

OSCR Business Classification Scheme

Version control

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Introduction

This document gives an overview of OSCR's business classification scheme or corporate file structure. It proposes standards that should be applied and provides suggested guidelines for good practice. It also makes recommendations about the way our records should be organised.

Information is a critical asset to OSCR, and indeed, to any organisation. It must be managed carefully for a number of reasons:

- to find information quickly no matter where it is located
- to ensure that we always have the latest information
- to share information with colleagues
- to monitor and control how information is created and used
- to record the changes made to information and who made the changes
- legal admissibility
- to enable us to comply with the requirements of the Freedom of (Scotland) Information Act and S.61 code.
- To enable us to comply with the Public Records (Scotland) Act 2011

This document sets out a business classification scheme within our electronic records management (ERM) system and paper records. OSCR has created and implemented a hybrid file plan. This is functional at a broad level (with disposal rules mostly operating at that level) with subject-based sub-classes.

The business classification scheme determines how records are organised within the ERM system and our paper files. Records are grouped together for the following reasons:

- to identify the ownership or management responsibility for a group of documents and records
- to support retention and disposal schedules (which determine how long we keep our records)
- to support navigation and searching (to make it easier to find the information we need or the work we do)
- to provide context for individual documents and records





ERM provides a complete system for managing the lifecycle of OSCR's records, from creation, to saving it in a managed environment, to its eventual disposal, destruction or transfer to the National Registers of Scotland. It has a powerful search engine and the ability to save 'favourite' files and documents in a 'handy' drop down menu ensuring we can save and find our work quickly and efficiently.

This document supports OSCR's Records Management Policy and a précis of this document informs the retention schedules that are an appendix to that document.

Structure of OSCR's records within EDRM

This section provides an overview of the structure of the OSCR's records (our business classification scheme) with Objective and the elements that make up the structure.

OSCR's records are stored within a hierarchy made up of four (or five) main levels. The system is managed so that OSCR staff are only able to add documents and records to files at the lowest levels.

<p>The repositories represent OSCR's high-level business functions (e.g. Registration and Status, Monitoring and Investigation etc)</p>	 Repository	Function
<p>The repositories are subdivided into folders which correspond to the activities which make up the high level functions (e.g. Status applications).</p>	 Objective Folder	Activity
<p>Files group together a specific area of work, such as status casework relating to a particular charity.</p>	 Objective File	Transaction
<p>Documents and records are individual pieces of work or items of information. Examples include word documents, emails, spreadsheets and PowerPoint presentations.</p>		Records

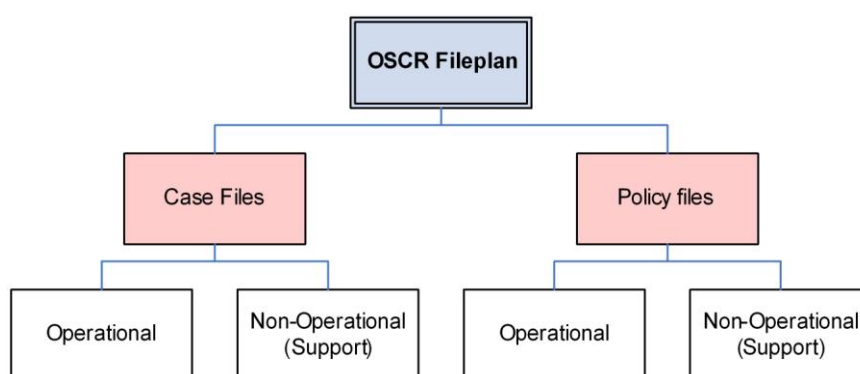
OSCR Fileplan: Overarching Principles

There are three underlying principles within the OSCR fileplan that influenced its design:

- a) the distinction between case files and policy files
- b) the distinction between operational files and non-operational (i.e. support) files.
- c) Separation of records between different functions (functional separation)

(a) Case files vs. Policy files

The fileplan is divided at the top level between case files and policy files, and operational and non-operational (or support) files.



Case Files – These files relate to a defined process which has a distinct beginning and end. For instance, an investigation file is opened when a complaint is received. The investigations officer then conducts their inquiry according to the defined procedures, until the inquiry is complete and the case is closed. Case files can be either operational (e.g. investigations, consents, non-submissions cases), or non-operational (e.g. procurement of goods, Freedom of Information (Fol) requests, recruitment of staff).

Policy Files – These files relate to the ongoing development of policy within OSCR, and fall into three broad categories: procedures - documents detailing OSCR's business rules and processes, (e.g. annual return procedures, Data Protection procedures); guidance - documents which relate to guidance for charities or members of the public (e.g. "Brief Guide to Regulation of Charities", "Inquiry and Intervention Policy"); and stakeholders – our ongoing work with other regulators and umbrella bodies (e.g. HMRC, Communities Scotland, SCVO). These files do not have a defined beginning and end, or a set procedure to follow, as the development of policy is an ongoing process which will continue for the life of OSCR.

(b) Operational files vs. Support files

The fileplan also draws the distinction between operational business areas and non-operational (or support) business areas.

In any organisation, the core activities of the organisation can be termed operational, whereas the other business streams which support these activities are support. For instance, in a school the teachers perform the operational activities, whereas the admin, cleaning, janitorial and management staff (who may also be teachers with operational responsibilities) undertake the support activities, such as human resources, policy development, health and safety, and facilities management.

In the case of OSCR, the primary (operational) activity is the regulation of charities. The operational business areas are divided between two divisions: register and status; and monitoring and investigations.

All other business streams - such as information management, resource management (incorporating HR and finance), and policy development – exists to support the primary activities.

(c) Functional Separation

Another overarching principle of the fileplan is the division of case files by function rather than subject. For instance, all inquiry files are stored sequentially in the structure in the order they were created, as are invoices. The alternative to this would be to have all case files relating to a specific charity stored together, and all invoices stored in folders by supplier.

Functional separation has been chosen as this simplifies the retention of documents in each business stream, whereas if all case files were stored by charity, the different case file types (i.e. consents cases, inquiry cases, rolling review cases) would all have different retention periods, and they would either have to be 'weeded' from the charity files when the retention period is complete, or complex code would need to be written to take care of this automatically.

The disadvantage of functional separation rather than division by subject is that it does not allow the user to 'browse' through a complete history of the charity in one folder. However, this functionality is delivered by searching, as the user will be able to find all case files, and documents such as single response queries and media articles which relate to a specific charity by searching for the charity number in the metadata. This also allows cases and documents to relate to more than one charity, without the user having to manually file a copy of the document in each charity folder.

Summary of Classification Headings

1 Information Management

The Information Management function of the fileplan contains folders and files relating to the following functions:

- Proactive communications
- Official Enquiries and briefings

- ICT issues

1.1 Proactive Communications

The Communications Manager has responsibility for this section of the fileplan.

1.1.1 Media Digest

A separate file is created for each year and will contain the 12 monthly media digests for that year. Media digests are stored in Microsoft Word format and are for distribution to the OSCR Board and staff.

Retention Period:	Paper	N/A
	Electronic	7 years from closure of file
Exceptions:	None	
Authority:	National Archives: Retention Scheduling 8: Press & Public Relations Records (Item 5)	
File Series:	<i>IM/MED/REL/YY-NNN</i>	

Use 1.1.2 for individual media/press cuttings

1.1.2 Media Cuttings

A single folder contains all the individual press cuttings. These records are saved into the EDM system as document type "Press Activity Document" and the relevant metadata added. A corporate search "*Find media cuttings*" is set up in PD/PRO/Corporate Searches to locate press cuttings through metadata searching.

Retention is at document level with cuttings being destroyed after one month.

Retention Period:	Paper	N/A
	Electronic	1 month from document creation
Exceptions:	None	
Authority:	National Archives: Retention Scheduling 8: Press & Public Relations Records Newspaper Licensing Authority (NLA) Terms and Conditions	
File Series:	<i>IM/MED/REL/YY-NNN</i>	

1.1.3 Image Library Records

A file will be created for each new photo shoot, for example, "Board Photography September 2008". Files may contain:

- electronic .jpg images
- physical documents (reference to hard copy image)
- physical objects (reference to photo CD)

Files should be closed when the images are no longer required.

Retention is at file level with files being destroyed after 1 year from date of closure.

Retention Period:	Paper	N/A
	Electronic	1 year from closure of file
Exceptions:	None	
Authority:	National Archives: Retention Scheduling 8: Press & Public Relations Records (Item 10) specifies retention as when “no longer required”.	
File Series:	<i>IM/IL/YY-NNN</i>	

1.1.4 Internal Communications (Platforms)

Each year a separate file will be created for each internal communications platform used (for example 2008 Riverside Review, 2008 Comms Chatter).

The file should only contain the final copy (.pdf) of the internal publication. Drafts of these internal communications should not be declared as records and stored in the EDM system. Files should be closed at the end of the financial year and a new file created.

Retention Period:	Paper	N/A
	Electronic	3 years from closure of file
Exceptions:	None	
Authority:	National Archives: Retention Scheduling 8: Press & Public Relations Records (Item 15) ‘Brochures & Guides’ specifies retention as 3 years.	
File Series:	<i>IM/CP/YY-NNN</i>	

1.1.5 Events Organisation

The Engagement Managers have responsibility for this area of the fileplan. A separate file will be created for the following scenarios:

- A new OSCR-led event (“internal”)

- An invitation to attend/ participate in an outside event (“external”)

Each file should contain the appropriate metadata from the following prescribed list.

Event Date	Event Type	Event Description	Event Status
	Internal (OSCR-led)	Roadshow	n/a
		Conference	
		Video-Conference	
		Consultation/ Focus Group	
		Staff	
		Outreach training	
	External	Invitations	Approved
		Pending	
		Declined	

In general terms an event file will contain the following types of record: booking forms, venue information, promotion, event evaluation, presentations, delegate lists*, accommodation/food arrangements, transport.

Files are closed when the event is complete, and files are retained for three years after closure.

Retention Period:	Paper	N/A
	Electronic	3 years from date file closed
Exceptions:	*Delegate lists should be destroyed immediately following completion of the event.	
Authority:	National Archives: Retention Scheduling 8: Press & Public Relations Records (Items 4,13-15) specifies retention as 3 years.	
File Series:	<i>IM/EVE/YY-NNN</i>	

Use 2.8 to file evaluation or feedback which relates to policy development.
Use 5.8 to file information relating to procurement.

1.1.6 Publications (proofing documentation)

A separate file will be created for each publication that involves external design or proofing. The file should contain:

- any proofing information and drafts
- final sign off and authorisation
- the final version of document as published
- documentation relating to the reprinting of publications.

Files are closed when the document is rendered obsolete or defunct, and are retained for one year after closure.

Use 2.5 for records relating to the development of charity law policy.

Use 2.2 for library copies of the final copy for publications as these should be retained in perpetuity, as they are of historical interest.

Use 5.8 for records relating to the procurement of goods or services

Retention Period:	Paper	
	Electronic	1 year from closure of file
Exceptions:	None	
Authority:	The documentation is of short-term interest and not critical to the day-to-day running of OSCR. One-year retention will provide ample opportunity for any challenge to the drafting/ authorisation process.	
File Series:	<i>IM/PUB/YY-NNN</i>	

1.1.7 Press Releases

A separate file will be created for each OSCR press release issued, and will contain all the drafting and approval notes relating to that specific release.

Files are closed when the press release is issued and files are retained seven years after closure.

Retention Period:	Paper	7 years from closure of file
	Electronic	7 years from closure of file
Exceptions:	None	
Authority:	National Archives: Retention Scheduling 8: Press & Public Relations Records (Item 1) 'Press Releases' specifies retention as 7 years.	
File Series:	<i>IM/MED/REL/YY-NNN</i>	

Use 3.4.1 for updates to OSCR's media strategy

1.1.8 OSCR Website Development

The Web Officer has responsibility for this section of the fileplan. Files are

created on an annual basis to manage the following information:

- Planning the structure of the website
- Drafting content and publishing web pages
- Monitoring, reviewing and updating website content.

Files are closed at the end of the financial/ reporting year. Retention is at file level with files being retained for 5 years

Retention Period:	Paper	n/a
	Electronic	5 years from closure of file
Exceptions:	None	
Authority:	SMT.	
File Series:	<i>IM/WD/YY-NNNN</i>	

Use 5.8.3/5.8.4 for procurement of new products/ services

Use 5.8.2 for records relating to contract management

Use 3.8 for minutes of website champions meeting

Use 5.5 for records relating to ICT projects and project management

1.1.9 Publicity Campaigns

A new file should be created for each campaign launched by the Communications Team, for example, the 2008 OSCR Awareness Campaign. As a minimum, each file should contain the media booking schedule and the final copy of any artwork produced.

Files are closed when the campaign is completed and files are retained for 5 years from closure of file.

Retention Period:	Paper	n/a
	Electronic	7 years from closure of file
Exceptions:	None	
Authority:	Item 9 "Retention Scheduling. 8: Press & Public Relations Records". Public Records Office	
File Series:	<i>IM/PC/YY-NNNN</i>	

Use 5.8.3/5.8.4 for records relating to the procurement of goods and services

Use 1.1.6 for publications material

Use 2.8 for evaluation of campaigns

1.1.10 Social Media

A new file should be created by the Communications Team to manage Social Media: twitter, facebook content for a particular year.

Files are closed at the end of each year and files are retained for 5 years from closure of file.

Retention Period:	Paper	n/a
	Electronic	5 years from closure of file
Exceptions:	None	
Authority:	SMT	
File Series:	IM/SM/YY-NNNN	

Use 5.8.3/5.8.4 for records relating to the procurement of goods and services

Use 1.1.6 for publications material

Use 2.8 for evaluation of campaigns

1.2 Official Enquiries and Briefings

Responsibility for this section of the fileplan is shared between the Communications Manager, Website Officer, FOI/Data Protection Officer, Engagement Manager (Policy & Research) and the Information Manager.

1.2.1 Official Enquiries (FOI/ DP/ ROPSI disclosures)

Responsibility for this section of the fileplan is shared between FOI/Data Protection Officer and the Engagement Manager (Policy & Research). Each file contains responses to enquiries requiring the disclosure or otherwise of information governed by legislation or national policy, i.e.:

- Subject Access requests under the Data Protection Act
- Freedom of Information (FOISA) requests
- Reuse of Public Sector Information requests (ROPSI)

Files are closed only when the review period for that legislation has expired.

In general terms, these files should contain a record of correspondence between OSCR and the enquirer and a record of:

- Who handled the request
- How the request was researched
- How the request was resolved
- Whether information was released or withheld
- Any review/appeal conducted.

Retention Period:	Paper	n/a
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	Electronic	3 years after file closed
Exceptions:	None	
Authority:	National Archives. Based on guidance contained in "14 FOI Model Retention Schedule".	
File Series:	<i>IM/QRV/YY-DDDD</i>	

1.2.2 Parliamentary Questions (PQs)

The Communications Manager is responsible for this sub-section of the fileplan. A file will be created for each OSCR response to oral and written PQs received from the Scottish Government.

Files are closed when the final response has been approved and submitted.

Retention Period:	Paper	5 years after file closed
	Electronic	5 years after file closed
Exceptions:	None	
Authority:	SMT. A permanent record is kept by the Scottish Parliament in the daily "Written Answers Report"	
File Series:	<i>IM/QRV/YY-DDDD</i>	

Use 1.2.3 for briefings to MSPs or SPICE

Use 1.2.3 for Parliamentary Committees

1.2.3 Official Briefings (MSPs, Committees)

This section of the fileplan is the responsibility of the Communications Manager. A new file should be created for each new briefing request received by OSCR from:

- Private Offices of other Government Departments
- SPICE
- Parliamentary Committees
- MSPs, MPs or MEPs

Retention Period:	Paper	N/A
	Electronic	5 years from closure of file
Exceptions:	Of historical interest: Permanent retention	

Notes	
Authority:	SMT
File Series:	<i>IM/QRY/YY-DDDD</i>

Use 1.2.2 for Parliamentary Questions (PQs)

1.2.4 Media briefing (Press Statements)

This section of the fileplan is the responsibility of the Communications Manager. This folder also includes a Zero file "Media log" containing a log of all transactions for a particular year.

A new file should be created for the preparation, publication and distribution of each official communication with the media. The file is closed when the statement is released.

Retention is at file level, with information being retained for seven years.

Retention Period:	Paper	N/A
	Electronic	7 years from closure of file
Exceptions:	n/a	
Notes		
Authority:	National Archives: Retention Scheduling 8: Press & Public Relations Records (Item 6) 'Correspondence with media' specifies retention as 7 years.	
File Series:	<i>IM/MED/REL/YY-NNNN</i>	

Use 1.1.9 for publicity campaigns

Use 1.2.3 for official briefings

1.2.5 External Enquiries (Sales/Marketing)

A new file should be created for Sales/ Marketing queries that require a response. The Information Manager has responsibility for this section of the fileplan.

Retention Period:	Paper	N/A
	Electronic	1 year from closure of file
Exceptions:	n/a	
Notes		
Authority:	SMT. These records have no organisational value and should be destroyed after 12 months.	
File Series:	<i>IM/QRY/YY-DDDD</i>	

Use 1.2.1 for official enquiries requiring disclosure by OSCR (FOI. DP)

1.3 ICT Issues

The IT Systems Administrator has responsibility for this section of the fileplan. A separate file will be created for each ICT issue logged with the various support providers, and will contain all emails and notes in relation to the specific issue. Files will be retained for five years after closure.

Retention Period:	Paper	n/a
	Electronic	5 years from date closed
Exceptions:		
Authority:	SMT	
File Series:	IM/ICT/YY-NNNN	

Use 3.4.1 for IT strategy

1.4 IT Configuration

The IT Systems Administrator has responsibility for this section of the fileplan. A separate file will be created for each appliance/ hardware/ software for which OSCR needs to keep configuration details. This area of the fileplan is secured.

Retention Period:	Paper	n/a
	Electronic	Until appliance/ hardware/ software is replaced or superseded.
Exceptions:		
Authority:	SMT	
File Series:	IM/ICT/YY-NNNN	

2. Policy Development

The section of the fileplan is set up to manage:

- the development of policy relating to the Charities and Trustee Investment (Scotland) Act
- the drafting of legislative guidance
- the development of OSCR corporate policy
- OSCR's contribution to legislation or standards
- the research and evaluation of evidence to support policy-making
- OSCR's procedures (incorporating desk instructions)

2.1 Procedures

This section of the fileplan is used by all of OSCR's teams, however, the Information Manager has responsibility for policing its use.

The procedures folder is subdivided into the same subheadings as exist within the fileplan. This is because each business area in the fileplan is expected to have its own procedures. Some procedures may need to sit higher up in the hierarchy within procedures, if they relate to more than one business area.

Retention in this subheading is at document level, with documents being retained for five years, with the exception of procedures manuals, which are retained indefinitely. This is to allow OSCR to retain the procedures manuals for as long as we retain the cases to which those manuals were applied.

Retention Period:	Paper	N/A
	Electronic	Five years from date of creation
Exceptions:	Procedures Manuals (permanent retention)	
	Procedures Supporting documentation (permanent retention)	
Authority:	SMT	
File Series:	PD/PRO/YY-NNN	

Use 2.4 for corporate policies

Use 2.5 for charity law policy development

2.2 Publications Library

The Engagement Team has responsibility for this section of the fileplan.

The publications library should contain an electronic copy of every document produced by OSCR for external consumption. This includes publications that have been professionally typeset as well as any material that has been produced internally. Three copies of that publication or a print out (web material) should also be added to OSCR's publications library in the Small Meeting Room.

The only allowable document type is "guidance publication document". Metadata is captured on the following:

- Abstract
- Date of publication
- Review date
- Date of expiry

- Publication Category
- Owner of Publication
- Author
- Printed Stock

Retention is at document level with all publications being kept permanently.

Retention Period:	Paper	Permanent
	Electronic	Permanent
Exceptions:	None.	
Authority:	SMT	
File Series:	<i>PD/PUB/YY-NNN</i>	

Use 1.1.6 for drafting/ sign off of the publications

2.3 Stakeholders

This section of the fileplan is used by all of OSCR's teams, however, the Information Manager has responsibility for policing its use.

A separate file will be opened for each stakeholder identified through the course of OSCR's activities. These will generally not be charities, except where the charity represents a large number of other charities (e.g. SCVO, Girl Guiding Scotland). It is expected that sub-files may need to be created for large organisations, such as the Scottish Government, who contact us through various different departments.

Retention in this subheading is at document level, with documents being retained for five years, with the exception of agreements such as Memoranda of Understanding, or Concordats, which are retained for five years after they are rendered obsolete or out of date.

Retention Period:	Paper	
	Electronic	Five years from date of creation.
Exceptions:	MOUs/ Concordats (Retain until superseded)	
Authority:	SMT	
File Series:	<i>PD/STK/YY-NNN</i>	

Use 2.5 "Scottish Charity Law Policy Development" for papers relating to the development of OSCR policy around charity law

Use 2.6 "Contributing to developing legislation or standards" where OSCR is contributing to policy for which OSCR is not directly responsible.

2.4 Corporate Policies

This section of the fileplan is used by all of OSCR's teams, however, the Information Manager has responsibility for policing its use.

A new topic file should be created for each unique area of corporate policy development, such as OSCR's policy on media handling. Each file should contain records developing, reviewing and updating policies and plans that affect the whole of OSCR, for example:

- Communications: media-handling
- Equalities and diversity
- Procurement

Corporate policy files may also contain papers for working groups, held in support of that policy. Files are closed when the policy is no longer in force.

Retention Period:	Paper	7 years from closure of file
	Electronic	7 years from closure of file
Exceptions:		
Authority:	SMT.	
File Series:	PD/GUI/YY-NNN	

Use 2.5 for policy development relating to CTI(S) and supporting regulations.

2.5 Charity Law Policy Development (OSCR)

This section of the fileplan is used by all of OSCR's teams, however, the Information Manager has responsibility for policing its use.

A new policy development file should be created for each unique area of policy development relating to charity law/ regulation. The topic file is for:

- Developing policy related to OSCR's functions
- Drafting and developing codes of practice to advance policies
- Drafting legislative guidance

Each policy development file should include the following general records:

- Consultation – Internal/ External
- Equalities
- Communications
- Board Approval
- Impact Assessment

Retention Period:	Paper	1 st Review 12 years
	Electronic	1 st Review 12 years
Exceptions:		
Authority:	SMT	
File Series:	<i>PD/GUI/YY-NNN</i>	

Use 2.8 “Research & Evidence” for the analysis of evidence which informs the policy-making process

Use 2.2 “Publications Library” for final published versions of legislative guidance.

2.6 Contributing to legislation or standards

This section of the fileplan is used by all of OSCR’s teams, however, the Information Manager has responsibility for policing its use.

A new file should be created where OSCR is contributing to policies for which OSCR is **not directly** responsible. Examples include the SORP Committee and Fundraising Standards Board Code of Conduct.

Retention is at file level with the file closed when OSCR’s contribution is complete. Files and their contents will be destroyed after 5 years.

Retention Period:	Paper	
	Electronic	5 years from date closed.
Exceptions:		
Authority:	SMT	
File Series:	<i>PD/GUI/YY-NNN</i>	

Use 2.5 for policy development relating to CTI(S)

2.7 Legal Library

This subsection of the fileplan is the responsibility of the Senior Legal Adviser. The legal library folder is subdivided into files by reference to individual legislation (CTI(S), Companies Act) and then by section of the Act.

Each file contains important records that either set a particular precedent or document an important decision reached.

Retention Period:	Paper	n/a
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	Electronic	Permanent
Exceptions:		
Authority:	SMT.	
File Series:	PD/LL/YY-NNNN	

Use 2.4 for corporate policy development
Use 2.5 for charity law policy development

2.8 Research and Evidence

This section of the fileplan is the responsibility of the Engagement Manager (Policy & Research). A new research file should be created where OSCRC commissions research to support policy development. Each file should contain the following standard records:

- Initial file note
- Information submissions/ evidence from third parties
- Analysis
- final research report

Retention Period:	Paper	n/a
	Electronic	Permanent
Exceptions:		
Authority:	SMT	
File Series:	PD/RE/YY-NNN	

Use 5.8.3/5.8.4 for commissioning research projects
Use 5.8.2 for managing research contracts
Use 2.8 for final copies of any published research.

3. Senior Management

This section of the fileplan deals specifically with OSCRC management issues, such as:

- Audit
- Board Meetings
- SMT meetings
- Team meetings
- Complaints/ compliments
- Strategic, business and financial planning

- Corporate knowledge and records management
- Statistics and Data Collection

3.1 **Audit & Assurance**

3.1.1 **Audit Committee meetings**

This subsection of the fileplan is the responsibility of the Head of Support Services.

A separate file will be created for each audit committee meeting held by OSCR. These files will contain the agenda, minutes and working papers of the meeting. Files are retained for 3 years after the audit is complete.

Retention Period:	Paper	n/a
	Electronic	3 years
Exceptions:		
Authority:	National Archives Retention Scheduling 11 “Internal Audit Records”. Item 7 “Minutes of meetings and related papers, including those of the Audit Committee”	
File Series:	SM/AUD/YY-NNN	

Use 3.1.2 for internal audit reports

3.1.2 **Internal audit**

This subsection of the fileplan is the responsibility of the the Head of Support Services.

A separate file will be created for each internal audit carried out in OSCR. These files will contain the working documents and final report presented as a result of the audit. Files are retained for six years after the audit is complete.

Retention Period:	Paper	n/a
	Electronic	6 years
Exceptions:		
Authority:	National Archives Retention Scheduling 11 “Internal Audit Records”. Item 1 “Audit reports (including interim), where these have included the examination of long-term contracts”	
File Series:	SM/AUD/YY-NNN	

Use 2.1 for copies of finance procedure documents
 Use 3.1.3 for External audit

3.1.3 External audit

This subsection of the fileplan is the responsibility of the the Head of Support Services.

A separate file will be created for each audit carried out in OSCR. These files will contain the working documents and final report presented as a result of the audit. Files are retained for six years after the audit is complete.

Retention Period:	Paper	n/a
	Electronic	6 years
Exceptions:		
Authority:	National Archives Retention Scheduling 11 "Internal Audit Records". Item 1 "Audit reports (including interim), where these have included the examination of long-term contracts"	
File Series:	SM/AUD/YY-NNN	

Use 2.1 for copies of finance procedure documents
 Use 3.1.2 for internal audit

3.1.4 Accountable Officer

This subsection of the fileplan is the responsibility of OSCR's accountable officer, the Chief Executive. Files are retained permanently.

Retention Period:	Paper	n/a
	Electronic	Permanent
Exceptions:		
Authority:	OSCR Chief Executive	
File Series:	SM/AUD/YY-NNN	

3.2 Customer feedback

3.2.1 Compliments

This section of the fileplan is used by all of OSCR's teams, however, the Information Manager has responsibility for policing its use. A separate file is

created by each team as required to store compliments received about the work of the team. Retention is at document level with documents being retained for three years.

Retention Period:	Paper	n/a
	Electronic	3 years from document creation date
Exceptions:	* Consideration needs to be given to the processing of personal data	
Authority:	SMT	
File Series:	SM/A&C/YY-NNN	

3.2.2 Complaints

This subsection of the fileplan is the responsibility of the Head of Support Services.

A separate file will be created for each general complaint received by OSCR. This will contain the initial complaint, any internal file notes in relation to OSCR investigation of the matter and OSCR's response.

Complaints fall into three broad categories:

- against standards of service
- against OSCR policy
- on maladministration (failure to deal with matters properly or fairly)

OSCR's complaints records would normally comprise:

- Name and address of the complainer
- Date of receipt of the complaint (this gives a target response date)
- Details of the complaint (for research/ analytical purposes)
- Remedy being sought by the complainer
- Action to be taken by OSCR on the complaint

Cases are closed when it appears the complainant no longer wishes to pursue their complaint. The scope of complaints records may also include complaints handled by the Scottish Public Service Ombudsman (SPSO)

Retention Period:	Paper	n/a
	Electronic	3 years from date closed.
Exceptions:		
Authority:	National Archives Retention Scheduling 7 "Complaints Records". Item 5 "Case Records"	

File Series:	<i>SM/A&C/YY-NNN</i>
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Use status/ consent case files for requests for reviews under CTI(S)
 Use 3.4 for appeals through Scottish Charity Appeals Panel (SCAP)
 Use 1.2.1 for reviews/appeals under FOI(S)A

3.2.3 Unacceptable actions

This subsection of the fileplan is the responsibility of the Head of Support Services. A new file is set up to manage records relating to actions under OSCR's 'unacceptable actions' policy.

Files are closed when the transaction has been concluded and retention of files is for three years from date closed, in line with complaints.

Retention Period:	Paper	n/a
	Electronic	3 years from date closed.
Exceptions:		
Authority:	National Archives Retention Scheduling 7 "Complaints Records". Item 5 "Case Records"	
File Series:	<i>SM/A&C/YY-NNN</i>	

3.3 OSCR Board

3.3.1 Board Minutes and papers

This section of the fileplan is the responsibility of the PA to the Chief Executive and the Engagement Manager (Policy & Publications).

A separate file will be created for each meeting of the OSCR Board, containing the papers, agenda and minutes for that meeting. Files are retained in perpetuity as they are of historical interest.

Retention Period:	Paper	n/a
	Electronic	Permanent
Exceptions:	Minutes are transferred to NRS Digital archive.	
Authority:	SMT	
File Series:	<i>SM/BRD/YY-NNN</i>	

Use 3.1.1 for audit committee meetings
 Use 2.5 for charity law policy development
 Use 2.4 for corporate policy development

3.4 **Judicial Reviews and SCAP appeals**

This section of the fileplan is the responsibility of the Senior Legal Adviser. A separate file will be created for each appeal to the Scottish Charity Appeals Panel (SCAP) or judicial review.

Retention Period:	Paper	n/a
	Electronic	10 years
Exceptions:		
Authority:	SMT	
File Series:	<i>SM/SCAP/YY-NNN (SCAP appeals)</i>	
	<i>SM/JR/YY-N (Judicial Reviews)</i>	

Use 1.2.1 for reviews/appeal under FOI(S)A

3.5 **Business Strategy/ development**

This section of the fileplan is the responsibility of OSCR's Senior Management Team.

3.5.1 **Strategic planning**

A strategy is a high-level plan or approach to help OSCR achieve its aims and objectives. A file is created to manage the development of each operational strategy. Examples include OSCR's Communications strategy, Equalities strategy, IT strategy, Knowledge Management strategy and Compliance Support strategy.

Each strategy will lead to the development of policies and procedures. For example, the equalities strategy has led to the development of a translation policy and events policy. These policies in turn will have procedures (detailed desk instructions) associated with them.

Strategy files are closed when the strategy is superseded.

Retention Period:	Paper	n/a
	Electronic	5 years
Exceptions:	Until strategy superseded	
Authority:	SMT	
File Series:	<i>SM/SP/YY-NNN</i>	

Use 2.4 for Corporate Policy Development

Use 2.5 for Charity Law Policy Development
 Use 2.1 for team procedures

3.5.2 Business Planning

These files are created to manage the development of OSCR's Corporate Plan. The Corporate Plan sets out:

- OSCR's forward vision and values
- The strategic context that will influence our priorities for the next three years
- Our strategic and business objectives
- Key performance indicators

Files are closed at the end of the planning cycle to which they related, for example, the "Corporate Plan 2007-10" file will be closed in April 2010, triggering destruction in April 2013.

Retention Period:	Paper	3 years from end of planning cycle to which it relates
	Electronic	3 years from end of planning cycle to which it relates
Exceptions:		
Authority:	SMT	
File Series:	<i>SM/BP/YY-NNN</i>	

Use 2.4 for Corporate Policy Development
 Use 3.4.1 for strategy documents
 Use 2.1 for team procedures

3.5.3 Financial Planning

A file should be created for each new financial plan or submission to the Scottish Administration.

The files are for planning the use of financial resources, for example, the preparation and submission of OSCR input to the Spending Review Process, annual budgeting, and Spring/ Autumn budget revisions. Files are closed when the submission has been prepared.

A file opened to manage returns relating to SR2007, for example, will be closed at the end of the Spending Review cycle in 2011.

Retention Period:	Paper	3 years from end of planning cycle to which it relates
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	Electronic	3 years from end of planning cycle to which it relates
Exceptions:		
Authority:	National Archives	
File Series:	SM/FP/YY-NNN	

Use 1.2.3 for submissions to Parliamentary Committees
Use 5.6.6 for management accounts

3.6 Corporate Knowledge Management

This subsection of the fileplan is the responsibility of the Information Manager.

This section of the file plan should include all aspects of records management, library and information provision to staff. This also includes initiatives to identify and disseminate corporate knowledge.

3.6.1 Records Management

Development, review and updating of OSCR's Records Management Plans:

- Business Classification Scheme
- Retention schedule
- Management of registered files
- Electronic document and records management (Objective)

Retention Period:	Paper	n/a
	Electronic	Permanent
Exceptions:		
Authority:	"National Archives 9: Information Management Records". Items 1, 2, and 12.	
File Series:	SM/CKM/YY-NNN	

Use 2.4 for records management policies
Use 2.1 procedures for records management procedures, including good practice.
Use 3.4.1 for strategic planning

3.6.2 Team Meetings

A separate file should be created for each new team meeting held. Metadata on the file should be used to record the:

- date of the meeting
- teams involved in the meeting

Retention Period:	Paper	n/a
	Electronic	5 years
Exceptions:		
Authority:	SMT	
File Series:	SM/TM/YY-NNN	

Use 3.9 for Management Reports

3.6.3 Incoming correspondence

This section of the fileplan is the responsibility of the Information Manager. Incoming correspondence is scanned on a daily basis to the Records Management System. All paper originals are batched and placed in archive boxes by scanning date for secure storage on site. They are kept for 3 years from date received.

Retention Period:	Paper	3 years
	Electronic	n/a
Exceptions:		
Authority:	SMT	
Archive box Series:	OSCRnnn	

3.6.4 Accounts scanning

This section of the fileplan is the responsibility of the Contact Team. Each day, accounts received by post will be checked against OSCAR Online and scanned and uploaded to the application. Paper originals will be kept for three months.

Retention Period:	Paper	3 months
	Electronic	n/a
Exceptions:		
Authority:	SMT	
File Series:	n/a	

3.7 OSCR Risk Register

This section of the fileplan is the responsibility of OSCR's Senior Management Team.

A separate file should be created to hold each new draft of the Risk Register

Retention Period:	Paper	n/a
	Electronic	Permanent
Exceptions:		
Authority:	SMT	
File Series:	SM/SMT/YY-NNN	

3.8 SMT Minutes and papers

This section of the fileplan is the responsibility of OSCR's Senior Management Team.

A separate file will be created for each meeting of the SMT, containing the papers, agenda and minutes for that meeting. Files are retained in perpetuity as they are of historical interest.

Retention Period:	Paper	n/a
	Electronic	Permanent
Exceptions:		
Authority:	SMT	
File Series:	SM/SMT/YY-NNN	

Use 3.3.1 for Board agenda and minutes

Use 2.5 for charity law policy development

Use 2.4 for corporate policy development

3.9 Management Reports

This section of the fileplan is used by all of OSCR's teams, however, the Information Manager has responsibility for policing its use. A separate file will be created for each management report prepared for SMT, either collectively or individually. These could include:

- progress reports on specific activities or projects
- monthly management accounts.

- monthly board stats

Retention Period:	Paper	n/a
	Electronic	5 years
Exceptions:		
Authority:	SMT	
File Series:	SM/MAN/YY-NNN	

Use 3.10.1 for data analysis

Use 3.6.2 for Team Meetings

3.10 Statistics and Data Collection

3.10.1 Data Analysis

The Engagement Manager (Policy & Research) is responsible for this section of the fileplan. Files in this sub-section are used to manage the analysis of data, such as SCIO research or analysis of the top 300 charities by income.

Dynamic data can not be stored in Objective and is held on the G drive.

Retention Period:	Paper	n/a
	Electronic	5 years
Exceptions:	* Consideration needs to be given to the retention of personal data	
Authority:	SMT	
File Series:	SM/SDC/YY-NNN	

4. Human Resources

4.1 Speculative Job Applications

The Head of Support Services has overall responsibility for this section of the file plan. A new file should be created to manage the acknowledgement of receipt of a speculative application by OSCR.

A retention period of one month is suggested as external recruitment to OSCR is handled by Scottish Government. Applications and CVs contain sensitive personal data and have no corporate value to OSCR. Retention is at document level within this folder.

Retention Period:	Paper	
	Electronic	1 month
Exceptions:		
Authority:	National Archives	
File Series:	n/a	

4.2 Training and development

The Head of Support Services has overall responsibility for this section of the file plan.

This section of the fileplan is used for:

- Developing, delivering and monitoring the induction process for new staff
- Developing, delivering and monitoring internal training

Files are closed when the training or induction has been delivered.

Retention Period:	Paper	
	Electronic	5 years from date closed
Exceptions:		
Authority:	National Archives	
File Series:	<i>HT/JRT/YY-NNN</i>	

Use 2.1 for induction procedures

Use 2.4 for corporate policies

4.3 Personnel files

The Head of Support Services has overall responsibility for this section of the file plan.

A separate file will be created for every staff member in OSCR, whether temporary, seconded or permanent. This file will contain papers which relate to that specific individual's employment with OSCR, such as the initial application for that individual, training logs, performance appraisals and disciplinary notes. Files are closed when the employee leaves OSCR, triggering the destruction of documents within the file.

A retention period of 6 years has been agreed by SMT as the main record is held by Scottish Government Personnel and/or held electronically in the Scottish Government E-HR system.

Personnel files should contain the following records:

- Contracts of employment
- Changes to terms and conditions
- Promotion/ temporary promotion documentation
- Annual Performance Appraisal documentation

Retention Period:	Paper	
	Electronic	6 years from date file closed
Exceptions:		
Authority:	SMT	
File Series:	<i>RM/HR/PER/YY-NNN</i>	

Use 4.4 for all documentation relating to the recruitment of new posts

4.4 Recruitment

The Head of Support Services has overall responsibility for this section of the file plan. A separate file will be created for every post to which OSCR attempt to recruit. This will contain the initial job specification, drafting information for adverts, applications and CVs received as a result, and any notes on the selection process. The file will be closed when the recruitment process is complete and an individual has been appointed.

Retention Period:	Paper	
	Electronic	1 year from date closed
Exceptions:		
Authority:	National Archives Records Management Retention Scheduling 2. Employee Records	
File Series:	<i>RM/HR/REC/YY-NNN</i>	

Use 4.3 personnel files for individual staff records.

4.5 HR Returns

The Head of Support Services has overall responsibility for this section of the file plan. A file should be set up for each new return requested by Scottish Government. These will typically include:

- summary returns for annual Performance Markings
- returns for numbers on strike action

- returns to quarterly ONS employee surveys

Retention Period:	Paper	
	Electronic	5 years from date closed
Exceptions:		
Authority:	National Archives Records Management Retention Scheduling 2. Employee Records	
File Series:	<i>RM/HR/HRR/YY-NNN</i>	

Use 4.4 personnel files for individual annual performance markings

4.6 Personnel – Emergency Contact Details

The Head of Support Services has overall responsibility for this section of the file plan. This section contains OSCR’s vital records of contact details for all staff in the event of a business continuity/ DR scenario.

Retention Period:	Paper	
	Electronic	Permanent
Exceptions:		
Authority:	SMT	
File Series:	<i>RM/HR/PER/YY-NNN</i>	

4.7 Health and Safety

The Head of Support Services has overall responsibility for this section of the file plan. This section contains records relating to Health and Safety, such as the purchase of equipment to help staff to carry out their duties.

Retention Period:	Paper	
	Electronic	5 years
Exceptions:		
Authority:	SMT	
File Series:	<i>RM/HR/PER/YY-NNN</i>	

5. Resource Management

5.1 Estate Management

This section of the fileplan is managed by the Finance Officer. This section of the fileplan is used for managing the construction, fitting-out, managing, maintaining, protecting and disposing of OSCR property.

A new file should be created to manage in-year activities, such as:

- Maintenance
- Specialist inspections & surveys
- Minor works
- Emergency works
- Estate planning

Retention Period:	Paper	
	Electronic	5 years from date closed
Exceptions:		
Authority:	SMT	
File Series:	<i>RM/EM/YY-NNN</i>	

Use 5.8.3/5.8.4 for procurement of goods or services

Use 5.8.2 for contract management

5.2 Environmental Management

This section of the file plan is the responsibility of the Finance Officer and manages returns to the Scottish Government and Audit Scotland. This includes surveys on: travel plans, emissions, recycling and waste disposal.

Files are closed when the return has been sent.

Retention Period:	Paper	
	Electronic	5 years from date closed
Exceptions:		
Authority:	SMT	
File Series:	<i>RM/ENVM/YY-NNN</i>	

5.3 Project Management

Individual project files are the responsibility of the relevant project manager. Project files should be created for each major project initiated by OSCR. Examples include: Objective Workflow and Integrated Reporting.

The project file will contain the following standard documentation:

- Project proposals
- Product descriptions
- Project Initiation Documentation (PID) and supporting documentation (including business cases)
- Detailed project plans
- Agenda and minutes of Project Boards
- Project reports (quality reviews, GANTT charts etc)
- Project assessments (interim and final evaluation*)

Retention Period:	Paper	
	Electronic	10 years
Exceptions:	* “lessons learned” documentation should be marked for permanent preservation	
Authority:	National Archives Records Management: Retention Scheduling 6: Project Records	
File Series:	RM/PM/YY-NNN	

Use 5.8.3/5.8.4 for procurement

5.4 Finance 2012-13 (Last year accounts)

The Finance Officer is responsible for this section of the fileplan.

A high-level folder series is created for each accounting year to group together all accounting folder and file series necessary for that year. No retention schedule is set for this high-level folder as retention schedules for the files underneath are inherited from the folders within.

When the end-of-year finance processes are complete and the annual accounts have been approved and signed off, all the files within the folder series are closed and the folder moved to finance history (5.7).

5.4.1 Accounting Systems

The Finance Officer is responsible for this section of the fileplan.

A new file is created to manage correspondence relating to each accounting system (SEAS, EASEbuy etc). Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
	Electronic	6 years from date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2) Item 3 “other accountable financial records”	
File Series:	<i>RM/FIN/ACC/YY-NNN</i>	

5.4.2 Annual Accounts

The Finance Officer is responsible for this section of the fileplan.

These files are used to manage the end-year accounts process, and will typically include accruals schedules and fixed assets. Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
	Electronic	6 years from date files closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2) Item 3 “other accountable financial records”	
File Series:	<i>RM/FIN/ANN/YY-NNN</i>	

5.4.3 Bank Account

The Finance Officer is responsible for this section of the fileplan.

These files are used to manage OSCR banking records.

Retention Period:	Paper	
	Electronic	6 years from date files closed
Exceptions:		

Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2) Item 3 “other accountable financial records”
File Series:	<i>RM/FIN/BACC/YY-NNN</i>

5.4.4 Expenditure

The Finance Officer is responsible for this section of the fileplan. This section may be further sub-divided alphabetically. Expenditure files are opened when an invoice is received and should include the following general types of record:

- Invoices
- Claims for payment
- Supporting documentation
- Credit notes

Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
	Electronic	6 years from date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/FIN/EXP/eYY-NNNN</i>	

5.4.5 Fixed Assets

The Finance Officer is responsible for this section of the fileplan. Fixed asset files should contain the following general records for each financial year:

- Asset movements
- Queries
- Inspection reports
- Quarterly asset reconciliation

Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
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	Electronic	6 years from date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/FIN/FIX/YY-NNN</i>	

5.4.6 Journals

The Finance Officer is responsible for this section of the fileplan. A file is created for each routine journal which does not initiate a charge. Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
	Electronic	2 years
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/FIN/JL/jYY-NNN</i>	

5.4.7 Management Accounts

The Finance Officer is responsible for this section of the fileplan. A new file should be created for each set of monthly management accounts. This includes budget monitoring and forecasting. Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
	Electronic	2 years*
Exceptions:		
Authority:	SMT. *This retention period is in excess of that recommended by the National Archives but reflects OSCR's business need to keep this material for reference purposes.	
File Series:	<i>RM/FIN/MAN/YY-NNN</i>	

5.4.8 Payroll

The Finance Officer is responsible for this section of the fileplan. These files contain salary ledger records and reconciliation. Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
	Electronic	Two years from date closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/FIN/PAY/YY-NNN</i>	

5.4.9 Suppliers

The Finance Officer is responsible for this section of the fileplan. A separate file should be created for each supplier. This should include any statement of account or outstanding orders. Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
	Electronic	2 years from date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/FIN/SUP/YY-NNN</i>	

5.4.10 Travel and Subsistence

The Finance Officer is responsible for this section of the fileplan. This section of the fileplan is used to manage queries and reports relating to travel and subsistence. Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
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	Electronic	2 years from date file closed
Exceptions:		
Authority:	SMT * OSCR only holds subsidiary records. The Scottish Government has primary responsibility for travel and subsistence records.	
File Series:	<i>RM/FIN/TRA/YY-NNN</i>	

5.4.11 VAT

The Finance Officer is responsible for this section of the fileplan. A new file is created to manage the quarterly VAT reports. Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
	Electronic	6 years from date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/FIN/VAT/YY-NNN</i>	

5.4.12 Unit Costs

The Finance Officer is responsible for this section of the fileplan. A new file is created to manage the annual calculations for unit costs. Files are closed when the end-year accounts have been signed off.

Retention Period:	Paper	
	Electronic	6 years from date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/FIN/UC/YY-NNN</i>	

5.4.13 Public Services Reporting Act

The Finance Officer is responsible for this section of the fileplan. A new folder is created to manage annual submissions/ returns to SG on expenditure over £25,000. Disposal is at the document level with returns being kept for 6 years.

Retention Period:	Paper	
	Electronic	6 years from date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	n/a	

5.5 Finance history

The Finance Officer is responsible for this section of the fileplan. The previous 6 years' accounts are stored in this section of the fileplan until they are sentenced and destroyed. Files within this section will inherit a retention schedule from their parent folder in line with 5.6.

5.5.1 Finance 2006-07

5.5.2 Finance 2007-08

5.5.3 Finance 2008-09

5.5.4 Finance 2009-10

5.5.5 Finance 2010-11

5.6 Finance 2013-14 (current financial year)

The Finance Officer is responsible for this section of the fileplan. A new folder is set up to manage the next year's financial transactions (this is often set up in advance of the year end).

Files within this section will inherit a retention schedule from their parent folder in line with 5.6

5.7 Purchasing

These folders will only contain information in relation to specific contract or procurement exercises. All policy and procedures in relation to procurement should be retained in the relevant policy folder.

5.7.1 Collaborative contracts

The Finance Officer is responsible for this section of the fileplan. A new file is created when OSCR calls off a Scottish Government or National contract. The file is used to manage correspondence between OSCR and the contract co-ordinator in the Scottish Government. The file is closed when the contract is completed.

Retention Period:	Paper	
	Electronic	6 years from date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/PUR/PRO/YY-NNN</i>	

5.7.2 Contract Management

The Finance Officer is responsible for this section of the fileplan. A new contract management file should be created for each major contract awarded. This contains a copy of the contract (where appropriate) or a reference to that contract. It managed all correspondence between OSCR and the contractor. Files are closed when that contract is completed.

Retention Period:	Paper	
	Electronic	6 years from date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/PUR/CON/YY-NNN</i>	

5.7.3 Procurement (High)

The Finance Officer is responsible for this section of the fileplan. A new procurement file should be created where OSCR identified the need to procure a product or service over a value £5,000. These files will contain:

- File notes
- Business Case/ justification
- Tender documents

- Invitation to tender

Files are closed when the contract is awarded.

Retention Period:	Paper	
	Electronic	6 years from end of contract
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/PUR/PRO/YY-NNN</i>	

Use 5.8.5 for unsuccessful tender applications

5.7.4 Procurement (Low)

The Finance Officer is responsible for this section of the fileplan. A new procurement file should be created where OSCR identified the need to procure a product or service below a value of £5,000. These files will contain:

- File notes
- Business Case/ justification
- Competitive quotes

Files are closed when the contract is awarded.

Retention Period:	Paper	
	Electronic	6 years from end of contract
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/PUR/PRO/YY-NNN</i>	

Use 5.8.3 for procurement of goods or services over £5,000

5.7.5 Unsuccessful tenders

The Finance Officer is responsible for this section of the fileplan. A new file is created for each procurement exercise which leads to a competitive tender process. Records relating to the unsuccessful tender are added to the file and the file closed.

Retention Period:	Paper	
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	Electronic	One year after date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/PUR/PRO/YY-NNN</i>	

5.7.6 Purchase Orders over £5,000

The Finance Officer is responsible for this section of the fileplan. A file is opened to track financial commitments over £5k.

Retention Period:	Paper	
	Electronic	Six years after date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/PUR/PRO/YY-NNN</i>	

5.7.7 SPPN Notices

The Finance Officer is responsible for this section of the fileplan. A file is opened each year to manage Statutory Procurement Policy Notes issued by Scottish Government.

Retention Period:	Paper	
	Electronic	Six years after date file closed
Exceptions:		
Authority:	National Archives Records Management: Retention scheduling 3 Accounting Records as directed in the Scottish Public Finance Manual (Annual Accounts: Annex 2)	
File Series:	<i>RM/PUR/SPPN/YY-NNN</i>	

6. Monitoring, Investigation and Compliance

This section of the fileplan is set up under a hybrid approach. To accommodate case files containing both investigation and litigation material, this section of the functional scheme moves from the general function of investigating apparent misconduct to subject-driven case files. Case files are set up by charity/ body name and indexed in this way. Case files may contain advice given to a charity, the investigation and in extreme cases court information. These files will only contain records relating to specific cases, and all templates and procedures documents will be held in the relevant policy section. Case files and/or advice files are retained for five years after closure.

6.1 Annual Monitoring Programme

The Monitoring Manager is responsible for this section of the fileplan.

6.1.1 Monitoring exception testing casework

A Monitoring Case File is opened where a matter is of interest to OSCR but the issues raised do not appear to relate to misconduct or serious mismanagement and it does not appear from the complaint that charity assets are at risk. Any risk assessment and associated documentation should be allocated to the Compliance case file

Retention Period:	Paper	n/a
	Electronic	7 years
Exceptions:		
Authority:	SMT	
File Series:	MI/INQ/YY-NNN	

6.1.2 Monitoring advice

A monitoring advice file is opened where there is a request for advice or support in relation to completing the monitoring return form or completing the accounts.

Retention Period:	Paper	
	Electronic	5 years
Exceptions:		
Authority:	SMT	
File Series:	IM/QRV/YY-NNN	

6.1.3 Section 19 Casework

A new file is opened for each charity is opened up where monitoring is required under Section 19. The s.19 file will remain open until the charity has asset value of less than £1,000. The file is then closed triggering destruction in five years.

Retention Period:	Paper	
	Electronic	5 years
Exceptions:		
Authority:	SMT	
File Series:	MI/INQ/YY-NNNN	

6.1.4 Cross Border Monitoring

A new file is opened for each cross border charity that requires monitoring, files are set up by charity name and year and contain the caselog and correspondence necessary to carry out the casework.

Retention Period:	Paper	n/a
	Electronic	7 years
Exceptions:		
Authority:	SMT	
File Series:	MI/INQ/YY-NNNN	

6.1.5 MR fails NS Casework

A new file is opened to manage non submission casework for charities with an income of greater than £25,000.

Retention Period:	Paper	n/a
	Electronic	7 years
Exceptions:		
Authority:	SMT	
File Series:	MI/INQ/YY-NNN	

6.1.6 MR fails – y/e 31 March 2010 +

As above.

6.1.7 Fail letters

This section of the fileplan is used to store individual fail letters sent to charities on behalf of the monitoring team.

Retention Period:	Paper	n/a
	Electronic	5 years
Exceptions:		
Authority:	SMT	
File Series:	MI/INQ/YY-NNN	

6.2 Investigations and Compliance

The Compliance and Investigations Manager is responsible for this section of the fileplan.

6.2.1 Investigation and Compliance casework

An investigations case file is opened where an enquiry matter is of interest to OSCR and the issues raised indicate that there may have been misconduct in the charity or that charity assets may be at risk. The business rules for opening an enquiry file are as follows:

- receipt of any complaint or referral (external or internal)
- any intelligence for a named charity.

Case files are set up by charity/ body name and indexed in this way. These files will only contain records relating to that case, and all templates and procedures documents will be held in the relevant policy section. Case files are retained for five years after closure.

Action will be taken in accordance with the Enquiry and Intervention policy. For further information see Chapter 5 of the Investigations Procedure Manual.

Enforcement case files may also include the issue of notices or directions, including legal action.

Retention Period:	Paper	
	Electronic	10 years*
Exceptions:	*Inquiry files marked 'No inquiry required' will be selected for disposal after 5 years.	
Authority:	SMT	

File Series:	<i>MI/INQ/YY-NNN</i>
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6.2.2 Investigations and Compliance advice

This section of the fileplan is set up under a hybrid approach and includes subject-driven case files. Advice files will be used for compliance support type queries from charities, advisers and members of the public. Advice that requires some research or cross team working will be named COMPLEX within the subject description. These could include queries about the status of an organisation 'e.g. is it a charity?' type queries. Also anonymous concerns not attributable to a named charity will be captured as a query type "concerns".

Retention Period:	Paper	
	Electronic	5 years
Exceptions:		
Authority:	SMT	
File Series:	<i>IM/QRV/YY-NNN</i>	

6.2.3 Applications for waiver of disqualification

A new case file should be set up for each application for waiver. Case files are retained for 5 years from date of closure.

Retention Period:	Paper	
	Electronic	5 years
Exceptions:		
Authority:	SMT	
File Series:	MI/WAV/NN-YYY	

6.3 MIC Outreach

6.3.1 MIC Operational Projects

The Engagement Team and Accounts Adviser are responsible for this section of the fileplan.

Operational projects are specific projects which are undertaken in relation to a number of charities. For instance, 2005 non-submission (the initial clear up of the Index) would be classed as an operational project, as would the rate relief query undertaken in Early 2005. The folder will contain the governance documents in relation to the project (project plan, progress reports), and the responses received as a result of the project. These files will be retained for 5 years after completion of the project. No templates and procedures employed during the project should be stored in here – these should be stored in a corresponding policy folder.

Retention Period:	Paper	
	Electronic	5 years from date closed
Exceptions:		
Authority:	SMT	
File Series:	MI/OPP/NN-YYY	

6.3.2 Compliance support with intermediaries

The Engagement Manager (Training & Development) is responsible for this section of the fileplan. A separate file will be created for each intermediary identified. The file will contain correspondence between OSCR and a particular intermediary body, such as Girlguiding Scotland. Given the ongoing nature of correspondence, retention will be at document level with documents being

destroyed 5 years after creation.

Retention Period:	Paper	
	Electronic	5 years from creation date
Exceptions:		
Authority:	SMT	
File Series:	<i>MI/COM/NN-YYY</i>	

Use 2.3 external agencies liaison for correspondence that does not relate to compliance issues.

6.3.3 MIC Themed Studies

The Engagement Manager (Training & Development) and Accountancy Adviser are responsible for this section of the fileplan. These files will be retained for 5 years after completion of the study.

Retention Period:	Paper	
	Electronic	5 years from date closed
Exceptions:		
Authority:	SMT	
File Series:	<i>MI/TS/YY-NNN</i>	

Use 2.8 for research and evaluation
Use 3.10.1 for data analysis

6.4 Legacy Compliance and Investigation Information

The Compliance & Investigation Manager is responsible for this section of the fileplan. In September 2011, any legacy records worthy of preservation were transferred from the g drive to objective under the supervision of the Head of Enforcement.

6.4.1 Exempt Promoters

See 7.6

6.4.2 Investigations

See 6.2.1

6.4.3 Monitoring

See 6.1.1

7. Registration and Status

Register and Status contains operational case files relating to the charity register and examining charitable status.

7.1 Status – Applications

7.1.1 New Status Applications

The Registration Team Business Manager is responsible for this subheading in the fileplan. A separate file is created for each new application processed through workflow. This will contain the initial application, any internal file notes or correspondence in relation to the application, and the final decision letter. These files will only contain information about specific cases, and will not contain general information about this business area, as these should be retained in the relevant policy folder.

Retention Period:	Paper	N/A
	Electronic	5 years from closure of file
Exceptions:	Additional review period of 12 months for flagged records	
Authority:	SMT	
File Series:	RS/STA/YY-NNN	

Use 7.1.3 for advice (where there has not been an application for status)

7.1.2 Status advice

The Registration Team Business Manager is responsible for this subheading in the fileplan. A separate file will be created when advice is offered to an applicant.

Retention Period:	Paper	N/A
	Electronic	5 years from closure of file
Exceptions:		
Authority:	SMT	
File Series:	IM/QR/YY-NNN	

Use 7.1.2 for status applications

7.2 Status – Rolling Review

7.2.1 Rolling Review of Charitable Status Case Files

The Registration Team Business Manager is responsible for this subheading in the fileplan. A separate file will exist for each review carried out, whether this is into a single charity (e.g. an independent school), or a group of charities with the same parent body and founding document (e.g. The Guides). These files will only contain information about specific cases, and will not contain general information about this business area, as these should be retained in the relevant policy folder.

Retention Period:	Paper	
	Electronic	5 years from closure of file
Exceptions:		
Authority:	SMT	
File Series:	<i>RS/REV/YY-NNN</i>	

7.2.2 Rolling Review Pilot Case Files (2007)

The Casework Policy Manager(s) are responsible for this subheading in the fileplan. A separate file will exist for each of the original pilots carried out. These files will only contain information about specific cases, and will not contain general information about this business area, as these should be retained in the relevant policy folder.

Retention Period:	Paper	
	Electronic	Permanent
Exceptions:		
Authority:	SMT	
File Series:	<i>RS/RPP/YY-NNN</i>	

7.2.3 Rolling Review of fee-charging schools

The Casework Policy Manager(s) are responsible for this subheading in the fileplan. A separate file will exist for each review carried out. These files will only contain information about specific cases, and will not contain general information about this business area, as these should be retained in the relevant policy folder.

Retention Period:	Paper	
	Electronic	5 years from closure of file
Exceptions:		

Authority:	SMT
File Series:	<i>RS/REV/YY-NNN</i>

7.3 Consents and Notifications

7.3.1 Consents and Notifications Case Files (Workflow)

The Registration Team Business Manager is responsible for this subheading in the fileplan. A separate file is created for each new consent or notification transaction through workflow. This will contain the initial application, any internal file notes or correspondence in relation to the application, and the final decision letter. These files will only contain information about specific cases, and will not contain general information about this business area, as these should be retained in the relevant policy folder.

Retention Period:	Paper	
	Electronic	5 years from date file closed
Exceptions:		
Authority:	SMT	
File Series:	<i>RS/C&N/YY-NNN</i>	

7.3.2 C&N advice (non casework queries files)

The Registration Team Business Manager is responsible for this subheading in the fileplan. A separate file will be created when advice is offered to an applicant.

Retention Period:	Paper	N/A
	Electronic	5 years from closure of file
Exceptions:	Additional review period of 12 months for flagged records	
Authority:	SMT	
File Series:	<i>IM/QRY/YY-NNN</i>	

Use 7.3.1 for consents or notification applications

7.4 Scottish Charity Title Files

7.4.1 Scottish Charity Title Files (electronic)

The Registration Team Business Manager is responsible for this subheading in the fileplan. A separate file will be created for each charity, purely for the purpose of holding its governing document. Title files are closed when a charity is removed from the register and retained for 2 years after closure.

Retention Period:	Paper	
	Electronic	Destroy after 2 years
Exceptions:	*Of historical interest	
Authority:	SMT	
File Series:	RS/CHA/SCxxxxxx	

7.4.2 Scottish Charity Title files (paper)

The Registration Team Business Manager is responsible for this section of the fileplan. 36,000 paper files were inherited from HMRC in May 2006 and included historical HMRC correspondence. These constituted the most up-to-date record of charitable status/ title in Scotland and formed the basis of the current statutory Scottish Charity Register. The majority of paper title files were destroyed in November 2011 with the approval of SMT and NRS. Key documents were scanned into electronic title files (7.4.1). A small number of paper title files relating to Local Authorities (<100) are kept and stored on site.

Paper files are closed when the charity has either ceased or reorganised.

Retention Period:	Paper	First review after 10 years
	Electronic	
Exceptions:		
Authority:	National Archives	
File Series:	n/a	

7.5 Designated religious charities applications (DRCs)

The Accounts Adviser is responsible for this section of the fileplan. This section of the fileplan will contain a separate file for each charity which has been designated, or applied for designation as such. This will contain details of our interaction with the DRC, and details of its membership.

Retention Period:	Paper	
	Electronic	Permanent retention
Exceptions:		

Authority:	SMT
File Series:	

Use 2.4 for corporate policies
Use 2.5 for charity law policy development

7.6 Designated National Collectors (DNCs)

The Compliance and Investigations Manager is responsible for this section of the fileplan. Formerly known as exempt promoters, a separate file will be created for each charity which has been designated, or applied for designation. This will contain details of their application and any queries from local authorities in relation to that specific charity.

Retention Period:	Paper	
	Electronic	5 years after date closed
Exceptions:		
Authority:	SMT	
File Series:	RS/DRB/NNN	

Files will be closed when the charity is no longer a designated national collector, and the file will be retained for five years after closure.

7.7 Registration and Status Operational Projects

The Charities Team Business Manager is responsible for this section of the fileplan. Operational projects are specific projects which are undertaken in relation to a number of charities. For instance, 2005 non-submission (the initial clear up of the Index) would be classed as an operational project, as would the rate relief query undertaken in Early 2005. The folder will contain the governance documents in relation to the project (project plan, progress reports), and the responses received as a result of the project. These files will be retained for 5 years after completion of the project. No templates and procedures employed during the project should be stored in here – these should be stored in a corresponding policy folder.

Retention Period:	Paper	n/a
	Electronic	5 years from date closed
Exceptions:		

Authority:	SMT
File Series:	RS/OPP/YY-NNN

8. Annual submission and Keeping the Register

8.1 Annual Return and accounts queries

The Contact Team Manager is responsible for this section of the fileplan. A separate queries file will be created to manage correspondence relating to:

- Basic accounts enquiries
- Basic enquiries about the annual return form

A separate file should be created for each new transaction with a charity.

Cases will be closed when the procedure is complete, and files are retained for 5 years after closure.

Retention Period:	Paper	
	Electronic	5 years from date closed
Exceptions:		
Authority:	SMT	
File Series:	IM/QRV/YY-NNNN	

8.2 Enquiries about charitable status

The Contact Team Manager is responsible for this section of the fileplan. A separate file will be created for each request for information about the status of an organisation.

Files are closed when the request has been completed, and are retained for two months from date closed.

Retention Period:	Paper	
	Electronic	5 years from date closed
Exceptions:		
Authority:	SMT	
File Series:	IM/QRV/YY-NNNN	

8.3 'Orphan' accounts

The Contact Team Manager is responsible for this section of the fileplan. A separate file will be created to manage casework relating to Annual Returns. Where 'orphan' accounts (accounts not attached to an Annual return) are received, these will be scanned into Objective and a Case Work file opened. When the missing Annual Return is receipted and validated, the file is closed and the paper return filed and attached.

Cases will be closed when the procedure is complete, and files are retained for 3 year after closure.

Retention Period:	Paper	n/a
	Electronic	3 years after file closed
Exceptions:		
Authority:	SMT	
File Series:	ASR/OA/YY/NNN	

8.4 Annual Return non-submission casework

The Contact Team Manager is responsible for this subheading in the fileplan. A separate file will exist for each new non submission case. This will contain internal file notes or correspondence in relation to the case, and any formal communications. These files will only contain information about specific cases, and will not contain general information about this business area, as these should be retained in the relevant policy folder.

Cases are closed when the procedure is complete, and files are retained for 5 years after closure.

Retention Period:	Paper	n/a
	Electronic	5 years after date closed
Exceptions:		
Authority:	SMT	
File Series:	MI/COM/YY/NNNN	

8.5 Annual Returns, Monitoring Returns & accounts (paper)

The Contact Team Manager and Monitoring Manager are responsible for this subheading in the fileplan. Following receipt and validation of the returns, they are filed in the manual filing cabinets:

- By date validated; and

- By charity number

Annual returns/ accounts are retained for three years from the date validated and then destroyed.

Retention Period:	Paper	3 years
	Electronic	
Exceptions:	Returns for non submitting charities to be kept until they are removed or submit (as agreed with LA Jan 2012)	
Authority:	SMT	
File Series:	n/a	

Use 7.7.3 for electronically scanned 'orphan' accounts.

8.6 Scottish Charity AR Data (OSCR Online)

The Contact Team Manager and Monitoring Managers are responsible for the OSCR Online application. The Charity Database contains information about Scottish Charities, including financial information and personal information.

Retention Period:	Paper	n/a
	Electronic	5 years*
Exceptions:		
Authority:	SMT	
File Series:		

*The application performs daily housekeeping on all data over 5 years old.