

File Plan and Retention Schedule



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Introduction

Purpose and intended use

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

Audience

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

Contents

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



Part 1 – File Plan

Introduction

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

File Plan

REF	LEVEL 1 - FUNCTION
	LEVEL 2 – ACTIVITY
	LEVEL 3 – SUB-ACTIVITY
00	Management of Function* (Section common to some areas of the file plan)
00.01	Meetings
00.02	Policies, Procedures and Guidance
00.03	Quality and Performance Management
00.04	Standard templates and forms
00.05	Strategy and planning
01	Corporate Management and Governance
01.01	Corporate administration
01.02	Governance
	Equality
	Environmental Management
	Register of Interest
01.03	Meetings
01.04	Projects
	Yearly sub-folders
01.05	Quality and Performance Management
01.06	Risk Management
	Business Continuity
	Health and Safety
	Organisation Risk Assessment
01.07	Strategy and planning



REF	LEVEL 1 - FUNCTION	
	LEVEL 2 – ACTIVITY	
	LEVEL 3 – SUB-ACTIVITY	
02	Enforcement	
02.01	Compliance	
		Assessment
		Practice Recommendation
		Enforcement Notice
02.02	Investigations	
02.03	Management of Enforcement Function*	
02.04	Publication Schemes	
03	Facilities Management	
03.01	Development, Maintenance and Repair	
03.02	Management of FM Function*	
04	Finance	
04.01	Annual Accounts	
04.02	Asset management	
04.03	Budget and Accounts Management	
04.04	Insurance	
04.05	Management of Finance Function*	
04.06	Payroll and pensions	
04.07	Procurement	
		Contract Management
		Market Information
		Non-Tendered Procurement
		Tendered Procurement
05	Human Resources	
05.01	HR Administration	
05.02	Management of HR Function*	
05.03	Recruitment	
05.04	Training	
06	Information Management	
06.01	Access to Information	
06.02	Knowledge Management	
06.03	Management of IM Function*	
06.04	Records Management	
07	Information Technology	
07.01	Management of IT Function	
07.02	Systems Management	



REF	LEVEL 1 - FUNCTION
	LEVEL 2 – ACTIVITY
	LEVEL 3 – SUB-ACTIVITY
08	Policy and Communication
08.01	Enquiries
08.02	Events and Campaign Management
08.03	External Consultations
08.04	External Relations
	External Relations with stakeholders including Civil Society and Public Sector
	Media Relations
08.05	Internal Communications
08.06	Management of P&C Function*
08.08	Publications and Guidance
08.09	Research
	Policy Research
	Stakeholder Research



Part 2 – Retention Schedule

Introduction

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

Using the Retention Schedule

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



Format of Retention Schedule

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

Heading	Description
Activity / Records Series	The grey highlighted rows represent the activity taking place within the function e.g. within the <i>Corporate Management and Governance</i> function there is an activity for <i>01.04 Projects</i>
	The records created or received for each activity are detailed as a <i>Record Series</i> e.g. within the <i>01.04 Projects</i> activity there are a series of records for <i>Project File</i> and <i>Project Register</i>
Examples of Record Types	Examples of the records within the <i>Record Series</i> . This uses terminology you will be familiar with.
Trigger	Details the event which triggers the retention period and resulting action e.g. end of project or end of a financial year.
Retention Period	A minimum period for which the records should be retained. Options available:- <i>xx years</i> – expressed as full years <i>Permanent</i> <i>None</i>
Action	The action which must be taken with a record. Options available:- <ol style="list-style-type: none"><i>Review for KM¹ value</i> - (These records should be reviewed and flagged with one of options 2 to 4 below).<i>Retain – KM</i> - These records will be reviewed annually to ensure that they remain of value.<i>Permanent Archive</i><i>Destroy</i>

¹ KM – Knowledge Management



Heading	Description
Custodian	The custodian with overall responsibility for records within a function or activity. Refer to Information and Records Management Handbook for further explanation.
Authority	This details what authority dictates the retention period – legal, statutory or business requirements
Citation / Notes	Details relevant legislation or notes on business need to retain records.
Location	Where master ² record is stored.

Destruction of records

16. Where records have been identified for disposal they should be disposed of in an appropriate way. Refer to Section 8 of the Information and Records Management Handbook for guidance on the disposal methods available.
17. Care should be taken to ensure that all records containing personal or sensitive information are disposed of securely. For example, records containing personal information about living individuals should be destroyed in a way that prevents unauthorised access (this is required to comply with the 7th data protection principle of the Data Protection Act 1998).
18. There are instances when records scheduled for destruction should be retained as detailed in the Section 61 Code of Practice on Records Management by Scottish Public Authorities under the Freedom of Information (Scotland) Act 2002³

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

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

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

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



- c) *They contain or relate to information recently released in response to a request under FOISA. This may indicate historical value and destruction should be delayed while this is re-assessed.*

Destruction Registers

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



Scottish Information Commissioner Retention Schedule

00 - Management of Function

These are generic retention periods based on business activities shared across all SIC functions. Where appropriate, retention information specific to a particular function is detailed on its own schedule.

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
00.01 – Meetings								
Team meetings	Agenda Minutes Notification of meetings Related papers	End of financial year	1 year	Destroy	HOOM HOPI or HOE as appropriate	Business requirement	Record of decision making and development of functional activities	INVU
00.02 - Policies Procedures and Guidance								
Key Documents - Category A	As defined in Register of Key Documents (INV41370)		Permanent	Permanent Archive	HOOM HOPI or HOE as appropriate	Business requirement	Only final major versions to be retained permanently	INVU
Key Documents - Category B	As defined in Register of Key Documents (INV41370)	When superseded or obsolete	2 years	Destroy	HOOM HOPI or HOE as appropriate	Business requirement	Only final major versions to be retained for retention period	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Related / working papers	Internal discussion paper	End business year	None	Review for KM value	HOOM HOPI or HOE as appropriate	Business requirement		INVU
Legal Advice (Guidance)	Legal Advice		Permanent	Permanent Archive	HOOM HOPI or HOE as appropriate	Business requirement		INVU
00.03 - Quality and Performance Management								
Process of monitoring or reviewing the quality, efficiency, or performance of SIC and its services - key records.	Internal audit reports Dashboard Quarterly Operational Plan Report	Approval of review report	5 years	Destroy	HOOM HOPI or HOE as appropriate	Business requirement		INVU
	Supporting and preparatory documentation	Approval of review report	2 years	Destroy	HOOM HOPI or HOE as appropriate	Business requirement		INVU
Inspections	External inspections received in relation to corporate performance - Resulting Inspection report	Date of inspection report	5 years	Destroy	HOOM HOPI or HOE as appropriate	Business requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Date of return	1 year	Destroy	HOOM HOPI or HOE as appropriate	Business requirement		INVU
00.04 - Standard templates and forms								
Standard templates and forms		When superseded or obsolete	None	Destroy	HOOM HOPI or HOE as appropriate	Business requirement		INVU ACT! Workpro Sage
00.05 - Strategy and planning								
Function / Work planning records		End of year	1 year	Destroy	HOOM HOPI or HOE as appropriate	Business requirement		INVU



01 - Corporate Management and Governance

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
01.01 – Corporate Administration								
Standard forms and templates		When superseded or obsolete	None	Destroy	HOOM	Business requirement		INVU
Registers, logs and rotas	sign out sheet, equipment booking log	End of financial year	1 year	Destroy	HOOM	Business requirement		INVU
01.02 – Governance								
Equality								
Equality (EO) forms		Once entered	None	Destroy	HOOM	Statutory	Data Protection Act 1998	
Equality monitoring records		End of financial year	1 year	Destroy	HOOM	Business requirement		INVU
Equality monitoring reports		End of financial year	5 years	Destroy	HOOM	Business requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Environmental Management - Activities relating to managing the impact of the SIC and its business on the environment, and ensuring compliance with environmental legislation								
The records here are governed by other records types	Green office statistics Green office meetings Green office policy Green office strategy		As per appropriate activity retention					
Register of Interest								
Register			Permanent	Permanent Archive	HOOM	Business requirement		INVU
Individual declarations of interest		Termination of contract	Current	Destroy	HOOM	Business requirement		INVU
01.03 – Meetings								
Management Team Meetings	QSMTM, WSMTM, Executive Meetings - Minutes, agendas, support papers, AAB minutes		Permanent	Permanent Archive	HOOM	Business requirement	Record of decision making and development of the organisation	INVU
All staff meetings	Minutes, agendas, support papers	End of financial year	1 year	Destroy	HOOM	Business requirement		INVU
Operational Management Team meetings (OMTM)	Minutes, agendas, support papers	End of financial year	1 year	Destroy	HOOM	Business requirement	Record of decision making and development of functional activities	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Meeting working papers	draft versions of meeting papers, minutes etc..	Approval of meeting minutes	None	Destroy	HOOM	Business requirement		INVU
01.04 – Projects (with further sub levels arranged by Operational Year)								
Project file	PID Lessons Learned Report Project Closure Report	Project close	10 years	Destroy	HOOM HOPI or HOE as appropriate	Business requirement	Project Guidance (to follow)	INVU
	Final outputs	Project close	As per appropriate activity retention	Move to appropriate location	HOOM HOPI or HOE as appropriate	Business requirement	Project Guidance (to follow)	INVU
	Drafts, working papers e.g. Project minutes Issues Logs Status Reports Related correspondence	Project close	2 years	Review for KM value	HOOM HOPI or HOE as appropriate	Business requirement	Retain documents with re-use value e.g. master questionnaire, survey, presentation; topic guides,	INVU
Project register			Permanent	Permanent Archive	HOOM	Business requirement	At end of each year convert last saved versions to PDF	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
							and retain permanently;	
01.05 – Quality and Performance Management								
Strategic performance monitoring	Data on, and analyses of SIC's performance against the strategic plan	When plan superseded	2 years	Review for KM value	HOOM	Business requirement		INVU
	Supporting and preparatory documentation	Approval of review report	1 year	Destroy	HOOM	Business requirement		INVU
Operational performance monitoring	Data on, and analyses of SIC's performance against operational plans - quarterly review	When plan superseded	2 years	Review for KM value	HOOM	Business requirement		INVU
01.06 – Risk Management								
Business Continuity								
Business continuity planning	Business continuity plan	When superseded	1 year	Destroy	HOOM	Business requirement	Copies held off-site by BCP First Response Team	INVU
	Records documenting the formulation, testing and maintenance of disaster and recovery plans	When superseded	3 years	Destroy	HOOM	Business requirement		INVU
Business continuity reports on exercises	Records documenting responses and experiences	End of exercise/	5 years	Review for KM	HOOM	Business requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
and incidents	from business continuity exercises and incidents	incident		value				
Health and Safety								
Accidents/Incidents	Accident books Incident report records	End of current year after date of entry	3 years	Destroy	HOOM	Statutory	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR)	INVU
Health and Safety Audits	Safety inspection reports Internal Audit reports Action taken to address issues raised	End of financial year	5 years	Destroy	HOOM	Business requirement	General Practice	INVU
Hazardous substances	COSHH assessments and recommended actions	End of financial year	5 years	Permanent Archive	HOOM	Statutory	The Control of Substances Hazardous to Health Regulations 2002	INVU
Health and Safety Risk Assessments	Including fire, DSE and Manual Handling risk assessments	Superseded by next assessment or after activity ceases	5 years	Destroy	HOOM	Business requirement	General Practice	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Organisation Risk Assessment								
Risk Register	Risk register incl. heat-map and summary of changes made	End of financial year	3 years	Destroy	HOOM	Business requirement		INVU
	Quarterly report to QSMTM	End of financial year	3 years	Destroy	HOOM	Business requirement		INVU
01.07 – Strategy and Planning								
Strategic planning	OSIC Strategic Plan	When superseded	10 years	Review for KM value	HOOM	Business requirement	possible transfer to NAS	INVU
	Drafts, working papers and related correspondence	Publication of plan	2 years	Destroy	HOOM	Business requirement		INVU
Business and Operational Plans	Final version	When superseded	5 years	Destroy	HOOM	Business requirement		INVU
	Drafts, working papers and related correspondence	Date of final approval	2 years	Review for KM value	HOOM	Business requirement		INVU
Work planning records		End of year	1 year	Destroy		Business requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Policies and procedures - Major	Final version and drafts documenting significant changes. Includes Equalities, Data Protection, Procurement and Health & Safety	When superseded	10 years	Destroy	HOOM	Business requirement		INVU
Policies and procedures - Minor	Includes final record and drafts documenting significant changes. Includes office/low level policies and procedures	When superseded	2 years	Destroy	HOOM	Business requirement		INVU
Policies and procedures - Working papers	Correspondence, meeting papers, minor drafts	Approval of policy or procedure	2 years	Destroy	HOOM	Business requirement		INVU



02 - Enforcement

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



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
	Final version	Issue of Practice Recommendation	Permanent	Permanent Archive	DHOE	Business Requirement	Enforcement Procedures	INVU
Enforcement Notice								
Enforcement Notice	Draft including all previous versions	Case closure	None	Destroy	DHOE	Business Requirement	Enforcement Procedures	INVU
	Final version	Issue of Enforcement Notice	Permanent	Permanent Archive	DHOE		Enforcement Procedures	INVU
02.02 – Investigations								
Enquiries	Enquiry received either by email or paper copy, response to enquiry	Case closure	2 years	Destroy	HOE	Business Requirement	Investigations Procedures	Workpro
Investigation Case File	Electronic case file e.g. Application Full set of evidence Correspondence Case notes	Case closure (whether that is at step 2, 3, 4 or 5)	5 years	Destroy	DHOE	Business Requirement	Investigations Procedures	Workpro



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
	Withheld information Appeals information Legal advice specific to case							
	Paper Case file e.g. Paper copies of key documents and full set of evidence	Case closure (whether that is at step 2, 3, 4 or 5)	3 months	Destroy	FOIO/VO	Business Requirement	Investigations Procedures	Locked cupboards in FOIO Team rooms
	Withheld information - electronic copy contained in case file	Case closure (whether that is at step 2, 3, 4 or 5)	3 months	Review for KM value	DHOE	Business Requirement	Investigations Procedures	Workpro
	Withheld information – paper copy	Case closure (whether that is at step 2, 3, 4 or 5)	3 months	Destroy	DHOE	Business Requirement	Investigations Procedures	Locked cupboards in FOIO Team rooms
Decision Notice	Draft including all previous versions	Issue of decision	None	Delete from system.	DHOE	Business Requirement	Investigations Procedures	INVU
	Final version (if anonymised keep final version of anonymised and non-anonymised)	Issue of Decision	Permanent	Permanent preservation	DHOE	Business Requirement	Investigations Procedures	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
02.03 – Management of Function								
See 00 Management of Function schedule								
02.04 – Publication Schemes								
Scottish public authority schemes		Approval of new scheme	None	Destroy	Approval officer	Business Requirement	not OSIC record	Workpro
Correspondence with individual authorities	Includes drafts of schemes, model scheme adoption form, letters of approval of scheme	Approval of new scheme	3 years	Destroy	Approval officer	Business Requirement		Workpro
Letters of approval of individual scheme		Issue of approval letter	3 years	Destroy	HOPI	Business Requirement		Workpro
Development of model publications schemes - approved model			Permanent	Permanent Archive	HOPI	Business Requirement		INVU
Development of model publications schemes - working files		Approval of updated scheme	None	Destroy	HOPI	Business Requirement		INVU



03 – Facilities Management

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
03.01 – Development, maintenance and repair								
Maintenance and repair records	Key Records e.g. Maintenance schedules Operational manuals Installation certificates (with/without expiry date)	Termination of contract	5 years	Destroy	HOOM	Prescription and Limitation (Scotland) Act 1973	Health and Safety records should be filed in 01 – Corporate Management & Governance. Contracts and contract management records should be filed in 04 – Finance.	INVU
	Minor working papers e.g. Records of a day-to-day nature e.g. monthly building inspection reports	When no longer active or superseded	2 years	Destroy	HOOM	Business requirement		ACT/INVU
Records relating to office re-organisation		When superseded or obsolete	1 year	Destroy	HOOM	Business requirement		INVU
Records relating to development of the property	Planning applications Building Warrants	Termination of lease	None	Pass to new lessee	HOOM	Statutory		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Records documenting negotiations for lease of property	Correspondence with Landlord, agents and SPCB	Closure of negotiation	5 years	Review for KM value	HOOM	Statutory	Prescription and Limitations Act	INVU
Security	e.g. File under 01 – Corporate Management and Governance if risk related e.g. File under 03 – Facilities Management if general maintenance and repair of facilities							
Contractual documents	e.g. relating to lease or contracts with suppliers of property maintenance service. File in 04 – Finance/Procurement/Contracts							
03.02 – Management of Facilities								
See 00 – Management of Function schedule								



04 – Finance

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
04.01 – Annual Accounts								
Annual accounts	Audited		Permanent	Permanent Archive	HOOM	Statutory	Companies Acts 1985/1989	INVU
	Records documenting the preparation of SIC's annual accounts	Completion of Audit	6 years	Destroy	HOOM	Statutory	Taxes Management Act 1970	INVU/Sage
External Audit	Final Report	Completion of Audit	6 years	Destroy	HOOM	Business requirement		INVU
External Audit	Interim Reports, Correspondence	Completion of Audit	6 years	Destroy	HOOM	Business requirement		INVU/ACT
04.02 – Asset Management								
Asset management	Records documenting the value of SIC's capital assets e.g. Fixed Asset register	End of financial year (on completion of audit)	6 years	Destroy	HOOM	Statutory	Taxes Management Act 1970; Prescription and Limitation (Scotland) Acts 1973 and 1984; Value Added Tax Act 1994; Audit Commission Act 1998	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
	Records documenting decisions (and authorisations) to dispose of capital assets e.g. Fixed asset disposal	End of financial year (of disposal)	6 years	Destroy	HOOM	Statutory	Taxes Management Act 1970; Prescription and Limitation (Scotland) Acts 1973 and 1984; Value Added Tax Act 1994; Audit Commission Act 1998	INVU
04.03 – Budget and Accounts Management								
Annual budget	Setting annual budget e.g. Annual budget report Draft budgets Estimates	End of financial year	6 years	Destroy	HOOM	Business requirement		INVU
Budget monitoring	Monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances - Budget Monitoring Reports, Financial Reports	End of financial year	6 years	Destroy	HOOM	Business requirement		INVU/Sage
Bank accounts	Records documenting the opening, closure and routine administration of bank accounts	Closure of account	6 years	Destroy	HOOM	Business requirement		INVU/Sage
	Records documenting standing orders, direct debits etc.	Life of instruction	6 years	Destroy	HOOM	Business requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Purchase Ledger	Internal purchase order, delivery notes	End of financial year	6 years	Destroy	HOOM	Business requirement		Sage/Paper
	Invoices, credit notes	End of financial year (on completion of audit)	6 years	Destroy	HOOM	Statutory	Taxes Management Act 1970	INVU/Sage/Paper
	Records documenting the receipt and payment of purchase invoices	End of financial year (on completion of audit)	6 years	Destroy	HOOM	Statutory	Taxes Management Act 1970; HMRC 700/21	Sage/Paper
	Supplier account statements	End of financial year (on completion of audit)	1 year	Destroy	HOOM	Business requirement		Paper
04.04 – Insurance								
Policy documents and related correspondence		Termination	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Acts 1973 and 1984;	INVU/Paper
Employers Liability Insurance Certificates		Expiry	40 years	Destroy	HOOM	Statutory	The Employers Liability (Compulsory Insurance) Regulations 1998	INVU/Paper



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
04.05 – Management of the Function								
See 00 - Management of Function schedule								
04.06 – Payroll and Pensions								
Pension	Reports	End of financial year (on completion of audit)	6 years	Destroy	HOOM	Statutory	Taxes Management Act 1970; Income and Corporation Taxes Act 1988	INVU/Paper
Payroll	Reports	End of financial year (on completion of audit)	6 years	Destroy	HOOM	Statutory	Income Tax (Employments) Regulations 1993 / 744; National Minimum Wage Regulations 1999 S.I. 1999 / 584; Taxes Management Act 1970; Prescription and Limitation (Scotland) Acts 1973 and 1984	Paper
Salaries	Cumulative listings	End of financial year (on completion of audit)	6 years	Destroy	HOOM	Statutory	Income Tax (Employments) Regulations 1993 / 744; National Minimum Wage Regulations 1999 / 584; Taxes Management Act	Paper



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
							1970; Prescription and Limitation (Scotland) Acts 1973 and 1984	
P60		End of financial year (on completion of audit)	3 years	Destroy	HOOM	Statutory	Taxes Management Act 1970	
P45	Received from new starts	End of financial year (on completion of audit)	6 years	Destroy	HOOM	Statutory	Taxes Management Act 1970	Paper (in personal folder)
Expenses	Expenses Claim Forms	End of financial year (on completion of audit)	6 years	Destroy	HOOM	Statutory	Taxes Management Act 1970	INVU/Paper
	Expenses notifications forms (to payroll provider)	End of financial year (on completion of audit)	6 years	Destroy	HOOM	Statutory	Taxes Management Act 1970	INVU
Statutory Sick Pay	Scheme records	End of financial year (on completion of audit)	3 years	Destroy	HOOM	Statutory	Statutory Sick Pay (General) Regulations 1982/894	INVU/Paper



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Statutory Maternity Pay	Scheme records	End of financial year (on completion of audit)	3 years	Destroy	HOOM	Statutory	The Statutory Maternity Pay (General) Regulations 1986/1960	INVU/Paper
04.07 – Procurement								
Contract Management								
Contract management (either resulting from non-tendered or tendered procurement)	Key Records e.g. Final signed contract Contract extensions Contract amendments Reports from contractors Surveys and inspections Complaints Payment disputes Minutes and papers of meetings	After contract expires	5 years	Destroy /review	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973. (These may be used for reference when preparing future related tenders)	INVU
	Minor Working Papers e.g. records of a day-to-day nature	When no longer active or superseded	2 years	Destroy	HOOM	Business requirement		INVU/ACT!
	Waste Transfer Notes e.g. received from Fife Council or Shred-it for the uplift of waste	Expiry	2 years	Destroy	HOOM	Statutory	Environmental Protection (Duty of Care) Regulations 1991 (s34 Duty of Care)	INVU/Paper



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Market Information								
Market information	Marketing material e.g. fact sheets, catalogues	End of financial year	2 years	Destroy	HOOM	Business requirement		ACT/Paper
Non-Tendered Procurement								
Initial proposal	Business case/requisition	End of contract	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973	INVU
Quotes and related correspondence	Successful	End of contract	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973	INVU/ACT/ Paper
Quotes and related correspondence	Unsuccessful	Award of contract	1 year	Destroy	HOOM	Business requirement		INVU/ACT/ Paper
Tendered Procurement								
Initial proposal	e.g. Business case Requisition Contract advertisement Statements of interest Pre-qualification questionnaire (PQQ) Draft and agreed specification	End of contract	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973.	INVU/Paper



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
	Evaluation criteria							
Tenders	Issue of invitations to tender Tender receipt records Tender opening record	Award of contract	1 year	Destroy	HOOM	Business requirement		INVU/Paper
	<u>Unsuccessful</u> e.g. Statements of interest Tender document Tender responses Notification records Tender evaluation form Scoring sheet	Award of contract	1 year	Destroy	HOOM	Business requirement		INVU/Paper
	<u>Successful</u> e.g. Statement of Interest Tender responses Tender document Notification records Tender evaluation form Scoring sheet Award of contract correspondence The final signed contract is subject to the retention guidance as detailed above at 04.07 -	End of contract	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973. (It is important that a record of all contracts and related transactions is kept. The files must contain a complete and accurate record of all internal and external documentation so that the stages and	INVU/Paper



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
	Procurement/Contract Management						reasoning of the transactions are apparent)	



05 – Human Resources

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
05.01 – HR Administration								
Employee personal details	Address, next of kin, emergency contacts	Termination of employment	6 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973, s 6 Retain current information throughout employment	INVU/SP/ Paper
Leave	Holiday chart	End of holiday year	1 year	Destroy	HOOM	Business Requirement		INVU/SP
Security Vetting	Summary of results	Superseded / Termination of Employment		Destroy prior document versions	HOOM	Statutory	Data Protection Act 1998.	INVU
05.02 – Management of the Function								
Job Descriptions	Policy, Procedures & Guidance	Superseded	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Reporting	Feedback Statistics Quality & Performance Management	Date after action completed	5 years	Destroy	HOOM	Business Requirement		INVU
Individual training records - statutory/regulatory	Quality & Performance Management - Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification + OR Superseded	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	INVU
Training course files – course administration	If general or value to colleagues as reference material	Date training completed	2 years	Destroy	HOOM	Business Requirement		ACT
05.03 – Staff Administration (Name in INVU:- HR – Staff Member Admin)								
Contract of employment	Terms and conditions of employment, offer letter	Termination of employment	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	INVU
Changes to terms and conditions of employment	Including changes in terms and conditions throughout the course of employment	Termination of employment	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Leave	Requests for leave	End of holiday year	1 year	Destroy	Member of staff	Business Requirement	Retain current information throughout employment	INVU/SP
Statutory Maternity/Paternity leave	Records documenting the employee's entitlement	Completion of entitlement	6 years	Destroy	HOOM	Statutory	Maternity and Parental Leave etc. Regulations 1999/3312	INVU
Sickness	Records documenting the employee's absence due to sickness.	Termination of employment	40 years	Destroy	HOOM	Statutory	Inland Revenue CA30	INVU/SP
Termination	Termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal. – Administration (See also 05.04)	Termination of employment	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	INVU
Recruitment – successful candidates	Records should form part of the employee's staff file (See also 05.06)	Termination of employment	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	INVU
Employee induction programme records		Completion of induction	1 year	Review for KM value	HOOM	Business Requirement		



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
05.04 – Staff Personal (Name in INVU:- HR – Staff Member Personal)								
Disciplinary Proceedings – action taken	Records documenting disciplinary proceedings against the employee, where action taken e.g. Correspondence Investigation records	Case closure	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973; Data Protection Act 1998	INVU
Disciplinary Proceedings – No action taken	Records documenting disciplinary proceedings against the employee, where case proven to be unfounded e.g. Correspondence Investigation records	Case closure	None	Destroy	HOOM	Statutory	Data Protection Act 1998	INVU
Application for employment	Records documenting the employee's initial application for employment with SIC	Termination of employment	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6 except information which is not relevant to the ongoing employee relationship	Paper
Medical assessments	Staff file	Termination of employment	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
References	Received during recruitment process	Termination of employment	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6 except information which is not relevant to the ongoing employee relationship	INVU/Paper
References	Provided by SIC	Date of provision	1 year	Destroy	HOOM	Business Requirement		INVU
Security Vetting - individual records	Application form and results letter	Superseded / Termination of Employment	None	Destroy	HOOM	Statutory	Data Protection Act 1998	Paper (Held by HOOM)
Staff Performance Management Records	PMS Worksheet, 1:1 forms,	Superseded	3 years	Destroy	HOOM	Business Requirement		INVU
Termination.	Termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal e.g. Exit Interview Personal correspondence (See also 05.03)	Termination of employment	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Individual training records - non-statutory/regulatory	Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of action	5 years	Destroy	HOOM	Business Requirement		INVU
Training course files – course materials	If of personal benefit/relevance only	Date training superseded	2 years	Review for KM value	HOOM	Business Requirement		INVU
05.05 – Recruitment								
Recruitment campaigns	Advertisements and associated correspondence	Date superseded	6 months	Review for KM value	HOOM	Business Requirement		INVU/ACT
Recruitment – unsuccessful candidates	Applications, evaluations, correspondence, security vetting, references	Appointment	6 months	Destroy	HOOM	Statutory	Data Protection Act 1998; Employment Equality (Age) Regulations 2006/1031 Regulations 7, 36 and 42; Employment Equality (Religion or Belief) Regulations 2003/1660 Regulations 6, 28 and 34; Employment Equality (Sexual Orientation) Regulations 2003/1661, Regulations 6, 28 and 34	INVU/Paper



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Recruitment process	Evaluation template, interview questions / tasks, timetables	Appointment	6 months	Review for KM value	HOOM	Statutory	Data Protection Act 1998; Employment Equality (Age) Regulations 2006/1031 Regulations 7, 36 and 42; Employment Equality (Religion or Belief) Regulations 2003/1660 Regulations 6, 28 and 34; Employment Equality (Sexual Orientation) Regulations SI 2003/1661 Regulations 6, 28 and 34	INVU/Paper
05.06 – Training								
Individual training records - statutory/regulatory	Records documenting job-specific statutory /regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification /or Superseded	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	INVU
Individual training records – proof of completion	Staff file	Date course/or superseded	5 years	Destroy	HOOM	Business Requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Training course files – course materials		Date training/or superseded	2 years	Review for KM value	HOOM	Business Requirement		INVU
Corporate training plan	Learning and Development Plan	End business year	5 years	Destroy	HOOM	Business Requirement		INVU



06 – Information Management

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
06.01 – Access to information (Section 1 Requests etc.)								
Data protection	Subject Access Requests (and responses)	Completion of request	3 years	Destroy	HOOM	Statutory	Data Protection Act 1998 s.7	INVU
	Compliance Files re. DP audit, general compliance, data breaches, security, training etc.	End of current year	3 years	Destroy	HOOM	Business requirement		INVU
	Data protection - Notification and changes	Year of notification	3 years	Destroy	HOOM	Statutory	Data Protection Act 1998 s.20.	INVU
EIR requests	EIR requests (and responses)	End of current year	3 years	Destroy	HOE	Business requirement		WP
FOISA requests	S1 FOISA requests (and responses)	Completion of request	3 years	Destroy	HOE	Business requirement		WP
FOISA OSIC Publication Scheme		When superseded	3 years	Destroy	HOPI	Business requirement	Consider historical value.	INVU
FOISA/EIR reviews		Year of review completion	6 years	Destroy	HOE	Business requirement		WP/INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
06.02 – Management of the Function								
See 00 <i>Management of Function</i> schedule								
06.03 – Records Management								
Record surveys and audits - key records	Report	Report approval	3 years	Destroy	HOOM	Business requirement		INVU
Record surveys and audits - working papers		Report approval	1 year	Destroy	HOOM	Business requirement		INVU
File Plan		Until superseded	2 years	Review for KM value	HOOM	Business requirement		INVU
Retention schedules		Until superseded	2 years	Destroy	HOOM	Business requirement	Retain in line with currency of the records series.	INVU
Destruction register	Lists of Records destroyed		Permanent	Permanent Archive	HOOM	Business requirement		INVU
Disposal certificates			Permanent	Permanent Archive	HOOM	Business requirement		INVU



07 – Information Technology

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
07.01 – Management of the Function								
See 00 <i>Management of Function</i> schedule								
07.02 – Systems Management								
Implementation and Maintenance	Correspondence/information relating to installation, maintenance and configuration of software and hardware - significant records. e.g. Emails with regard to installation of software, change in setup etc.	Decommission of system	5 years	Destroy	HOOM	Business requirement		INVU
	Worksheet from system support provider following 2 monthly system health checks	End of current year	year	Destroy	HOOM	Business requirement		INVU
	Annual report from system support provider		Permanent	Non	HOOM	Business Requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Disposal (Emails and certificates relating to safe disposal of IT equipment)	Email correspondence with companies, working papers, correspondence of a day-to-day nature e.g. system support provider regarding day to day maintenance or problems e.g. backup not run	End of current year	1 year	Destroy	HOOM	Business requirement		INVU/ACT
	Scanned copies of certificate of destruction (use subject IT Security)	End of current year	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973	INVU
	Email correspondence to arrange destruction of equipment etc	End of current year	1 year	Destroy	HOOM	Business requirement		ACT
	Paper copy of certificates of destruction	End of current year	None	Destroy	HOOM	Business requirement		Paper
Licences & Agreements	Email communication regarding renewal, cancel etc of licences and agreements e.g. Domain Name renewals, software licences	End of current year	1 year	Destroy	HOOM	Business requirement		INVU/ACT



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
	Scanned copy of:- Registration Certificates Licence Agreements Service Agreements Support Agreements Software Maintenance Agreements Where contract related, contract or agreement is scanned into INVU	End of contract or when superseded	5 years	Destroy	HOOM	Statutory	Prescription and Limitation (Scotland) Act 1973	INVU
	Paper copy of above	End of current year	1 year	Destroy	HOOM	Business requirement		Paper



08 – Policy and Communication

ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
08.01 – Complaints								
Electronic Complaints case files	Correspondence, case notes	Case closure	2 years	Delete from system	HOOM	Business Requirement		Workpro
08.02 – Events and Campaign Management								
Event or campaign file	Final outputs - presentations, leaflets, programmes	Conclusion of campaign/ event	2 years	Review for KM value	HOPI	Business Requirement		INVU
	Preparatory records, delegate lists	Conclusion of campaign/ event	1 year	Review for KM value	HOPI	Business Requirement		INVU/ACT!
Tendering and Contract Management Records	Should be filed under 04 Finance/Procurement and follow appropriate retention guidance in that section							
08.03 – External Consultations								
Records of SIC's participation in consultations managed by external		Close of consultation	5 years	Review for KM value	HOPI	Business Requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
organisations								
Parliament & Government correspondence	Consultation response Background papers	Last action on communication	5 years	Review for KM value	HOPI	Business Requirement		INVU
08.04 – External Relations								
External Relations with stakeholders including Civil Society and Public Sector								
Presentations by external parties		End of financial year	1 year	Destroy	HOPI	Business Requirement	Not OSIC record	INVU
Communications with other agencies involved in implementation of FOI and related legislation		Last action on communication	3 years	Review for KM value	HOPI	Business Requirement		INVU
Agreements about procedures where responsibilities overlap with other agencies	Protocols with external organisations		Permanent	Permanent Archive	HOPI	Business Requirement		INVU
Communications with other stakeholders		Last action on communication	3 years	Review for KM value	HOPI	Business Requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Parliament & Government correspondence	Letters to Ministers Meeting agendas and minutes	Last action on communication	5 years	Review for KM value	HOPI	Business Requirement		INVU
Media Relations								
Media articles		Date of publication	3 years	Review for KM value	HOPI	Business Requirement		INVU
Press Releases		Date of release	3 years	Review for KM value	HOPI	Business Requirement		INVU
Media liaison		Year of contact	3 years	Destroy	HOPI	Business Requirement		INVU
Records documenting the organisation of a media briefing		Last action on briefing	1 year	Destroy	HOPI	Business Requirement		INVU
Transcript of a media briefing		Last action on briefing	5 years	Review for KM value	HOPI	Business Requirement		INVU
Records documenting the organisation of media interviews with SIC		Last action on interview	1 year	Destroy	HOPI	Business Requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Published version of a media interview		Last action on interview	5 years	Review for KM value	HOPI	Business Requirement		INVU
Records documenting the monitoring of media coverage of the SIC - see 08.09		Current year	5 years	Review for KM value	HOPI	Business Requirement		INVU
08.05 – Internal Communications								
Internal briefings	Final copy		Permanent	Permanent Archive	HOPI	Business Requirement		INVU
	Working documents	Published version of briefing superseded or obsolete	1 year	Destroy	HOPI	Business Requirement		INVU
Internal Presentations		When superseded or obsolete	1 year	Destroy	HOPI. HOOM, HOE	Business Requirement		INVU
08.06 – Management of the Function								
See 00 <i>Management of Function</i> schedule								
08.07 – Publications and Guidance								
Annual report			Permanent	Permanent Archive	HOPI	Business Requirement	Possible transfer to NAS	INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Briefings and guidance for external audience	Factsheets, leaflets, newsletters, briefings		Permanent	Permanent Archive	HOPI	Business Requirement		INVU
Annual statistics (no personal data)			Permanent	Permanent Archive	HOPI	Business Requirement	Clear out personal data at end of current year	INVU
Website archive	Snapshot of the SIC website.	6 month rolling	Permanent	Permanent Archive	HOPI	Business Requirement	Snapshot does not capture sub domains and is only intended to provide an overview of website structure and content	INVU
Wordpress Backup	Snapshot of Wordpress blog site	When superseded	3 months	Destroy	HOPI	Business Requirement	Backup overwritten every 3 months	P:drive
SIC and staff presentations and Speeches to external parties	Final presentation/speech	End of financial year	3 years	Review for KM value	HOPI	Business Requirement		INVU
	Working papers and related correspondence	Date of speech/presentation	1 year	Destroy	HOPI	Business Requirement		INVU/ACT



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Corporate identity and branding	Final artwork for corporate identity marks		Permanent	Permanent Archive	HOPI	Business Requirement		INVU
	Records documenting the development of corporate style guides for official use of corporate identity marks.	When superseded or obsolete	2 years	Review for KM value	HOPI	Business Requirement	Logos - create empty INVU document to register where held	INVU
Training materials compiled by OSIC for different audiences and public authority sectors	Training packs	When superseded or obsolete	5 years	Review for KM value	HOPI	Business Requirement		INVU
08.08 – Research								
Policy Research								
Records of research commissioned by SIC	Final Report; statistical tables, etc..		Permanent	Permanent Archive	HOPI	Business Requirement		INVU
	Working documents – desk research, consultation process etc	Year of report publication	1 year	Review for knowledge value & destroy rest	HOPI	Business Requirement		INVU



ACTIVITY / RECORDS SERIES	EXAMPLES OF RECORD TYPES	TRIGGER	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/ NOTES	LOCATION
Tendering and Contract Management Records relating to Research Projects commissioned by SIC	Should be filed under 04 Finance/Procurement and follow appropriate retention guidance in that section							
Research Report commissioned by other organisations	Consultations	Year of report publication	2 years	Review for KM value	HOPI	Business Requirement		INVU
Research contact records		Last contact (database entry)	4 years	Destroy	HOPI	Business Requirement		Act! Contact database
Stakeholder Research								
As for Policy research								



Part 3 – Review and update

Maintenance of File Plan and Retention Schedule

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

Amendments to the File Plan and Retention Schedule

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



If approved the HoD should pass the amendment form to the HOOM who will ensure that the File Plan and Retention Schedule are updated as required.



Appendix 1 – File Plan and Retention Schedule Amendment Form

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



Appendix 2 - Document Control Sheet

Document Information	
Full name of current version: Class, Title, Version No, INVU version no and status. <i>E.g. C1MOU Between the SIC and the ICv01.25</i>	C5 File Plan and Retention Schedule v01.23
INVU No.	INV43821
Type	Policy and Procedures
Approval	
Approver (<i>SMT, HOE, HOOM, HOPI</i>)	SMT
Approval Date	09/12/2013
For publication (Y/N)	Y
Review	
Responsible Manager (<i>SIC, HOE, HOOM, HOPI</i>)	HOOM
Date last major review	December 2013
Date of last minor review	N/A
Date of next regular review	01/01/2015
Publication	
Date published	15/01/2014
Date guide to information updated	15/01/2014
Action by (<i>initials</i>)	KB
Associated Documents	
Full name(s)	Information and Records Management Policy Information and Records Management Handbook
INVU Number(s)	INV42822 INV42823
Notes/ comments (for the comments column on Register)	

Summary of changes to document				
Date	Action by <i>(initials)</i>	Version updated <i>(e.g. v01.25-36)</i>	New version number <i>(e.g. v01.27, or 02.03)</i>	Brief description <i>(e.g. updated paras 1-8, updated HOPI to HOOM, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding)</i>
30/10/13	KB	00.00	00.01	Document created and drafting started
08/11/13	KB	00.01-12	00.13	Drafting
13/11/13	KB	00.13	00.14	Drafting
14/11/13	DL	00.14	00.15	Review
21/11/13	KB	00.15	00.19	Drafting
05/12/13	DL	00.19	00.20	Review / Finalise for presentation to WSMTM for approval
10/12/13	DL	00.20	00.21	Amended per approval from WSMTM 09/12/13
13/01/14	KB	00.21	00.22	Update date of next regular review
15/01/14	KB	00.22	00.23	Update website publication date