and Control Act 1999 Pollution Prevention and Control (Scotland) Regulations 2000 Permit to Operate a 'Part A' Installation Permit Number: PPC/A/1003141 Paragraphs: 2.2.2 and 2.2.4</p> |

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ENVIRONMENTAL HEALTH

Environmental Health General Administration Documents

| | | | |
|-------|--|---------------|---|
| 11.41 | <ul style="list-style-type: none">• Enquiries Job Sheets• Dog Warden Enquiry Sheet• Pest Control Enquiry Sheet• LACOTS circulars and guidance• Property Enquiries• *Planning Consultations• *Licensing Consultations• *Building Control Regulations | Cy+1 Destroy | |
| | | *Cy+2 Destroy | <ul style="list-style-type: none">*Original with Planning*Original with Legal Services*Original with Building Control |

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|--|---|------|
| Environmental Health General Administration Documents continued | | | |
| 11.42 | <ul style="list-style-type: none"> • General Complaints • Inspection Report Forms | Cy+6 Destroy | |
| 11.43 | Standard Documentation | Cy Destroy | |
| 11.44 | <ul style="list-style-type: none"> • Property Enquiries Register • Register of unfit houses • Nuisance • Cleansing Complaints • Job Sheets • Food Premises Register • Environmental Health Sample Register • Accident Investigation Register • Environmental Protection Act Notices | Permanent. Transfer to Place of Deposit after administrative use is concluded. | |
| 11.45 | Dairy and Food Bacteriological Register | Cy+3 Transfer to Place of Deposit after administrative use is concluded. | |

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ENVIRONMENTAL HEALTH

- | | | |
|-------|---|--|
| 11.46 | <ul style="list-style-type: none"> • Domestic/Pool water bacteriological sample register • Swimming Pool Sample results | Cy+1 Transfer to Place of Deposit after administrative use is concluded. |
|-------|---|--|

| | | | |
|-----------------------------|-------------------------|----------------------------|-------------|
| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-----------------------------|-------------------------|----------------------------|-------------|

**Environmental Health
General Administration
Documents continued**

- | | | |
|-------|--|---|
| 11.47 | Pest control reference manual | Cy destroy |
| 11.48 | Housing Files | Cy+5 Transfer to Place of Deposit after administrative use is concluded. |
| 11.49 | Housing Condition survey | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. |
| 11.50 | BSE Over 30 months Carcasses and Incident Reports | Cy+10 Transfer to Place of Deposit after administrative use is concluded. |
| 11.51 | <ul style="list-style-type: none"> • Communicable Diseases • Infectious Diseases | Cy+3 Destroy |

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ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-----------------------------|---|--|------|
| Food and Food Safety | | | |
| 11.52 | <ul style="list-style-type: none"> • HACCP Enforcement • Food Safety System | Cy+1 destroy | |
| 11.53 | <ul style="list-style-type: none"> • Application for registration of food premises • Licensing Reports • Butchers Licenses • Other Licenses | Cy+2 Destroy | |
| 11.54 | <ul style="list-style-type: none"> • Food Safety Register • Ice Cream Licenses | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | |
| 11.55 | <ul style="list-style-type: none"> • General Complaints • Food Complaints • Food Poisoning Notifications | Cy+3 Destroy | |
| 11.56 | <ul style="list-style-type: none"> • NIPO's • Other Notices • | Cy+3 Transfer to Place of Deposit after administrative use is concluded. | |

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ENVIRONMENTAL HEALTH

- “Minded to” Notices
 - Improvement Notices
 - Emergency Prohibition Notices
- Cy+5 Transfer to Place of Deposit after administrative use is concluded.

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---------------------------------------|---|---|------|
| Food and Food Safety Continued | | | |
| 11.57 | Prosecutions Register | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | |
| 11.58 | | | |
| 11.59 | Register of Food Business' Registration Forms | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | |
| 11.60 | Enforcement Policy | Cy destroy | |
| 11.61 | Food Safety Service Plan | Cy destroy | |
| 11.62 | Standard documentation | Cy destroy | |

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ENVIRONMENTAL HEALTH

- 11.63
- Food Hazard Warnings
 - Policy
 - Bulletins from FSA
- Cy+1 Destroy

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Food and Food Safety Continued

- 11.64
- Corporate Infection Control Policy
- Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.**
- 11.65
- Inspection Report Forms
 - Letter and General Correspondence
 - Public Analyst Certificates
- Cy+5 Destroy

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ENVIRONMENTAL HEALTH

- | | | |
|-------|--|--------------|
| 1166 | <ul style="list-style-type: none"> • Minutes of Team Meetings • Minutes of Management Team Meetings • Internal Memos • Barbour Index Briefing Notes • Register of Social Work Establishments • Minutes of HASCOG | Cy+1 destroy |
| 11.67 | <ul style="list-style-type: none"> • Section 23 Certificates • Food Hygiene Certificates (Street Traders) | Cy+3 destroy |

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--------------------------|--|---------------------|------|
| Health and Safety | | | |
| 11.68 | <ul style="list-style-type: none"> • Prohibition Notices • Improvement Notices • Accident Notifications • General Complaints • Inspection Report Forms • Outgoing Correspondence • Reports to Procurator Fiscal • Incoming correspondence • Fatal Accident Investigations | Cy+6 Archive | |

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ENVIRONMENTAL HEALTH

| | | |
|-------|--|-----------------------------|
| 11.69 | <ul style="list-style-type: none"> • Outgoing/Incoming • Correspondence | Cy+5 Archive |
| 11.70 | Licensing Reports (Annual) | Cy+1 Destroy |
| 11.71 | Licensing Reports (3 years) | Cy+2 destroy |
| 11.72 | Public Register – Abstract of H&S Notices affecting the public | Cy+3 Transfer to Archives |
| 11.73 | Radioactive Substances | Retain for 40 years destroy |
| 11.74 | <ul style="list-style-type: none"> • Pet shops/Riding and Animal Boarding Establishments Licenses • Second Hand Dealers Licenses • Betting and Gaming Licenses • Public Entertainment Licenses | Cy+1 Destroy |

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|------------------------------------|--|---------------------|--|
| Health and Safety continued | | | |
| 11.75 | Croner H&S Briefing/Risk | Permanent | |
| 11.76 | <ul style="list-style-type: none"> • H&S Guidance and Publications • MAIB Investigations | Retain | Ferries Operations: Retain until superseded by updated versions. |

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ENVIRONMENTAL HEALTH

| | | |
|-------|--|---|
| 11.77 | <ul style="list-style-type: none"> • Enforcement Policy • Health and Safety Plan | Cy destroy |
| 11.78 | Departmental Risk Assessments | Cy+1 destroy |
| 11.79 | <ul style="list-style-type: none"> • Minutes of H&S Liaison Group • HELAS • | Cy+2 destroy |
| 11.80 | Register of Cooling Towers | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded. |
| 11.81 | Prosecutions Register | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded. |

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

**Health and Safety
continued**

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed. Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.

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ENVIRONMENTAL HEALTH

11.82 Asbestos Removal Register Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.

Trading Standards

| | | | |
|-------|--------------------------------|-------------------------------|-----------------|
| 11.83 | Consumer complaints & enquires | Destroy 5 years after closure | Common Practice |
| 11.84 | Service requests | Destroy 5 years after closure | Common Practice |
| 11.85 | Inspections and visits | Destroy 5 years after closure | Common Practice |
| 11.86 | Samples | Destroy 5 years after closure | Common Practice |
| 11.87 | Prosecution Files | Destroy 7 years after closure | Common Practice |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.

As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

ENVIRONMENTAL HEALTH

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|---|--|
| Trading Standards continued | | | |
| 11.88 Calibration records for Working Standards and Testing Equipment | Retain current record + any others within previous 5 years – then destroy. | Paper records contain full details of calibration tests, including data for calculation of results. Electronic register contains only calibration dates and final results. | Electronic register of calibration records for Working Standards and Testing Equipment kept permanently as this provides useful data for trend analysis. |
| 11.89 Calibration records for Local Standards | Permanent Consider offer to Museum and Archives along with the items when use is concluded | | Common Practice |
| 11.90 Training Records | Held by individual staff members | Details of training courses attended and Continuing Personal and Professional Practice records | Training requests and certificates held on Employee Personnel Files as detailed in 6.1 |
| 11.91 Licenses and registrations | Retain for 5 years after expiry or lapse – then destroy | <ul style="list-style-type: none"> • Petroleum licences • Firework sales licences • Explosives registrations • Feed hygiene registrations | Common Practice |
| 11.92 Customer satisfaction records | Cy+1 destroy | | Common Practice |
| 11.93 Team meeting agendas and minutes | Cy+5 destroy | | Common Practice |

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As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

PLANNING AND LAND USE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|--|--|--|---|-----------------|
| 12 PLANNING AND LAND USE | | | | |
| Planning Scheme Development and Amendment | | | | |
| 12.1 | The activity of developing a vision and strategic direction regarding existing and future land use within the Local Authority and the development of local and town centre plans to ensure the implementation of the Structure Plan. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Structure Plan • Local Plan • Town Centre plans | Common Practice |
| 12.2 | The activity of consultation to gain approval for the Structure Plan or Local Plans. | Permanent. Offer to Archivist for review after 3 years. | | |
| 12.3 | The activity of recording information on historical buildings, monuments and ecology at a specific site. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Sites and Monuments records • Ecological records • Species records • Historically listed buildings • Definitive map | Common Practice |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

PLANNING AND LAND USE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---|--|
| Planning Scheme Development and Amendment continued | | | |
| 12.4 | The process of receiving, considering and responding to submissions and objections to planning schemes and amendments | Destroy 15 years after decision | <ul style="list-style-type: none"> • Waste Planning Application consultation • Mineral Planning applications consultation • Objections • Inquiries – Public etc • Archaeological; advice/conditions |
| 12.5 | The activity of establishing planning scheme controls and providing for them to be amended. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Successful Waste Planning Application • Successful Mineral Planning applications • Amendments to definitive map <p style="text-align: right;">Common Practice</p> |
| 12.6 | The summary management of planning scheme regulation | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Building Control Registers |
| 12.7 | The process of regulating the planned use of land or buildings. | Destroy 15 years after closure | |

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As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

PLANNING AND LAND USE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|--|--|--|
| Planning Scheme Development and Amendment continued | | | |
| 12.8 | The process of approving building applications in relation to significant listed buildings. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Building Files • Plans • Specifications • Correspondence • Applications • Permits Certificates |
| 12.9 | The process of controlling development of areas through applications for planning permission | Permanent. | <ul style="list-style-type: none"> • Building Files • Plans • Specifications • Correspondence • Applications • Permits • Certificates • Objections • Hearings <p style="text-align: right;">Common Practice</p> |
| 12.10 | The process of inspecting building work for the purpose of insuring compliance. | Destroy 10 years after the issue of a certificate of final inspection. | <ul style="list-style-type: none"> • Certificate of Final Inspection • Inspection Records • Diaries |

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PLANNING AND LAND USE

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|---|------|
| Planning Scheme Regulation continued | | | |
| 12.11 | The process of enforcing building or land regulations | Destroy 50 years after Enforcement Notice. Destroy 3 years after compliance with enforcement notice. | |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.

As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

INFRASTRUCTURE AND TRANSPORT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note | |
|---------------------------------|---|--|--|-----------------|
| 13 INFRASTRUCTURE | | | | |
| Planning and Development | | | | |
| 13.1 | The activity of recording location of highways, bridle paths and rights of way. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Definitive map • Correspondence concerning enquiries and disputes | Common Practice |
| 13.2 | The activity of establishing planning scheme controls and providing for them to be amended and modified. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Amendments to definitive map • Road adoption | Common Practice |
| 13.3 | The process of receiving, considering and responding to submissions and objections to planning schemes and amendments | Destroy 7 years after decision | | Common Practice |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.

As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

INFRASTRUCTURE AND TRANSPORT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|---|--|
| Planning and Development continued | | | |
| 13.4 | The process of enforcing infrastructure and transport regulations | Destroy 50 years after Enforcement Notice. Destroy 3 years after compliance with enforcement notice. | Common Practice |
| Traffic Management | | | |
| 13.5 | The activity of planning, and programming the continued flow, diversion or reduction of traffic. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> Traffic Orders |
| 13.6 | The activity of planning, and programming the continued flow, diversion or reduction of traffic. | Destroy after 5 years | <ul style="list-style-type: none"> Temporary Traffic Orders |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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INFRASTRUCTURE AND TRANSPORT

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

INFRASTRUCTURE AND TRANSPORT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---|------|
| Design and Construction | | | |
| 13.7 The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Correspondence • Certificate of Practical Completion • Schedule of defects • Certificate of Making Good Defects • Letter of Acceptance • Quality Documents • Construction Consent files • Construction Consent Drawings • Site Layout drawings (final) • Location Plans (final) • General Arrangement drawings (final) • Major Detail Drawings (until superseded) • Minor Detail Drawings (until superseded) • Roads Layout Drawings • Service Layout Drawings • Annotated OS maps | |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.

As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

INFRASTRUCTURE AND TRANSPORT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|--|---|
| Design and Construction continued | | | |
| 13.8 The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Site investigation report • Geotechnical drawings (selected) • Structural drawings • Structural specifications/calculations | |
| 13.9 The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels. | *Cy+5 Destroy | * Planning application response files | * Main record held with Planning Services |
| | **Cy S | **Record photographs | |
| | ***Cy+5 Destroy | *** Contract Working files | |
| 13.10 The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels. | Destroy 10 years after CPC | <ul style="list-style-type: none"> • Main Contract files | |
| 13.11 The activity of planning, designing, programming and constructing roads, streets, bridges, and tunnels. | Transfer to Client | <ul style="list-style-type: none"> • Contract Health and Safety Records | |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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INFRASTRUCTURE AND TRANSPORT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|---|--|------|
| Road Maintenance | | | |
| 13.12 The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels. | Destroy 12 years after action completed | | |
| Infrastructure Management and Maintenance | | | |
| 13.13 The activity of providing municipal services in relation to Infrastructure within the local authority. | Destroy 7 years after last action | <ul style="list-style-type: none"> • Street Files • Street Records • House numbering • Street Load Limits • Bus Shelters • Applications to dig up pavements • HGV application • Advice/comment • Level crossings • Right of Ways • Roundabouts • Traffic calming measures • Street lighting | |

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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INFRASTRUCTURE AND TRANSPORT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--|---|---|--|
| Infrastructure Management and Maintenance continued | | | |
| 13.14 | The activity of providing municipal services in relation to Infrastructure within the local authority. | Cy+10 Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Road Gritting Records • Records of Weather Forecasts/Conditions |
| 13.15 | The activity of providing municipal services in relation to Infrastructure within the local authority. | Cy+10 Destroy | <ul style="list-style-type: none"> • Roads and Lighting Faults • Reports |
| Roads | | | |
| 13.16 | <ul style="list-style-type: none"> • Regulation Orders • Traffic Regulation Orders • Construction Consent Files • Prospective Maintainable Highway (PMH) files • Construction Consent drawings | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | |
| 13.17 | <ul style="list-style-type: none"> • Site files • Project files • Temporary Orders • Contracts | Retain for 5 years destroy | |

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INFRASTRUCTURE AND TRANSPORT

13.18 Personal Injury Claim Retain for 3 years from date of injury then destroy

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Roads continued

13.19 Car Park Status Reports Retain for 7 years destroy

13.20 Construction consents Retain for 10 years then offer to Archivist

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Architects

| | | |
|-------|--|--|
| 13.21 | <ul style="list-style-type: none"> • Site layout drawings • Location plans • General arrangement drawings • Major detail drawings • Minor detail drawings | <p>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</p> |
|-------|--|--|

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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INFRASTRUCTURE AND TRANSPORT

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|----------------------|--|--|------|
| FSMS | | | |
| 13.22 | <ul style="list-style-type: none"> • CD/Manual • Command Audits • Crew Audits • Office Audits • Support Documents • Vessel Safety Audits | Cy Destroy | |
| Forms | | | |
| 13.23 | <ul style="list-style-type: none"> • ACC1 | Cy Transfer to Place of Deposit after administrative use is concluded. | |
| 13.24 | <ul style="list-style-type: none"> • FUE1 • Cancelled Service Records • | Cy+5 Destroy | |
| 13.25 | <ul style="list-style-type: none"> • COCF1 • PAF2 • MOF003 • DFB1 | Cy+5 Transfer to Place of Deposit after administrative use is concluded. | |
| 13.26 | Unable to Transit | Cy Destroy | |

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INFRASTRUCTURE AND TRANSPORT

- 13.27
- Staff Uniform Issue
 - Protective Clothing Requests
- Cy Destroy

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|---------------------|---|
| Ferry and Terminal Replacement Programme | | | |
| 13.28 | <ul style="list-style-type: none"> • Ferry and Terminal Budgets • General Correspondence | Permanent. | |
| 13.29 | <ul style="list-style-type: none"> • Meeting Documentation • Terminals • Vessels | Cy+2 Destroy | |
| 13.30 | <ul style="list-style-type: none"> • Fleet Ferries • General Maps/Plans • Videos* | Cy Destroy | * Destroy proposals. Keep 'As Fitted' drawings. |
| General | | | |
| 13.31 | <ul style="list-style-type: none"> • Library Books Index | Permanent | |
| 13.32 | <ul style="list-style-type: none"> • MCA • MRSC • Pre Build Ferry Plans | Cy+3 Destroy | |

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INFRASTRUCTURE AND TRANSPORT

| | | | |
|-------|--|------------|--|
| 13.33 | <ul style="list-style-type: none"> • Public Consultation Records (new build ferries) • Videos* • Sailing Statistics • Passenger Statistics • Ports and Harbours information | Cy Archive | <p>Save all on disc</p> <p>* Destroy proposals. Retain 'As Fitted' drawings.</p> |
|-------|--|------------|--|

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

General continued

| | | | |
|-------|--|--------------|-----------------------------------|
| 13.34 | <ul style="list-style-type: none"> • CD's Floppy discs • Ferry Fares • Ferry Photographs • Ferry Plans | Cy Destroy | Destroy when new promotion issued |
| 13.35 | <ul style="list-style-type: none"> • Emergency Drill Report (DRL1) • H&S Permit to Work • H&S Risk Assessment • Ladder/Gangway Register (LGR1) | Cy+5 Archive | |
| 13.36 | Stores Requests (MOF004) | Cy+6 | |
| 13.37 | <ul style="list-style-type: none"> • Published Fares Table • Ferries Timetables | Cy+6 Archive | |

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INFRASTRUCTURE AND TRANSPORT

- 13.38
- Traffic Data
 - Admiralty Notices to Mariners
- Cy+1 Destroy

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|----------------------|--|---------------------|---|
| MCA | | | |
| 13.39 | <ul style="list-style-type: none"> • Comms IT • Navigation Aids • Safety Equipment • Service Reports • Ultrasonics • Vessel correspondence | Permanent | Retain with Vessel until sold. Pass to new owner |
| 13.40 | <ul style="list-style-type: none"> • Crewing Documentation • Ship's Rosters • Strategy | Cy+1 Archive | |
| Vessels | | | |

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As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

INFRASTRUCTURE AND TRANSPORT

| | | | |
|-------|---|------------|--|
| 13.41 | <ul style="list-style-type: none"> • Vessel Diaries • Official Log Book* • 'Read It' Files • Transmission Notices** | Permanent. | <p>* Kept on board vessel until full. Passed to Registrar in Cardiff</p> <p>**Retain on board vessel</p> |
| 13.42 | <ul style="list-style-type: none"> • Ferries Works Licenses • Masters Standing Orders • Type Rating Certificate (CERT1) • Vessel Checklist (Deck) (CHK1a) • Waste Oil Receipt (SEPA) • Vessel Reviews • Unable to Transit* | Cy Destroy | * Retain for 10 years after retention period |

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Vessels continued

| | | | |
|-------|--|---|--|
| 13.43 | Safety Management Manual | Cy+2 Destroy | |
| 13.44 | <ul style="list-style-type: none"> • First Aid Log • GMDSS Log | 5 yrs Transfer to Place of Deposit after administrative use is concluded. | |
| 13.45 | <ul style="list-style-type: none"> • Deck Log • Engine Room Logs • Cumulative List of Notices to Mariners | 10 yrs Destroy | |

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Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.

As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.

INFRASTRUCTURE AND TRANSPORT

| | | | |
|-------|---|--|--|
| 13.46 | Oil Record Book | Cy+6 Destroy 10 years after retention period has been reached. | |
| 13.47 | <ul style="list-style-type: none"> • Crew Safety induction Report (FAM1) • Sea Service Testimonials | Retain whilst employed by SIC then Destroy | |
| 13.48 | Deck Logs | Cy Destroy once resolved | |
| 13.49 | Docking Reports | Cy Destroy once renewed | |
| 13.50 | <ul style="list-style-type: none"> • Drawings/Manuals* • Fleet Circulars (internal) • General Publications/Books | Cy+5 Archive | *Retain while in Council ownership then pass to new owner. |

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|--------------------------|--|---------------------|---|
| Vessels continued | | | |
| 13.51 | MAIB Investigations | Permanent | Until superseded by new updates from HSE/MCA |
| 13.52 | <ul style="list-style-type: none"> • Sold Vessels • Product Safety | Permanent | Retain while in Council ownership then pass to new owner. |
| 13.53 | Vessel checklist (Engineer) (CHK2a) | Cy+5 Destroy | |

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INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

TRANSPORT

Ferry Operations

| | | | | |
|-------|--|-----------|--|---|
| 13.54 | <ul style="list-style-type: none">• Docking Invoices• Docking Lists• Docking Reports | Permanent | | Retain with vessel until sold. Pass to new owner |
|-------|--|-----------|--|---|

Air, Bus And Fleet Operations

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INFRASTRUCTURE AND TRANSPORT

Taxi Licensing

| | | |
|-------|--|--|
| 13.55 | Destroy 2 years after expiry of taxi license | <ul style="list-style-type: none"> • Taxi license application forms |
| | Destroy once noted | <ul style="list-style-type: none"> • Police comments |
| | Destroy after 2 years | <ul style="list-style-type: none"> • Copy of taxi drivers license |

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Support And Planning

| | | | | |
|-------|---|--|--|-----------------|
| 13.56 | Regional Transport Strategy The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the Local Authority. | Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. | <ul style="list-style-type: none"> • Structure Plan • Local transport plan | Common Practice |
|-------|---|--|--|-----------------|

Public Transport

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed.

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INFRASTRUCTURE AND TRANSPORT

| | | | |
|---|--|---|---|
| 13.57 | The activities involved in the management and provision of public transport. | Destroy 3 years after superseded. Or last action. | <ul style="list-style-type: none"> • Timetables and Routes • Maps • Fares • Customer and industry liaison |
| Concessions, Warrants and Entitlements | | | |
| 13.58 | Process involving the provision and support for individuals using public transportation. | Destroy 1 year after last action. | <ul style="list-style-type: none"> • Application for concessionary travel pass • Card issue • Rail warrants • National Entitlement Card |

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Concessions, Warrants and Entitlements continued

IMPORTANT - Where there is, or there is the possibility of, litigation, the records and information likely to be affected must not be amended or destroyed until the litigation or threat of litigation has been resolved or removed. Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.

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INFRASTRUCTURE AND TRANSPORT

- 13.59 Process involving the provision and support for individuals in the process of being awarded/using a Blue Badge. Cy+3 Destroy
- Disability Living Allowance letters
 - Proof that the applicant is registered blind
 - Documents relating to a mobility vehicle supplied through the Dept of Health and Social Security
 - Award Letter of War Pensioner's Mobility Supplement

School Transport

- 13.60 Cy +1
- Pupil lists including any amendments during the school year

ASN Transport

- 13.61 Cy +1
- Pupil lists including any amendments during the school year

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| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--|---|
| 14 ECONOMIC DEVELOPMENT | | | |
| 14.1 Application for loan or grant – application rejected | Retain for five years, then destroy | | |
| 14.2 Grants to business – application approved | Retain for five years after termination of grant conditions then destroy | Marketing Development Programme Rural Shop Improvement Scheme Discretionary Delegated Scheme | |
| 14.3 Business loans – application approved | Retain for five years after termination of loan agreement/ conditions, review for ongoing value, and destroy | | Anything flagged up at the review stage for retention should have a further review period applied |

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| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|--|--------------------------|---|
| ECONOMIC DEVELOPMENT - Continued | | | |
| 14.4 | Business Gateway | CY+5 | Business development advice and assistance |
| 14.5 | Policy Files | Permanent | Grant scheme policies, strategies |
| 14.6 | Council initiatives to promote and develop tourism | CY+5 | |
| 14.7 | General Enquiry Files | CY+5 then review/destroy | |
| 14.8 | General Non-Project Files | CY+5 then review/destroy | Anything flagged up at the review stage for retention should have a further review period applied |

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| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|---|-------------------------|--|------|
| ECONOMIC DEVELOPMENT - Continued | | | |
| 14.9 | EU Correspondence Files | CY+5 | |
| 14.10 | Employment Surveys | Retain current survey plus previous two surveys. Retain summaries permanently on all surveys | |
| 14.11 | Shetland in Statistics | Retain working papers for three years. Retain a stock of all publications | |
| 14.12 | Research, Studies | Background papers – CY+5 Retain final reports permanently | |

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FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

ECONOMIC DEVELOPMENT - Continued

| | | | | |
|-------|---|--|--|---|
| 14.13 | European Funding | | | |
| | <ul style="list-style-type: none"> 2000-2006 H&I's Special Transitional Programme – ERDF | Destroy after 31/12/2016 | Shetland Business Enterprise Scheme Ph III Shetland Rural Retail Services Scheme Shetland Business Investment Scheme Capital Projects: Remote Isles Ro-Ro Terminals; New Fetlar Ro-Ro Terminal; Sumburgh Airport Runway Extension | As per Scottish Gov European Structural Funds Document Retention Dates, issued January 2015 |
| | <ul style="list-style-type: none"> 2000-2006 H&I's Special Transitional Programme – ESF | Destroy after 31/12/2017 | Childcare Training, Shetland | |
| | <ul style="list-style-type: none"> 2007-13 H&I's Convergence Programme – ERDF/ESF | Review after 31/12/2020 (earliest final retention date – likely to move further into the future) | Shetland Business Energy Efficiency Scheme, Training for Business Growth in Shetland Capital Projects: Shetland Fibre Optic Network; Walls Pier; Fetlar Berthing Facility; Skerries Dredging; Low Carbon Shetland | |

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- | | | | |
|---|--|--|---|
| <ul style="list-style-type: none"> • 2014-20 European Structural Funds | <p>No date been set as yet</p> | <p>Shetland's Strategic Employability Pipeline (ESF) Poverty & Social Inclusion (ESF) Business Gateway? (ERDF)</p> | <p>Currently awaiting Scottish Gov guidance on document retention dates</p> |
| <ul style="list-style-type: none"> • EFF 2007-13, Axis 4 Scheme | <p>31 December 2019 (possibility this may move further into the future as Scottish Gov closure of scheme progresses)</p> | | |
| <ul style="list-style-type: none"> • Applications to LEADER for grant funding – application rejected | <p>Retain for 7 years then destroy</p> | <p>Expressions of interest</p> | |
| <ul style="list-style-type: none"> • Applications to LEADER for grant funding – application approved | <p>Retain for 7 years from the end of the current Scottish Rural Development Programme (ie 7 years from 2020) then destroy</p> | <p>Case files</p> | |

| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|------------------------------|--------------------|---|--------------------|
| 15 PORTS AND HARBOURS | | | |
| Harbours General | | | |
| 15.1 | Permanent. Archive | <ul style="list-style-type: none"> • Log Books (Port Control) • Mooring • NLB • Pilot Launches • Ship to Ship • Hydro graphic Office • Stores Suppliers details • Stores Stock Quantities • Stores Stock Value • Supplier Database • SV1/SV2 • Towage • VTS • BPA • Day Book | Constantly updated |
| 15.2 | Cy+3. Archive | <ul style="list-style-type: none"> • HSE Correspondence • Port Security | |

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| FUNCTION DESCRIPTION | Retention Action | EXAMPLES OF RECORDS | Note |
|-----------------------------------|------------------|--|-----------------|
| Harbours General continued | | | |
| 15.3 | Cy+6. Destroy | <ul style="list-style-type: none"> • Improvement Notices • Job tickets • Leases • Lease property files • Property files • Daily Meals Forms | |
| 15.4 | Cy+3. Destroy | <ul style="list-style-type: none"> • Working Contracts • Inspection Report Forms • Log Books (Vessels) • Project files • External Agencies Correspondence | Bond, Met, Saab |

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| | | | |
|------|-------------------|---|-------------------------------------|
| 15.5 | See note. Destroy | <ul style="list-style-type: none"> Harbour Area Plans Pier Construction Plans and Reports | Keep until termination of structure |
| | | <ul style="list-style-type: none"> Port Plans and Crown Estate Lease Agreements | Keep until termination. |
| | | <ul style="list-style-type: none"> Technical Accounts Work Procedures | End of equipment life. |
| | | <ul style="list-style-type: none"> Customer Agreements and Plans | Keep until termination |
| | | <ul style="list-style-type: none"> ITC/GA/IOPP | |

FUNCTION DESCRIPTION

Retention Action

EXAMPLES OF RECORDS

Note

Harbour General continued

| | | | |
|------|---------------|--|---------|
| 15.6 | Cy+5. Destroy | <ul style="list-style-type: none"> PO Copies Quotes | DNV(QA) |
| | | <ul style="list-style-type: none"> Works Licence Applications | |
| 15.7 | Cy+6 Archive | <ul style="list-style-type: none"> Property Claims SOTEAG/SVOSAC Statistical Returns Technical Working Group | |
| 15.8 | Cy+4 Destroy | <ul style="list-style-type: none"> QA | |

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15.9

Cy+5 Archive

- Safety Committee

14.10

Cy+10 Destroy

- Completed Incident Report
Forms and Operations Logs