



# RETENTION AND DESTRUCTION SCHEDULE

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Approved by – <i>Council/Committee/Group/Manager</i>	Records Manager
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Date of next planned review start	November 2026
Summary of changes to document	

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Date	Version updated	New version number	Brief description of changes
20/09/2021	11.2	11.3	General statement added to document footer, and repeated in Sections 4 and 6, regarding moratorium on the destruction of children's records, including pupil records, until outcome of Scottish Historical Abuse Inquiry is known. 8.19 to 8.20 – reference made to closure period and review of SEEMiS retention. 8.19 to 8.39 - relating to Pupil information – updated to take account of Pupils Educational Records (Scotland) Regulations 2003, and adoption of SCAARS retention periods.
06/04/2023	11.3	11.4	1.8.1 added – relating to recordings of Council meetings.
01/11/2023	11.4	11.5	4 & 11 - Note added to advise these areas (Environmental Health and Community Services/H&SC) are under review. 3.15 – incoming outgoing mail logs retention period added
11/04/2025	11.5	12.00	<ul style="list-style-type: none"> <li>Finance: Accounts and Audit – 9.1 &amp; 9.4 amended to clarify <i>External Audit</i>; New section <i>Internal Audit (9.30)</i> and updated with SCARRS recommended retention periods to match current practice.</li> <li>Democratic Process: elections records retention periods updated, taking account of info re home address info</li> </ul>
09/12/2025	12.00	12.01	<ul style="list-style-type: none"> <li>CPAC CPTAG Safeguarders and Legal Representatives removed – records no longer processed or held.</li> <li>New section 9.33 Pensions</li> <li>Housing Services updated.</li> </ul>

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## BUSINESS CLASSIFICATION SCHEME

### RETENTION AND DESTRUCTION SCHEDULE

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

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

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

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

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

### OBJECTIVES OF THE SCHEDULE

The aims of the Schedule are to :

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

### TRANSFER OF RECORDS TO ARCHIVAL STORAGE

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

### DESTRUCTION OF RECORDS

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

### AMENDMENTS TO THE SCHEDULE

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

Key:

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

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## DEMOCRATIC PROCESS

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
<b>1</b>	<b>DEMOCRATIC PROCESS</b>			
1.1	Scottish parliamentary election - conduct of	1 year	Nomination Papers; Notices of Appointment; Notices of Candidature; Declarations of Results; Returning Officer Correspondence; website downloads and information pages (Except Results)	Legal Consideration
1.1.1	Scottish parliamentary election - conduct of – Home address	21 days	Home address forms	Legal Consideration
1.1.2	Scottish parliamentary election - candidate spending and donations	2 years	Candidate spending and donations return	Legal Consideration Return to candidate, otherwise destroy
1.2	Local government election - conduct of	1 year	Nomination Papers; Notices of Appointment; Notices of Candidature; Declarations of Results; Returning Officer Correspondence; website downloads and information pages (Except Results) candidate spending and donations return	Legal Consideration
1.2.1	Local government election - conduct of – Home address	35 days	Home address forms	Legal Consideration
1.2.2	Local government election - candidate spending and donations	2 years	Candidate spending and donations return	Legal Consideration Return to candidate, otherwise destroy

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## DEMOCRATIC PROCESS

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
1.3	UK parliamentary election	1 year	Nomination Papers; Notices of Appointment; Notices of Candidature; Declarations of Results; Returning Officer Correspondence; website downloads and information pages (Except Results)	Legal Consideration Consult with RO (Orkney)
1.4	Community Council elections – conduct of	1 year	Nomination Papers; Notices of Appointment; Notices of Candidature; Declarations of Results; Returning Officer Correspondence	
1.5	Business Improvement District <b>Ballot</b>	5 years	All documentation and correspondence concerned with the Ballot	
1.6	Formal record of ALL election results	Permanent	Website	Business Value
<b>Council and Committee Meetings</b>				
1.7	Council/Committee consideration and making the record of discussion, debate and resolutions	Permanent Transfer to Council Archives after administrative use is concluded Cy+6.  Destroy 1 year after last action	<ul style="list-style-type: none"> <li>• Council/Committee Minutes</li> <li>• Reports/Appendices to Minutes</li> <li>• Council/Committee Agenda Notices</li> <li>• Draft Reports/Comments</li> </ul>	Common Practice  Only the master/signed copies of Minutes to be retained in the archive.

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## DEMOCRATIC PROCESS

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
1.8	Minute Taking	<ul style="list-style-type: none"> <li>• Draft/Rough Minutes</li> <li>• Audio tapes</li> </ul>	Common Practice
1.8.1	Recordings and Webcasts of Council meetings	<ul style="list-style-type: none"> <li>• Council/Committee/Board meeting recordings (e.g. webcasts or MS Teams recordings).</li> </ul>	Only retained if required for ongoing legal purposes and directed by CE or CLO.
<b>External Committee Meetings</b>			
1.9	The process of preparing business for External Committees consideration and making the record of discussion, debate and resolutions, where the local authority legally <b>owns</b> the record.	Permanent Transfer to Council Archives after administrative use is concluded Cy+6.	<ul style="list-style-type: none"> <li>• Documents establishing the committee</li> <li>• Agendas</li> <li>• Minutes</li> <li>• Reports</li> <li>• Recommendations</li> <li>• Supporting documents such as briefing and discussion papers.</li> </ul> Common Practice  Could relate to school clerking, partnerships, etc
1.10	The process of preparing business for External Committees consideration and making the record of discussion, debate and resolutions, where the local authority <b>does not</b> own the record.	Destroy 1 year after last action	<ul style="list-style-type: none"> <li>• Documents establishing the committee</li> <li>• Agendas</li> <li>• Minutes</li> <li>• Reports</li> <li>• Recommendations</li> <li>• Supporting documents such as briefing and discussion papers.</li> </ul>

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## DEMOCRATIC PROCESS

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
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### Elected Members

1.11	Cy+6 Destroy	<ul style="list-style-type: none"> <li>• General Correspondence</li> </ul>	
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## ASSET MANAGEMENT

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

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## ASSET MANAGEMENT

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

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## ASSET MANAGEMENT

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

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## ASSET MANAGEMENT

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

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## ASSET MANAGEMENT

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

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## ASSET MANAGEMENT

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

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## ASSET MANAGEMENT

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

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## MANAGEMENT AND ADMINISTRATION

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

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## MANAGEMENT AND ADMINISTRATION

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
3.4 The process of preparing business for Business Unit consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure		Common Practice
<b>Statutory returns</b>			
3.5 The process of preparing information to be passed on to central government as part of statutory requirements	Cy+10 Destroy	<ul style="list-style-type: none"> <li>• Performance Indicators</li> <li>• Reports to Central Government</li> </ul>	Common Practice
<b>Policy, Procedures, Strategy and Structure</b>			
3.6 Activities that develop policies, procedures, strategies and structures for the Local Authorities.	Permanent Transfer to Place of Deposit after administrative use is concluded Cy+10	<ul style="list-style-type: none"> <li>• Policy, Procedure, Precedent, Instructions</li> <li>• Organization Charts</li> <li>• Records relating to Policy Implementation and Development</li> <li>• Education plan</li> <li>• Asset management plan</li> <li>• Children' services Plan</li> <li>• Community Strategy</li> <li>• Community Plan</li> <li>• Community safety plan</li> <li>• Equalities Framework and Action Plan</li> <li>• Health Improvement Plan</li> </ul>	Common Practice <b>Change in current practice to cy+6</b>

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## MANAGEMENT AND ADMINISTRATION

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
3.7	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure	Common Practice
3.8	Management diaries	Cy+ 1	Appointment diaries used by management
<b>Public Consultation</b>			
3.9	The process of consulting the public and staff in the development of major policies of the local authority	Destroy 5 years from closure	Common Practice
3.10	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 1 year from closure	Common Practice

### Enquires and Complaints

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## MANAGEMENT AND ADMINISTRATION

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
3.11 The management in summary form of Enquiries directed to Council to solicit information of routine or non-routine nature Complaints directed to Council <i>Includes FOI enquiries or requests</i>	Permanent Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Indexes</li> <li>• Registers</li> </ul>	Common Practice
<b>Information Management</b>			
3.12 The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively.	<b>Permanent Transfer to Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>• Classification Schemes</li> <li>• Registers</li> <li>• Indexes</li> <li>• Authorised Lists of File Headings</li> </ul>	Common Practice
3.13 The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	<b>Permanent Transfer to Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> </ul>	Common Practice
3.14 The management of detailed responses on Council actions, policy or procedures	Destroy 5 years after administrative use is concluded	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Returns</li> <li>• Correspondence</li> </ul>	Common Practice
3.15 The management of routine responses on Council actions, policy or procedures	Destroy 2 years after administrative use is concluded or last action	<ul style="list-style-type: none"> <li>• Printed Material</li> <li>• Form Letters</li> <li>• Incoming and outgoing mail logs and registers</li> </ul>	Common Practice
3.16 The process that records the disposal of records	Destroy 6 years after last action	<ul style="list-style-type: none"> <li>• Disposal Certificates</li> <li>• Destruction Log Sheets</li> </ul>	Common Practice based on Limitation Act

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## MANAGEMENT AND ADMINISTRATION

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

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## MANAGEMENT AND ADMINISTRATION

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

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## MANAGEMENT AND ADMINISTRATION

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
3.27	Process of the summary registration of a birth, death or marriage	<b>Permanent. Transfer to Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>Deaths register; Births Register; Marriage register</li> </ul>	A3/A21 Handbook of Instructions to Registrars. Place of deposit may be SIC or GROS
3.28	Process of certification of the registration of a birth, death or marriage.	Destroy 3 years after last action	<ul style="list-style-type: none"> <li>Form 11 (Medical Certificate)</li> <li>RR3 Re-Registration</li> </ul>	A3/A21 Handbook of Instructions to Registrars.
3.29	Process of notification in relation to births, deaths and marriages	Destroy 3 years after last action	<ul style="list-style-type: none"> <li>Notice of Marriage</li> <li>Hospital Returns</li> <li>Birth Cards</li> </ul>	A3/A21 Handbook of Instructions to Registrars.
3.30	Spoiled extracts	Retain for current year +6 destroy.		
3.31	Receipt Books	Retain for current year +6 destroy		
3.31	Banking Reports	Retain for current year +6 destroy		
<b>Marriage Service</b>				
3.32	Process of conducting a marriage services	Destroy 3 years after action	E-mails (regarding procedure to be followed, availability of Registrar, etc.)	Common Practice
<b>Approved Places Licensing</b>				
3.34	Application to Licence approved places	Retain for one year after licence expires or new application has been received	<ul style="list-style-type: none"> <li>Applications</li> <li>General Correspondence</li> <li>Copy certificates</li> <li>Approval of Marriage Places</li> </ul>	

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## MANAGEMENT AND ADMINISTRATION

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
	Retain for one year	<ul style="list-style-type: none"> <li>• Refusal for licence</li> </ul>	
3.35 Application to Licence approved places	Permanent	<ul style="list-style-type: none"> <li>• Risk Assessment</li> </ul>	Statutory. Health and Safety at Work Act
<b>Registration Service - General</b>			
3.36 General Correspondence	Cy +3 years then destroy	<ul style="list-style-type: none"> <li>• General correspondence</li> <li>• Suppliers Catalogues</li> </ul>	Not including 'R' & 'M' letters

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## MANAGEMENT AND ADMINISTRATION

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

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## MANAGEMENT AND ADMINISTRATION

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

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## MANAGEMENT AND ADMINISTRATION

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

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## MANAGEMENT AND ADMINISTRATION

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

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## MANAGEMENT AND ADMINISTRATION

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
3.73	Non Availability	Destroy after 3 years	Documentation relating to the non availability of panel members to attend hearings
3.74	Rotas	Destroy 6 years after hearing	Rotas produced for children's hearings
<b>Curators ad Litem/Reporting Officers</b>			
3.69	General Correspondence	Retain for 6 years then destroy	<ul style="list-style-type: none"> <li>• Correspondence with Panel Members</li> <li>• Recruitment Information</li> </ul>
3.70	Copies of expenses claims	Retain for 3 years then destroy	
3.71	Appointments, Re-appointments and Resignations	Retain for 1 year after appointment ends then destroy	<ul style="list-style-type: none"> <li>• Applications</li> <li>• CV's</li> <li>• References</li> <li>• Correspondence with Sheriff Principal</li> </ul>
3.72		<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Appointment Registers</li> </ul>
3.73	Training Information	Retain for 1 year after event then destroy	<ul style="list-style-type: none"> <li>• Dates and information regarding training available</li> </ul>
3.74		Retain for 1 year after appointment ends then destroy	<ul style="list-style-type: none"> <li>• Panel Members training records</li> </ul>
3.75	CoSLA Fees Guidance	Retain for 1 year after superseded	

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## MANAGEMENT AND ADMINISTRATION

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Disclosure Scotland</b>			
3.76	Copies of Disclosures	Retain for 90 days then destroy	
3.77	Disclosure Records	Retain for 1 year after appointment ends then destroy	<ul style="list-style-type: none"> <li>• Reference number</li> <li>• Type of disclosure</li> <li>• Date of issue</li> <li>• Position</li> </ul>
3.78	General Correspondence	Retain for 6 years then destroy	
3.79	Guidance	Retain for 1 years after superseded then destroy	
<i>3.80-3.82 removed</i>			

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## MANAGEMENT AND ADMINISTRATION

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Adoption and Fostering Panel</b>			
3.83	Minutes	Permanent	
3.84	Reports	Retain until Minute of relevant meeting has been approved then destroy	
3.85	Appointments, Re-appointments and Resignations	Retain for 1 year after appointment ends then destroy	<ul style="list-style-type: none"> <li>• Applications, References, etc</li> </ul>
3.86		<b>Permanent</b>	<ul style="list-style-type: none"> <li>• Appointment Registers</li> </ul>
3.87	General Correspondence	Retain for 6 years then destroy	

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
<b>4 COMMUNITY SERVICES</b>				
As of October 2015 and until further notice, authorities must have regard to the instructions received from the Historical Child Abuse Inquiry Scotland to consider "the protection of potentially relevant records, to ensure they are not destroyed before the Inquiry has had the opportunity to consider them". The scope of the inquiry is considered to extend back to 1945. Authorities should consider the potential value of records to the inquiry before carrying out any disposal of children or pupil records. The SIC has agreed a moratorium on the destruction of children's information until the Inquiry has concluded.				
<b>Adoption and Fostering</b>				
4.1	Summary Process involved in checking the suitability of prospective adoptive parent and fosters carers.	<b>Permanent.</b>	<ul style="list-style-type: none"> <li>Adoption and Fostering panel minutes</li> </ul>	
4.2	Process involving individual case management of children looked after by the local authority. This includes children who have been adopted, within children's homes or fostered.	75 years from DOB  Note: if a fostered child dies before age 18 15 years from DOD	<ul style="list-style-type: none"> <li>Young Persons Being Looked After Files</li> <li>Adoption Client Files</li> <li>Natural parents file</li> <li>Adoption allowance file</li> <li>Fostering records</li> </ul>	Statutory – Adoption Agencies (Scotland) Regulations 1996 – reg.23
4.3	Process involving individual case management of families or adults who have Adopted children.	75 years from DOB of child adopted.	<ul style="list-style-type: none"> <li>Adopted parent counselling files</li> <li>Approved adopters</li> </ul>	Statutory – Adoption Agencies (Scotland) Regulations 1996 – reg.23
4.4	Process involved in checking the suitability of people to become adoptive parents or foster carers	Destroy 10 years from closure (Statutory period)	<ul style="list-style-type: none"> <li>Foster Carer's Files</li> </ul>	Statutory – Fostering of Children (Scotland) Regulations 1995 – Reg 19. * 10 years from termination of approval or death whichever is earlier
4.5	Process involved in checking the suitability of people to become adoptive parents or foster carers	Destroy after 25 years	<ul style="list-style-type: none"> <li>Incident Reports</li> </ul>	

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## COMMUNITY SERVICES

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

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## COMMUNITY SERVICES

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

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## COMMUNITY SERVICES

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

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Special Educational Needs</b>			
4.18 Process involving in assessing and providing Individual support for children who have need of special education support.	Destroy 35 years from D.O.B	<ul style="list-style-type: none"> <li>• SEN files</li> </ul>	Common Practice Main needs is to keep to protect against 'failure to educate claims'
<b>Family Support</b>			
4.19 Process involving individual case management in the provision of support by the local authority to families.	7 years file closure	<ul style="list-style-type: none"> <li>• Parenting skills</li> <li>• Special education</li> <li>• Attendance records</li> <li>• Project files</li> </ul>	Common Practice
4.20 Process involved in assessing a Family's' suitability in the care of children.	25 years from DOB of youngest child		Common Practice

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Adult and Elderly Case Files</b>			
4.21	Process involving summary case management of services or support to adults.	<b>Permanent Transfer to Place of Deposit after administrative use is concluded.</b>	Common Practice
4.22	Process involving in assessing and providing individual support for people with mental illness.	Destroy 10 years after last contact	<ul style="list-style-type: none"> <li>• Mental Health files</li> </ul> Common Practice
4.23	Process involving in assessing and providing individual support for people with mental illness.	Destroy 5 years after last contact	<ul style="list-style-type: none"> <li>• Case files – Mental illness – Curator Bonis</li> </ul> Common Practice
4.24	Process involving in assessing and providing individual support or services for all other people.	Destroy 3 years after last contact  Cy Destroy (Cy+1 where medical involvement)	<ul style="list-style-type: none"> <li>• Aids and Adaptations</li> <li>• Blind Welfare</li> <li>• Client Case Files</li> <li>• Day service provision</li> <li>• Deceased Clients (not Adoption/Fostering)</li> <li>• Elderly-Home Help</li> <li>• *General Welfare Sect 12</li> <li>• Occupational therapy</li> </ul> Common Practice  *Social Work (Scotland) Act 1968  <ul style="list-style-type: none"> <li>• Monitoring Records</li> </ul>

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
4.25 Process involved in assessing and providing individual support or services for adults with Learning Difficulties	Destroy 10 years after last contact	<ul style="list-style-type: none"> <li>• Case files – Learning Disabilities Residential Care</li> </ul>	Common Practice
4.26 Process involved in assessing and providing individual support or services for adults with Learning Difficulties	Destroy 10 years after last contact	<ul style="list-style-type: none"> <li>• Client File – Learning Disabilities</li> </ul>	Common Practice Client file - Health Board policy
4.27 Process involved in assessing and providing individual support or services for adults with Learning Difficulties	Destroy 75 years after last action	<ul style="list-style-type: none"> <li>• Case files – Learning Disabilities Guardianship</li> <li>• Case files – Learning Disabilities – Secretary of State Case</li> </ul>	Common Practice

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Adult and Elderly Case Files continued</b>			
4.28 Documents relating to the operation of the establishment.	25 years from closure of file.	<ul style="list-style-type: none"> <li>• Diaries</li> <li>• Rotas</li> <li>• Daily logs</li> <li>• Inspections</li> <li>• Resident's/Client's Log Books</li> <li>• Resident's medical/progress notes</li> </ul>	Common Practice Note information about the maintenance and repair of homes is under asset management
4.29 Documents relating to the day-to-day activities of Social Workers (see example of records)	Current year +1	<ul style="list-style-type: none"> <li>• Social Worker diaries</li> </ul>	Note: If client information is contained in the diary, advice should be sought from Committee Services on the retention period.
<b>Program Management and Development</b>			
4.30 Process involved in development of service or program for children.	Destroy 7 years from closure		
4.31 Process involved in provision of a service or programs to support the development of children.	25 years from closure	<ul style="list-style-type: none"> <li>• Attendance records</li> <li>• Course reports</li> </ul>	
4.32 Process involved in provision of services or programs to support the development of youths.	15 years from closure		

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
4.33	Process involved in provision of a service or program to adults.	7 years from last entry	
	<b>Community Care Services</b>		
4.34	Process involved in the provision of services or programs to support Community Care Services	Cy+5 years Destroy	<ul style="list-style-type: none"> <li>• Application for Community Care Services Contract</li> <li>• Application Form</li> <li>• Authorised providers list application form</li> <li>• Commissioning Community Care Services operations guidance – Care proposal budget pro-forma</li> <li>• Confirmation of service provided</li> <li>• Grant claim related forms</li> <li>• Standard letter to Finance requesting payment</li> <li>• Standard letter to voluntary organisations notifying amounts approved for individual applicants</li> <li>• Standard letter to applicant regretting no award.</li> <li>• Notification of Rates for Community Care Services</li> </ul>

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Community Care Services Continued</b>			
4.35	Process involved in the provision of services or programs to support Community Care Services Cy+25 years Destroy	<ul style="list-style-type: none"> <li>Grant applications, reports, copy certificates</li> <li>PFA staff – notification of fee being chargeable</li> <li>Registration staff-copy of applications, copy reports, copy certificates</li> </ul>	
4.36	Process involved in the provision of services or programs to support Community Care Services <b>Permanent</b>	<ul style="list-style-type: none"> <li>Call up letter and service specification</li> </ul>	
<b>Social Care Standard Forms</b>			
4.37	A1 Assessment - board & lodgings Cy+3 Destroy		
4.38	A2 Residents contribution Cy+5 Destroy		
4.39	AA1 Adoption Allowance – payment authorisation Cy+1 Destroy		
4.40	AA2 Adoption Allowance record of payments Cy+5 Destroy		

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Social Care Standard Forms continued</b>			
4.41	AA3 Approved Adoption Allowance – Confirmation of Circumstances	Cy+5 Destroy	
4.42	AA3A Adoption Allowance – Confirmation of Circumstances	Cy+5 Destroy	
4.43	AA4 – Adoption Allowance – request for payment	Cy+1 Destroy	
4.44	C3 – Independent Fund cash book	Cy+25 Destroy	
4.45	C4 – Recreation cash book	Cy+25 Destroy	
4.46	C5 – Holiday Allowance claim for reimbursement of VAT	Cy+5 Destroy	
4.47	C9 – Confirmation	Cy+5 Destroy	
4.48	CA1 – Clients a/c cash book	Cy+5 Destroy	
4.49	CA2 – Clients a/c record book	Cy+5 Destroy	
4.50	CA3 – Clients a/c Reconciliation sheet	Cy+5 Destroy	
4.51	CA4 – Clients a/c bank reconciliation form	Cy+5 Destroy	

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## COMMUNITY SERVICES

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

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Social Care Standard Forms continued</b>			
4.62	CS1 – Controlled stationery control sheet	Cy+5 Destroy	
4.66	CS2 – Controlled stationery receipt	Cy+5 Destroy	
4.64	CS11 – Community Service log of work requested.	Cy+5 Destroy	
4.65	CS12 – Community Service Squad leader record	Cy+5 Destroy	
4.66	CS13 – Community Service receipt	Cy+5 Destroy	
4.67	DRSP1 – Resident's property register	Cy+5 Destroy	
4.68	DRSP2 – Residents property transfer form	Cy+5 Destroy	
4.69	DRSP3 – Property envelope	Retain until property released	
4.70	DRSP4 – Letter to QLTR Form A	Cy+5 Destroy	
4.71	DRSP5 – Letter to QLTR Form B	Cy+5 Destroy	

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Social Care Standard Forms continued</b>			
4.72	DRSP6 – Letter to Bank/Bdg Soc Form A	Cy+5 Destroy	
4.73	DRSP7 – Letter to Bank/Bdg Soc Form B	Cy+5 Destroy	
4.74	DRSP8 Letter to Insurance Company	Cy+5 Destroy	
4.75	DRSP9 – Property/savings receipt	Cy+5 Destroy	
4.76	DRSP10 – Property release form	Cy+5 Destroy	
4.77	DRSP11 – Property gift form	Cy+5 Destroy	
4.78	DRSP12 – Discharge form	Cy+5 Destroy	
7.79	GA1 – General a/c record card	Cy+1 Destroy	
4.80	GA2 – Expenditure voucher	Cy+1 Destroy	
4.81	GA3 – General a/c reconc. Form	Cy+1 Destroy	
4.82	GR1 – Remittance advice	Cy+5 Destroy	
4.83	GT1 – Telephone income book	Cy+5 Destroy	

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Social Care Standard Forms continued</b>			
4.84	H1 - Handcrafts-stock record book	Cy+3 Destroy	
4.85	H3 – Handcrafts –sales record book	Cy+3 Destroy	
4.86	H4 – Handcrafts-finished crafts record	Cy+3 Destroy	
4.87	IM1 – Income monitoring form	Cy+5 Destroy	
4.88	IP1 – Suppliers a/c list	Cy+3 Destroy	
4.89	ISR1 – Internal supplies requisition	Cy+1 Destroy	
4.90	MF1 – Medical examination claim form	Cy+1 Destroy	
4.91	MF2 – Sessional medic. exam fee claim visiting med officer for LA home etc.	Cy+1 Destroy	
4.92	MF3 – Medical examination fees	Cy+1 Destroy	
4.93	ML1 – Meals income return	Cy+5 Destroy	
4.94	R1 – Standard receipt	Cy+6 Destroy	

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Social Care Standard Forms continued</b>			
4.95	R2 – Receipt for sum passed to client	Cy+6 Destroy	
4.96	R3 – Travel tickets receipt	Cy+6 Destroy	
4.97	RC1 – Request for cheque	Cy+6 Destroy	
4.98	RMC3 – Residents accomm charges	Cy+6 Destroy	
4.99	RMC3A – Residents accomm charges-wkly summary	Cy+6 Destroy	
4.100	RMC4 – Residential accomm for elderly/disabled residents paying by monthly bankers s/o	Cy+1 Destroy	
4.101	RMC4A Standing order authority	N/A	<ul style="list-style-type: none"> <li>• Submitted to bank</li> </ul>
4.102	RMC5 – Monthly maintenance return	Cy Destroy	
4.103	RSI – Request for withdrawal from resident's/client's savings account	Cy+3 Destroy	
4.104	S12/1 – Application for assistance	Retain for life of case file	
4.105	S12/2 – Repayment agreement	Retain for life of case file	

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Social Care Standard Forms continued</b>			
4.106	S12/3 – Section 12 loan record card	Retain for 5 years after repayment or write-off by auditor, then Destroy	
4.107	S12/4 – Sect 12 loan records – Control card	Cy+5 Destroy	
4.108	S12.5 – Reminder letter	Cy+5 Destroy	
4.109	S12/6 – Final reminder	Cy+5 Destroy	
4.110	S12/7 – Section 12 monthly return	Cy+1 Destroy	
4.111	TR – Travel requisition	Cy+1 Destroy	
4.112	TT1 – Request for travel tickets	Cy+1 Destroy	
4.113	TT2/TT3 – Travel requisitions/warrants	Cy+5 Destroy	
4.114	TT4 – Travel tickets memo	Cy+1 Destroy	
4.115	TT5 – BR warrants issued	Cy+5 Destroy	

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Criminal Justice</b>			
4.116	Process involved in the provision of services or programs to support the Council's Criminal Justice Service		
4.117	Alternative to Custody	Cy+3 Destroy	
4.118	Case files – Criminal Justice	Cy+3 Destroy	
4.119	Case files – <ul style="list-style-type: none"> <li>• Circular 11/Schedule 1/ Sex Offenders</li> <li>• Life Licence</li> <li>• Life Parole</li> <li>• Probation (Sex Offenders)</li> </ul>	Retain for 75 years then Destroy	
4.120	Case files – Non Parole Licence	Retain for 5 years then Destroy	
4.121	Case files – Parole Licence	Retain for 5 years then Destroy	
4.122	Case files – Circular 11/Schedule 1/Sex Offenders	Retain for 75 years then Destroy	

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Criminal Justice continued</b>			
4.123	SER Requests and Reports	Retain for 5 years then Destroy	
4.124	Diversion Service - referrals	Retain for 5 years then Destroy	
4.125	Diversion Service – assessments	Retain for 5 years then Destroy	
4.126	Supervised Attendance Scheme case files	Retain for 5 years then Destroy	
4.127	Intensive Probation referrals	Retain for 5 years then Destroy	
4.128	Intensive Probation case files	Retain for 5 years then Destroy	
4.129	Community Service Orders	Retain for 5 years then Destroy	
4.130	Home Background Report	Retain for 5 years then Destroy	
4.131	Home Leave Report	Retain for 5 years then Destroy	
4.132	Case files – Probation (except Sex Offenders)	Retain for 5 years then Destroy	

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## COMMUNITY SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
4.133 Case files – Probation (Sex Offenders)	Retain for 75 years then Destroy		
4.134 Case files – Life Licence	Retain for 75 years then Destroy		
4.135 Case files – Voluntary Throughcare	Retain 5 years then Destroy		
4.136 Offenders – Compensation orders	Retain 5 years then Destroy		
4.137 Offenders – Fines supervision orders	Retain 5 years then Destroy		
4.138 Case files – Offenders – Sects 198/406	Retain for 5 years then Destroy		Criminal Procedure (Scotland) Act 1975
4.139 Case files – Offenders – Sects 206/413	Retain for 5 years then Destroy		Criminal Procedure (Scotland) Act 1975

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## HOUSING SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>5 HOUSING SERVICES</b>			
<b>Housing Management</b>			
5.1 Current SIC Property / Tenancy Files	Retain all tenancy documents regarding current tenancy. Destroy tenancy documents 5 years after tenancy terminated.	Tenancy Agreements Correspondence with Tenants and other parties regarding the property and tenancy Open Housing Warning Flags Succession/Assignment papers HMO Licence Neighbour Disputes Subletting details Property Condition Surveys Refurbishment Payments and Decant information Letting information Termination of Tenancy Abandoned Tenancy Notices Property Adaptations Unauthorised Occupants	The Scottish Secure Tenancies (Abandoned Property) Order 2002 SSI 2002 No 313 Regulation 8
5.2 Current SIC Property / Tenancy Files	C+7	Evictions	Retention in line with SCARRS

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## HOUSING SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
5.3 Current SIC Property / Tenancy Files	Retain all tenancy documents regarding current tenancy. Destroy tenancy documents 5 years after tenancy terminated.	Tenancy related inspections, Pre-void and full void inspections,	Inspections required due to change in Tenancy.
5.4 Current SIC Property / Tenancy Files	Cy+7	Property Inspections, including Damp & Mould inspections.	Retention in line with SCARRS
5.5 Current SIC Property / Tenancy Files	Cy+7	Compliance Certificates inc Electrical Safety, SHQS, Legionella etc.	
5.6 Sold House Files	Current year +10	Property files.	Law Society best practice recommendation and SCARRs
5.7 Demolished House Files	Cy +10	Property files.	SCARRs
5.8 Temporary Accommodation Lease Agreement	Cy+5 after end of lease.	Lease Agreement and associated documents	
5.9 Garage	Cy+2 years from tenancy terminated.	Allocations of garage / Correspondence letters relating to offers & refusals / Garage Tenancy Agreement.	
5.10 Garage Application files	Cy+2 years from closure.	Garage Application forms	
5.11 Garage Site Files	Cy+2 years from tenancy terminated.	Garage Site folders show letter of transferring tenants and correspondence in relation to termination & re-let / Garage Site Tenancy Agreement.	

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## HOUSING SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
5.12 Closed Housing Applications - Successful Allocation to SIC property	Retain same as House/Tenancy file i.e. 5 years after termination.	Housing Application and associated forms including Mutual Exchange Applications, Flags on individuals on system	Move to Tenancy folder within Property on J Drive.
5.13 Closed Housing Applications - Unsuccessful Allocation to SIC property	Cy+ 1 year from closure.	eg HHA nomination, withdrawn no response to review and Mutual Exchange Applications, Flags on individuals on system	
5.14 Closed Homeless Application - rehoused by SIC	Retain same as House/Tenancy file i.e. 5 years after termination.	Prevent and Homeless Application forms and decisions made. Temp Accom etc, Flags on individuals on system	Permanently housed by SIC through linked General Needs Application. Move to Tenancy folder within Property on J Drive.
5.15 Closed Homeless Application - not permanently housed by SIC	Cy+5.	Prevent and Homeless Application forms and decisions made. Temp Accom etc, Flags on individuals on system	Not Permanently housed by SIC through linked General Needs Application, Successful HHA Nomination, Withdrawn, found own accommodation, no duty to rehouse.
5.16 Section 5 and HHA nomination agreement (part of Allocation Policy).	Permanent. Kept electronically.		
5.17 Policy reviews	Current plus previous	Allocation Policy	
<b>Housing General</b>			
5.18 Recording of Flexitime		Flexitime recording sheets	See 7.0 Human Resources Retention & Destruction schedule.
5.19 Health and Safety	Cy+2	Fire safety - North Ness Health & Safety Forum meetings Risk Assessments Risk Register	

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## HOUSING SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
		Staff Safety	
<b>Housing Asset Management and Technical</b>			
5.20	Tender documents	Tender documents	See Corporate Schedule Section 6.8 Legal & Contracts
5.21	Asbestos Register	Permanent	
5.22	Right to repairs and list of contractors	Current	
5.23	5 year Maintenance Plan	Current + previous	Held on Council website e.g. Bathroom and Kitchen upgrades
5.24	Refurbishment and Planned Maintenance projects inc Property information.	Permanent	Plans / decisions / copy of signed plans, certificates etc. Files at Housing and Asset Management detailing information about the same properties
5.25	Refurbishment and Planned Maintenance project management	Cy+7 from date of completion of project.	Agendas, minutes & contractors meetings
<b>Housing Repairs</b>			
5.26	Job Tickets	Current year +2	Housing repair jobs i.e. Plumbing
5.27	Repair History	In line with Property file retention.	Summary of works carried out and jobs ordered.

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## HOUSING SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
5.28 Timesheets	Cy+3		
5.29 Recharge documentation	In line with Tenancy info.		
5.30 Local orders	Cy+6	Local Shops.	
<b>Finance</b>			
5.31 Copies of sick lines and SAL forms			See 7.0 Human Resources
5.32 Monitoring of staff leave		Annual Leave, Sick Leave & Compassionate Leave	See 7.8 Retention Schedule Human Resources
5.33 Overtime and TOIL Forms			See 8.9 and 6.8 Retention Schedule Finance
5.34 Insurance Claims	Destroy 7 years after all obligations are concluded, allowing for the claimant to reach 25 years of age.		
5.35 Property Acquisition and Transfers	Permanent, in line with current property and tenancy files	Properties transferred from other owners	
<b>Housing Support</b>			
5.36 Housing Support Plans for Customers	Cy+3 from Housing Support case closure.	Housing Support Assessments and Plans, Contact Monitoring forms & case notes	The Homeless Persons Interim Accommodation (Scotland) Regulations 2002. SSI 2002 No 412 Regulation 4 (b) (v) To be in writing

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## HOUSING SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
5.37 Housing Support Worker Diaries	Cy + 4 years	Diaries	The Homeless Persons Interim Accommodation (Scotland) Regulations 2002. SSI 2002 No 412 Regulation 4 (b) (v) To be in writing
<b>Policy &amp; Information</b>			
5.38 Survey data	Cy+10	Repair Satisfaction Surveys Homeless Satisfaction Surveys Planned Maintenance Surveys Tenant Satisfaction Surveys Application Feedback Forms Equal Opportunities Forms	
5.39 Consultation with Tenants and Applicants	Current plus previous	Rent Consultation, Report Card	
5.40 Performance Indicators and Statistical information about service.		Statutory returns	See 3.5 in Management and Administration.
5.41 The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines.			See 3.7 on Retention Schedule, Management & Administration.
5.42 Activities that develop policies, procedures, strategies and structures for the Local Authorities.			See 3.6 on Retention Schedule, Management & Administration.

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## HOUSING SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
5.43 Homeless Strategy	Cy+5 since superceded.	Homeless Strategy	
5.44 Local Housing Strategy	Cy+5 since superceded.	Local Housing Strategy	
5.45 Service Plans			See 3.1 on Retention Schedule, Management & Administration.
5.46 Monitoring and Review of Common Housing Register		Minutes of reviews, actions taken, changes implemented.	See 3.6 on Retention Schedule, Management & Administration.
5.47 Website Content	Current only	Information for internet and interact	
5.48 Advice and Information	Current only	Leaflets, Advertising & Factsheets	
5.49 Register of Tenant Organisations	Permanent	Registration documentation	Housing (Scotland) Act 2001. 2001 asp 10 Section 53 (3)
5.5 Archive Requests	Current + 7 years.	Archive request & destruction requests, Archive and Disposal register	

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## LEGAL AND CONTRACTS

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

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## LEGAL AND CONTRACTS

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

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## LEGAL AND CONTRACTS

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

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## LEGAL AND CONTRACTS

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

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## LEGAL AND CONTRACTS

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

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## LEGAL AND CONTRACTS

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

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## LEGAL AND CONTRACTS

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

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## HUMAN RESOURCES

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

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## HUMAN RESOURCES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
		<ul style="list-style-type: none"> <li>▪ Employee Review &amp; Development Sessions - Supervision Notes</li> </ul>	
7.2	Held for the duration of the penalty.	<ul style="list-style-type: none"> <li>▪ Disciplinary materials</li> </ul>	In line with the Disciplinary Policy
7.3	To be held until processed on CHRIS	<ul style="list-style-type: none"> <li>▪ New Employee Information Sheet</li> </ul>	Common Practice
7.4	To be held until processed by Finance then should be destroyed.	<ul style="list-style-type: none"> <li>▪ Bank Mandate</li> <li>▪ SAL Forms</li> <li>▪ Pension Form</li> </ul>	
7.5	To be held separately for 90 days.	<ul style="list-style-type: none"> <li>▪ Disclosure Information</li> </ul>	Requirement.
7.6	To be held separately for 1 year.	<ul style="list-style-type: none"> <li>▪ Working Time Regs – Opt-out Forms</li> </ul>	Common Practice
7.7	To be held separately for 2 years.	<ul style="list-style-type: none"> <li>▪ Relocation Information</li> </ul>	Employees are required to pay back expenses if they leave the Council before 2 years employment.

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## HUMAN RESOURCES

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7.8	To be held separately for cy+2	<ul style="list-style-type: none"> <li>▪ Flexible Working Hours Recording Sheets</li> <li>▪ Absence Management Information</li> <li>▪ Statements for Fitness</li> <li>▪ Return to Work Interviews</li> <li>▪ Public Duties - Jury Service</li> <li>▪ Leave (e.g. annual leave, sick leave, special/personal leave, compassionate leave, study leave etc)</li> <li>▪ Occupational Health Referrals/Reports - PRTW / Medicals required for the post</li> </ul>	As recommended in the relevant Policies.	
<b>PERSONNEL Administration</b>				
7.9	Summary management systems that allow the monitoring & management of employees in summary form. <u>Note: The summary information that this record class attempts to capture is as follows:</u> Name Date of Birth Date of Appointment Work History Details Position/Designation Titles & Dates Held	Permanent  Cy+1	<ul style="list-style-type: none"> <li>▪ Employee Register – Permanent Staff</li> <li>▪ CHRIS – Create/Amend/End Post Forms</li> <li>▪ BRO Memos</li> </ul>	As recommended by Internal Audit
7.10	The process of administering employees to ensure that entitlements & obligations are in	Destroy 6 years from end of employment.	<ul style="list-style-type: none"> <li>▪ Letter of appointment</li> <li>▪ Letter of acceptance</li> <li>▪ Educational qualifications</li> </ul>	Staff who have had links with children (Social Work and Education) should be retained for

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## HUMAN RESOURCES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
accordance with agreed employment requirements.		<ul style="list-style-type: none"> <li>▪ Register of Employees Interests Forms (Legal and Administration will destroy their copy immediately they are informed employment has ended)</li> <li>▪ Employment contracts</li> </ul>	75 years. A record should also be kept information of the location the staff member worked at for Legal purposes.
<b>Employee and Industrial Relations</b>			
<b>TUPE Transfers</b>			
7.11 Process of negotiating terms and conditions for TUPE transfers.	<p>Information on terms and conditions negotiations should be held for 8 years.</p> <p>Original terms and conditions from before TUPE should be held for the duration of the employee's contract. Once contracts have terminated, personal files should be held as per 6.1 above.</p>	<ul style="list-style-type: none"> <li>▪ Notes from meetings</li> <li>▪ Terms and conditions</li> <li>▪ Employee records e.g. Contract of employment</li> <li>▪ Job Profiles and Person Specifications</li> </ul>	As recommended by Legal Services.
7.12 Identification & development of significant directions concerning industrial matters	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>▪ Generic agreements and awards</li> <li>▪ Negotiations</li> <li>▪ Disputes</li> <li>▪ Claims lodged</li> </ul>	
7.13 Liaison processes of minor and routine industrial matters	Destroy 2 years after administrative use is concluded.	<ul style="list-style-type: none"> <li>▪ Daily Industrial relations management</li> </ul>	Common Practice

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## HUMAN RESOURCES

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

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## HUMAN RESOURCES

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

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## HUMAN RESOURCES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
<b>Recruitment</b>				
7.24	The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised.	<ul style="list-style-type: none"> <li>▪ Policies and Procedures</li> <li>▪ Recruitment Approval</li> <li>▪ Advertisements</li> <li>▪ Enquirers and Applicants</li> <li>▪ Shortlisting papers</li> <li>▪ Interview papers</li> <li>▪ Offer of Employment</li> <li>▪ Migrant Worker information (where relevant)</li> <li>▪ Any Resident Labour Market Test i.e. Advert, inc. JobCentre Plus</li> </ul>	Common Practice and in line with the requirements of the UK Border Agency and the Immigration, Asylum & Nationality Act 2006.
7.25		Retain for 6 years from end of employment	<ul style="list-style-type: none"> <li>▪ Offer/Acceptance of Appointment</li> <li>▪ Written Statement</li> </ul>	Common Practice
7.26	The selection of an individual for an established position	Retain for a maximum of 90 days then destroy	<ul style="list-style-type: none"> <li>▪ Disclosure Scotland Checks/Results</li> </ul>	
7.27		Following 6 months review destroy or until individual requests their details be removed from the Registers	<ul style="list-style-type: none"> <li>▪ Employment Register – Temporary</li> <li>▪ Employment Register – Relief</li> <li>▪ Employment Register - Vocational</li> <li>▪</li> </ul>	
<b>Staff Monitoring</b>				
7.28	Performance	Destroy 5 years after action completed	<ul style="list-style-type: none"> <li>▪ Probation reports</li> <li>▪ Performance plans</li> </ul>	Common Practice
7.29	Process of monitoring staff leave and attendance.	Cy+2 Destroy	<ul style="list-style-type: none"> <li>▪ Sick leave</li> <li>▪ Jury service</li> </ul>	Common Practice

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## HUMAN RESOURCES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
		<ul style="list-style-type: none"> <li>▪ Study leave</li> <li>▪ Special and personal leave</li> <li>▪ Annual leave record cards</li> <li>▪ Compassionate leave requests</li> <li>▪ Maternity/Adoption leave</li> <li>▪ Phased Return to Work administration</li> </ul>	
<b>Staff Retention</b>			
7.30	Financial reward	Destroy 7 years after action completed	Common Practice. All records relating to actual payment are dealt with under Finance.
7.31	Other strategy	Destroy 3 years after action completed	Common Practice.
<b>Redeployment</b>			
7.32	Process of redeploying staff	Destroy 5 years after action completed	<ul style="list-style-type: none"> <li>▪ Redeployment Statement</li> <li>▪ CV</li> <li>▪ Departmental Responses</li> <li>▪ Accompanying notes</li> </ul> Common Practice
7.33	The process of termination of staff through voluntary redundancy, resignation, dismissal and retirement	Destroy 6 years after termination	Materials relating to: <ul style="list-style-type: none"> <li>▪ Resignation</li> <li>▪ Redundancy (section 188)</li> <li>▪ Dismissal (for reasons other than Disciplinary e.g. Ill Health Retiral)</li> <li>• Death in Service</li> <li>• Retirement</li> </ul> Except where dismissal relates to disciplinary action – see Processing of Disciplinary Investigations.
<b>Training and Development</b>			
7.34	Routine staff training processes, not occupational health and safety or children related.	Destroy 2 years after action completed	<ul style="list-style-type: none"> <li>▪ Course individual staff assessment</li> </ul>

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## HUMAN RESOURCES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
7.35 Training (occupational health and safety training)	Destroy 50 years after training completed, or last entry Training is general kept for 3 years or at the outside 6 years after employee leaves	<ul style="list-style-type: none"> <li>▪ OH&amp;S training register</li> <li>▪ OH&amp;S Course individual staff assessment</li> </ul>	
7.36 Training (concerning children)	Destroy 35 years after training completed, or last entry	<ul style="list-style-type: none"> <li>▪ Course individual staff assessment</li> <li>▪ Training register</li> </ul>	
7.37 Training (materials)	Destroy 1 year after course is superseded	<ul style="list-style-type: none"> <li>▪ Training Materials</li> </ul>	Common Practice
7.38 Training Directory	Destroy 1 year after directory has been superseded		Common Practice
7.39 Training (proof of completion)	Destroy 7 years after action completed	<ul style="list-style-type: none"> <li>▪ Certificates</li> <li>▪ Awards</li> <li>▪ Exam results</li> <li>▪ Training Records (proof of completion)</li> </ul>	Common Practice
7.40 Training Database			Information held with the consent of trainees. Updated regularly. Information shared with SIC Human Resources.
7.41 Training – Claims	T+5		Information required to be kept for 5 years from the last payment received from HIE.
7.42 Training – Education Business Partnership			Held in agreement with the Education Service, Schools,

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## HUMAN RESOURCES

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

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## EDUCATION SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>8 EDUCATION</b>			
Historical Child Abuse Inquiry Scotland			
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<b>SCHOOLS</b>			
<b>School Meals</b>			
8.1	Summary information	7 years from end of year	
8.2	Individual school information	3 years	
8.3	Dinner register	Cy+3 destroy	
8.4	School meals summary sheets	Cy+3 destroy	
<b>Management</b>			
8.5	Log Books	Retain for date of last entry in the book +6 years, then transfer to Archives.	
8.6	Minutes of the Senior Management Team and other internal administrative bodies	Retain for date of meeting +5 years then offer to Archivist for sample	

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## EDUCATION SERVICES

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

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## EDUCATION SERVICES

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

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## EDUCATION SERVICES

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
<b>Pupils</b>				
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8.19	Pre-school Enrolment and Registration	Cy – destroy	Enrolment and Registration Forms	Consider historical value and address the permanent preservation of digital registers. Councils typically use SEEMiS or Phoenix and these collect and collate much more information than the paper registers. They may download onto cd only such information as was found in the paper registers and transfer these to the archives.
8.20	Admission registers	Retain for date of last entry in book or file +6 years then transfer to Archives – see note on closure period.		<p>These records are closed to public access for 100 years following decision of the UK Information Commissioner. Archival retention under the historical and research exemption of the Data Protection Act 2018, Schedule 2, Part 6, Paragraph 28.</p>
8.21	Attendance registers	Retain for date of register +7 years then destroy.		

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## EDUCATION SERVICES

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

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## EDUCATION SERVICES

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

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## EDUCATION SERVICES

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

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## EDUCATION SERVICES

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

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## EDUCATION SERVICES

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

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## EDUCATION SERVICES

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

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## EDUCATION SERVICES

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

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## HEALTH AND SAFETY

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

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## HEALTH AND SAFETY

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

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## HEALTH AND SAFETY

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
<b>Financial Transactions Management continued</b>				
9.6	Taxation Records	Cy+6 Destroy	<ul style="list-style-type: none"> <li>• Taxation Records</li> <li>• Motor Vehicle Logs</li> </ul>	Statutory
9.7	Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	<ul style="list-style-type: none"> <li>• Notification &amp; Input Records</li> </ul>	Common Practice

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## HEALTH AND SAFETY

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Payroll</b>			
9.8 Accountable processes relating to payment of employees	Cy+3 Destroy	<ul style="list-style-type: none"> <li>• Authority Sheets</li> <li>• Payroll Deduction Authorities</li> <li>• Payroll Disbursement</li> <li>• Payroll Year-end Prints</li> <li>• Employee Pay Records</li> <li>• Employee Taxation Records</li> <li>• Payment Vouchers</li> <li>• Payroll Print-outs <b>Cy+3 -D</b></li> <li>• Amendment prints</li> <li>• **P60</li> <li>• *P45</li> </ul>	Statutory as per Inland Revenue requirements
	**P60 – Permanent *Cy+3 Destroy		
<b>Payroll</b>			
9.9 Non-accountable processes relating to payment of employees	Cy+3 Destroy	<ul style="list-style-type: none"> <li>• Summary Employee Pay Reports</li> <li>• Receipts</li> <li>• Salaries Cumulative listing</li> <li>• Sickness/SSP forms</li> <li>• Timesheets</li> <li>• Travel Expenses</li> <li>• Wages – cumulative listings</li> </ul>	Statutory as per Inland Revenue requirements

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## HEALTH AND SAFETY

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
<b>Financial Provisions</b>				
<b>Budgets And Estimates</b>				
9.10	The process of finalising Local Authority's annual accounts	<b>Permanent Transfer to Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>• Annual Account</li> <li>• Annual Account Working File</li> <li>• General Ledger</li> </ul>	Common Practice Only the final version of the annual budget needs to be kept
<b>Budgets And Estimates</b>				
9.11	The process of developing Local Authority's annual budget.	Cy+6 Destroy	<ul style="list-style-type: none"> <li>• Draft Budgets</li> <li>• Departmental Budgets</li> <li>• Draft Estimates</li> <li>• Departmental Estimates</li> <li>• Management Accounts</li> <li>• Monthly and Quarterly Accounts</li> <li>• Monthly and Quarterly Statements</li> <li>• Returns and Reports on Asset statements</li> </ul>	Common Practice
9.12	The process of reporting which examines the budget in relation to actual revenue and expenditure	Cy+6 Destroy	<ul style="list-style-type: none"> <li>• Quarterly Statements</li> </ul>	Common Practice
9.13	The process of developing local authorities' annual budget	Cy+2 Destroy	<ul style="list-style-type: none"> <li>• Revenue Estimates Working Papers</li> </ul>	Common Practice

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## HEALTH AND SAFETY

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

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## HEALTH AND SAFETY

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

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## HEALTH AND SAFETY

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Property History</b>			
9.21 The recording of information for rateable properties identifying the person or company rated, including details of the value of the property. Note: Records containing accounting information primarily, and not being a source of property history, should be Disposed Of According to the appropriate record class within the Accounts & Audit function.	<b>Permanent Transfer to Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>• Rate Books</li> <li>• Rate Cards</li> <li>• Register of Rateable properties</li> </ul>	Common Practice
<b>Rates and Local Authorities Tax Correspondence</b>			
9.22 The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters	Cy+6	<ul style="list-style-type: none"> <li>• Notices</li> <li>• Objections</li> <li>• Applications</li> <li>• Correspondence</li> <li>• Rate Certificates</li> <li>• Notices of Acquisition</li> </ul> <p style="text-align: right;">and</p> <ul style="list-style-type: none"> <li>• Disposition</li> <li>• Rate Property Files</li> </ul>	Council Tax collection information held electronically from 1993 to present Paper copies destroyed in accordance with the Schedule

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## HEALTH AND SAFETY

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
9.23	Permanent	Rates Valuation Roll	
<b>Insurance</b>			
<b>Policy Management</b>			
9.24	The summary management of insurance arrangements	<b>Permanent. Transfer to a Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>• Insurance Register</li> </ul>
9.25	The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage	Cy+6 Destroy	<ul style="list-style-type: none"> <li>• Insurance policies</li> <li>• Correspondence</li> </ul>
9.26	The process of renewing insurance policies	Cy+5. Destroy 5 years after the insurance policy has been renewed.	<ul style="list-style-type: none"> <li>• Insurance policy</li> <li>• Renewal records</li> <li>• Correspondence</li> </ul>
<b>Claims Management</b>			
9.27	The process that records insurance claims against the local authority or local authority officers	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach <b>25 years</b> of age)	<ul style="list-style-type: none"> <li>• Claims records</li> <li>• Correspondence</li> <li>• Personal Injury Claims</li> </ul>

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## HEALTH AND SAFETY

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Education</b>			
9.28 Educational Maintenance Allowance [EMA]	Cy+6	<ul style="list-style-type: none"> <li>▪ EMA Financial Documents</li> <li>▪ EMA Learning Agreement</li> </ul>	EMA Learning Agreements are non-financial and only need to be retained for 2 years (cy +1)
9.29 Bursaries	Cy+6	<ul style="list-style-type: none"> <li>▪ Bursaries Financial documents</li> <li>▪ Zetland Educational Trust [ZET] financial documents</li> </ul>	
<b>Internal Audit</b>			
9.30 Internal auditing records – <b>no investigations</b>	Trigger event – Date audit closed Retain 5 years Review for historical value before destruction	<ul style="list-style-type: none"> <li>• Internal Audit Reports, Follow-Up Reports and Reviews</li> </ul>	Prescription and Limitation (Scotland) Act 1973
9.31 Internal auditing records - <b>investigations</b>	Trigger event – Completion of court proceedings/ disciplinary process Review for historical value before destruction	<ul style="list-style-type: none"> <li>• Internal Audits and investigations involving prosecution, disciplinary action etc</li> </ul>	Prescription and Limitation (Scotland) Act 1973
9.32 Internal auditing records – <b>general papers</b>	Trigger event – End of financial year Retain 5 years Review for historical value before destruction	General papers re provision and management of internal audit service (not specific to individual audits)	Prescription and Limitation (Scotland) Act 1973

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## HEALTH AND SAFETY

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Pensions</b>			
9.33 Personal Pension Files	Active, deferred and pensioner scheme members, retain personal data for the <b>greater of:</b> such period as the member (or any beneficiary who receives benefits after the member's death) are entitled to benefits from the Pension Fund and for a period of 15 years after those benefits stop being paid: or 100 years from the member's date of birth; or 100 years from the date of birth of any beneficiary who received benefits from the Pension Fund after the member's death.	Contact details, including name, address, telephone numbers and email address. Identifying details, including date of birth, national insurance number and employee and membership numbers. Information that is used to calculate and assess eligibility for benefits, for example, length of service or membership and salary information. Financial information relevant to the calculation and payment of benefits, for example, bank account and tax details. Information about the member's family, dependants or personal circumstances, for example, marital status and information relevant to the distribution and allocation of benefits payable on death Information about the member's health, for example, to assess eligibility for benefits payable on ill health, or where the member's health is relevant to a claim for benefits following death of a member of the Pension Fund. Information about a criminal conviction if this resulted in the member owing money to the	Pension Fund – Data Retention Policy Statement.  The greater of “100 years from date of birth” and the “last payment of benefits to the member/beneficiary plus 15 years”, is intended to ensure that the Pension Fund is acting in line with TPR's General Code of Practice.

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## HEALTH AND SAFETY

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

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## HEALTH AND SAFETY

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
10.6	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	Destroy 50 years from last action or at age 75 years whichever is the greater	<ul style="list-style-type: none"> <li>• Radon monitoring</li> </ul>	
10.7	Process of monitoring of areas where employees and persons are likely to have come into contact with radiation	Cy+25	<ul style="list-style-type: none"> <li>• Relates to staff using radioactive isotopes</li> <li>• Health check records</li> </ul>	
10.8	Process to ensure safe systems of work	Retain until superseded or process ceases +1 year		Common practice
10.9	Process to assess the level of risk	Destroy 3 years from last assessment.	<ul style="list-style-type: none"> <li>• Risk Assessments</li> </ul>	Statutory
10.10	Processes that permit work	Destroy 1 year from last action.		Common practice
10.11	Process that records injuries to adults	Destroy 25 years from closure	<ul style="list-style-type: none"> <li>• Accident Books</li> </ul>	Statutory
10.12	Process that records injuries to children	Destroy 25 years from closure	<ul style="list-style-type: none"> <li>• Accident Books</li> </ul>	Statutory
10.13	Accident Notification	Permanent	<ul style="list-style-type: none"> <li>• Accident Notifications</li> <li>• Accident Investigations</li> <li>• Fatal Accident Investigations</li> </ul>	
10.14	Public Register – Abstract of H&S Notices affecting the public	Cy+3 Transfer to a Place of Deposit after administrative use is concluded.		
10.15	Accident/Incident Statistics	Cy+1 Destroy		

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## HEALTH AND SAFETY

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

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## ENVIRONMENTAL HEALTH

**NOTE: The Environmental Health section is currently under review – please contact Team Leader – EH Service before applying any of the following retention/destruction actions.**

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

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

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## ENVIRONMENTAL HEALTH

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

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

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

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FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
<b>Notification</b>				
11.27	The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	<ul style="list-style-type: none"> <li>• Fire Prevention Notices</li> <li>• Fire Prevention Infringement Notices</li> <li>• Objections to Notices</li> <li>• Appeals Against Notices</li> <li>• Registration of Premises Infringement Notices</li> <li>• Animal Impounding Notices</li> </ul>	Common Practice
<b>Investigation, Inspection and Monitoring</b>				
11.28	The process of investigation, monitoring or inspection of laws in the responsibility of the local authority.	Destroy 7 years from last action.	<ul style="list-style-type: none"> <li>• Trading standards sample and inspections records</li> <li>• Fire certificate compliance inspections</li> </ul>	Common Practice
<b>Prosecution</b>				
11.29	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities.	Destroy 7 years from last action.  * Permanent Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Prosecution/sanction files</li> <li>• *Prosecutions Register</li> </ul>	Common Practice

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FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
<b>Bye-Laws</b>				
<b>Enactment</b>				
11.30	The process of making local laws	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Master Set of Bye-Laws</li> <li>• Policy Development Documents</li> <li>• Correspondence</li> <li>• Submissions</li> </ul>	Common Practice
<b>Administration and Enforcement of Bye-laws</b>				
11.31	The process of administering and enforcing bye-laws	Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased.	<ul style="list-style-type: none"> <li>• Applications for certificates</li> <li>• Permits</li> <li>• Licences</li> <li>• Infringement notices</li> <li>• Correspondence</li> </ul>	Common Practice
<b>Cemeteries &amp; Crematoria</b>				
11.32	Summary management systems that record the location and occupancy of deceased individuals.	<b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>• Internment register</li> <li>• Lair register</li> <li>• Lair Plans</li> </ul>	Common Practice

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FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
11.33 The process of regulation of burials and cremations	Destroy 5 year after last action	<ul style="list-style-type: none"> <li>• Headstone approvals</li> <li>• Permits</li> <li>• Applications</li> <li>• Orders</li> <li>• Burial accounts</li> <li>• Cemetery diaries</li> <li>• Interment correspondence</li> </ul>	Common Practice
11.34 The process of regulation of burials and cremations	Cy+2 Destroy	<ul style="list-style-type: none"> <li>• Lair certificate stubs</li> <li>• Lair receipts</li> </ul>	Common Practice

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

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

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FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Environmental Health General Administration Documents</b>			
11.41	<ul style="list-style-type: none"> <li>• Enquiries Job Sheets</li> <li>• Dog Warden Enquiry Sheet</li> <li>• Pest Control Enquiry Sheet</li> <li>• LACOTS circulars and guidance</li> </ul>	Cy+1 Destroy	
	<ul style="list-style-type: none"> <li>• Property Enquiries</li> <li>• *Planning Consultations</li> <li>• *Licensing Consultations</li> <li>• *Building Control Regulations</li> </ul>	*Cy+2 Destroy	<ul style="list-style-type: none"> <li>*Original with Planning</li> <li>*Original with Legal Services</li> <li>*Original with Building Control</li> </ul>
11.42	<ul style="list-style-type: none"> <li>• General Complaints</li> <li>• Inspection Report Forms</li> </ul>	Cy+6 Destroy	
11.43	Standard Documentation	Cy Destroy	
11.44	<ul style="list-style-type: none"> <li>• Property Enquiries Register</li> <li>• Register of unfit houses</li> <li>• Nuisance</li> <li>• Cleansing Complaints</li> <li>• Job Sheets</li> <li>• Food Premises Register</li> <li>• Environmental Health Sample Register</li> <li>• Accident Investigation Register</li> <li>• Environmental Protection Act Notices</li> </ul>	<b>Permanent. Transfer to Place of Deposit after administrative use is concluded.</b>	

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FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
11.45 Dairy and Food Bacteriological Register	Cy+3 Transfer to Place of Deposit after administrative use is concluded.		
11.46 <ul style="list-style-type: none"> <li>• Domestic/Pool water bacteriological sample register</li> <li>• Swimming Pool Sample results</li> </ul>	Cy+1 Transfer to Place of Deposit after administrative use is concluded.		
11.47 Pest control reference manual	Cy destroy		
11.48 Housing Files	Cy+5 Transfer to Place of Deposit after administrative use is concluded.		
11.49 Housing Condition survey	<b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b>		
11.50 BSE Over 30 months Carcasses and Incident Reports	Cy+10 Transfer to Place of Deposit after administrative use is concluded.		
11.51 <ul style="list-style-type: none"> <li>• Communicable Diseases</li> <li>• Infectious Diseases</li> </ul>	Cy+3 Destroy		

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FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Food and Food Safety</b>			
11.52	<ul style="list-style-type: none"> <li>• HACCP Enforcement</li> <li>• Food Safety System</li> </ul>	Cy+1 destroy	
11.53	<ul style="list-style-type: none"> <li>• Application for registration of food premises</li> <li>• Licensing Reports</li> <li>• Butchers Licenses</li> <li>• Other Licenses</li> </ul>	Cy+2 Destroy	
11.54	<ul style="list-style-type: none"> <li>• Food Safety Register</li> <li>• Ice Cream Licenses</li> </ul>	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.	
11.55	<ul style="list-style-type: none"> <li>• General Complaints</li> <li>• Food Complaints</li> <li>• Food Poisoning Notifications</li> </ul>	Cy+3 Destroy	
11.56	<ul style="list-style-type: none"> <li>• NIPO's</li> <li>• Other Notices</li> <li>•</li> <li>• "Minded to" Notices</li> <li>• Improvement Notices</li> <li>• Emergency Prohibition Notices</li> </ul>	<p>Cy+3 Transfer to Place of Deposit after administrative use is concluded.</p> <p>Cy+5 Transfer to Place of Deposit after administrative use is concluded.</p>	

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<b>Food and Food Safety Continued</b>			
11.57	Prosecutions Register	<b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b>	
11.58			
11.59	Register of Food Business' Registration Forms	<b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b>	
11.60	Enforcement Policy	Cy destroy	
11.61	Food Safety Service Plan	Cy destroy	
11.62	Standard documentation	Cy destroy	
11.63	<ul style="list-style-type: none"> <li>• Food Hazard Warnings</li> <li>• Policy</li> <li>• Bulletins from FSA</li> </ul>	Cy+1 Destroy	

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FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Food and Food Safety Continued</b>			
11.64	<ul style="list-style-type: none"> <li>• Corporate Infection Control Policy</li> </ul>	<b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b>	
11.65	<ul style="list-style-type: none"> <li>• Inspection Report Forms</li> <li>• Letter and General Correspondence</li> <li>• Public Analyst Certificates</li> </ul>	Cy+5 Destroy	
1166	<ul style="list-style-type: none"> <li>• Minutes of Team Meetings</li> <li>• Minutes of Management Team Meetings</li> <li>• Internal Memos</li> <li>• Barbour Index Briefing Notes</li> <li>• Register of Social Work Establishments</li> <li>• Minutes of HASCOG</li> </ul>	Cy+1 destroy	
11.67	<ul style="list-style-type: none"> <li>• Section 23 Certificates</li> <li>• Food Hygiene Certificates (Street Traders)</li> </ul>	Cy+3 destroy	

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FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Health and Safety</b>			
11.68	<ul style="list-style-type: none"> <li>• Prohibition Notices</li> <li>• Improvement Notices</li> <li>• Accident Notifications</li> <li>• General Complaints</li> <li>• Inspection Report Forms</li> <li>• Outgoing Correspondence</li> <li>• Reports to Procurator Fiscal</li> <li>• Incoming correspondence</li> <li>• Fatal Accident Investigations</li> </ul>	Cy+6 Archive	
11.69	<ul style="list-style-type: none"> <li>• Outgoing/Incoming</li> <li>• Correspondence</li> </ul>	Cy+5 Archive	
11.70	Licensing Reports (Annual)	Cy+1 Destroy	
11.71	Licensing Reports (3 years)	Cy+2 destroy	
11.72	Public Register – Abstract of H&S Notices affecting the public	Cy+3 Transfer to Archives	
11.73	Radioactive Substances	Retain for 40 years destroy	
11.74	<ul style="list-style-type: none"> <li>• Pet shops/Riding and Animal Boarding Establishments Licenses</li> <li>• Second Hand Dealers Licenses</li> <li>• Betting and Gaming Licenses</li> <li>• Public Entertainment Licenses</li> </ul>	Cy+1 Destroy	

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## ENVIRONMENTAL HEALTH

**NOTE: The Environmental Health section is currently under review – please contact Team Leader – EH Service before applying any of the following retention/destruction actions.**

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Health and Safety continued</b>			
11.75	Croner H&S Briefing/Risk	Permanent	
11.76	<ul style="list-style-type: none"> <li>• H&amp;S Guidance and Publications</li> <li>• MAIB Investigations</li> </ul>	Retain	Ferries Operations: Retain until superseded by updated versions.
11.77	<ul style="list-style-type: none"> <li>• Enforcement Policy</li> <li>• Health and Safety Plan</li> </ul>	Cy destroy	
11.78	Departmental Risk Assessments	Cy+1 destroy	
11.79	<ul style="list-style-type: none"> <li>• Minutes of H&amp;S Liaison Group</li> <li>• HELAS</li> <li>•</li> </ul>	Cy+2 destroy	
11.80	Register of Cooling Towers	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.	
11.81	Prosecutions Register	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.	

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

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

## ENVIRONMENTAL HEALTH

**NOTE: The Environmental Health section is currently under review – please contact Team Leader – EH Service before applying any of the following retention/destruction actions.**

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Health and Safety continued</b>			
11.82 Asbestos Removal Register	Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded.		
<b>Trading Standards</b>			
11.83 Consumer complaints & enquires	Destroy 5 years after closure		Common Practice
11.84 Service requests	Destroy 5 years after closure		Common Practice
11.85 Inspections and visits	Destroy 5 years after closure		Common Practice
11.86 Samples	Destroy 5 years after closure		Common Practice
11.87 Prosecution Files	Destroy 7 years after closure		Common Practice

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

## ENVIRONMENTAL HEALTH

**NOTE: The Environmental Health section is currently under review – please contact Team Leader – EH Service before applying any of the following retention/destruction actions.**

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

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## PLANNING AND LAND USE

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

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

## PLANNING AND LAND USE

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
12.4 The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 15 years after decision	<ul style="list-style-type: none"> <li>• Waste Planning Application consultation</li> <li>• Mineral Planning applications consultation</li> <li>• Objections</li> <li>• Inquiries – Public etc</li> <li>• Archaeological; advice/conditions</li> </ul>	
12.5 The activity of establishing planning scheme controls and providing for them to be amended.	<b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>• Successful Waste Planning Application</li> <li>• Successful Mineral Planning applications</li> <li>• Amendments to definitive map</li> </ul>	Common Practice
12.6 The summary management of planning scheme regulation	<b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>• Building Control Registers</li> </ul>	
12.7 The process of regulating the planned use of land or buildings.	Destroy 15 years after closure		
12.8 The process of approving building applications in relation to significant listed buildings.	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Building Files</li> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits Certificates</li> </ul>	

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

## PLANNING AND LAND USE

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
12.9 The process of controlling development of areas through applications for planning permission	Permanent.	<ul style="list-style-type: none"> <li>• Building Files</li> <li>• Plans</li> <li>• Specifications</li> <li>• Correspondence</li> <li>• Applications</li> <li>• Permits</li> <li>• Certificates</li> <li>• Objections</li> <li>• Hearings</li> </ul>	Common Practice
12.10 The process of inspecting building work for the purpose of insuring compliance.	Destroy 10 years after the issue of a certificate of final inspection.	<ul style="list-style-type: none"> <li>• Certificate of Final Inspection</li> <li>• Inspection Records</li> <li>• Diaries</li> </ul>	
12.11 The process of enforcing building or land regulations	Destroy 50 years after Enforcement Notice. <b>Destroy 3 years after compliance with enforcement notice.</b>		

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note	
<b>13 INFRASTRUCTURE</b>				
<b>Planning and Development</b>				
13.1	The activity of recording location of highways, bridle paths and rights of way.	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Definitive map</li> <li>• Correspondence concerning enquiries and disputes</li> </ul>	Common Practice
13.2	The activity of establishing planning scheme controls and providing for them to be amended and modified.	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Amendments to definitive map</li> <li>• Road adoption</li> </ul>	Common Practice
13.3	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 7 years after decision		Common Practice
13.4	The process of enforcing infrastructure and transport regulations	Destroy 50 years after Enforcement Notice. Destroy 3 years after compliance with enforcement notice.		Common Practice

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Traffic Management</b>			
13.5	The activity of planning, and programming the continued flow, diversion or reduction of traffic.	<b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b>	<ul style="list-style-type: none"> <li>Traffic Orders</li> </ul>
13.6	The activity of planning, and programming the continued flow, diversion or reduction of traffic.	Destroy after 5 years	<ul style="list-style-type: none"> <li>Temporary Traffic Orders</li> </ul>

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## INFRASTRUCTURE AND TRANSPORT

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

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## INFRASTRUCTURE AND TRANSPORT

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

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Road Maintenance</b>			
13.12	The activity of maintaining and repairing roads, streets, bridges, bridle paths, rights of way and tunnels.	Destroy 12 years after action completed	
<b>Infrastructure Management and Maintenance</b>			
13.13	The activity of providing municipal services in relation to Infrastructure within the local authority.	Destroy 7 years after last action	<ul style="list-style-type: none"> <li>• Street Files</li> <li>• Street Records</li> <li>• House numbering</li> <li>• Street Load Limits</li> <li>• Bus Shelters</li> <li>• Applications to dig up pavements</li> <li>• HGV application</li> <li>• Advice/comment</li> <li>• Level crossings</li> <li>• Right of Ways</li> <li>• Roundabouts</li> <li>• Traffic calming measures</li> <li>• Street lighting</li> </ul>
13.14	The activity of providing municipal services in relation to Infrastructure within the local authority.	Cy+10 Transfer to Place of Deposit after administrative use is concluded.	<ul style="list-style-type: none"> <li>• Road Gritting Records</li> <li>• Records of Weather Forecasts/Conditions</li> </ul>

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
13.15 The activity of providing municipal services in relation to Infrastructure within the local authority.	Cy+10 Destroy	<ul style="list-style-type: none"> <li>• Roads and Lighting Faults</li> <li>• Reports</li> </ul>	
<b>Roads</b>			
13.16 <ul style="list-style-type: none"> <li>• Regulation Orders</li> <li>• Traffic Regulation Orders</li> <li>• Construction Consent Files</li> <li>• Prospective Maintainable Highway (PMH) files</li> <li>• Construction Consent drawings</li> </ul>	<b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b>		
13.17 <ul style="list-style-type: none"> <li>• Site files</li> <li>• Project files</li> <li>• Temporary Orders</li> <li>• Contracts</li> </ul>	Retain for 5 years destroy		
13.18 Personal Injury Claim	Retain for 3 years from date of injury then destroy		
13.19 Car Park Status Reports	Retain for 7 years destroy		
13.20 Construction consents	Retain for 10 years then offer to Archivist		

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Architects</b>			
13.21	<ul style="list-style-type: none"> <li>• Site layout drawings</li> <li>• Location plans</li> <li>• General arrangement drawings</li> <li>• Major detail drawings</li> <li>• Minor detail drawings</li> </ul>	<p><b>Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.</b></p>	
<b>FSMS</b>			
13.22	<ul style="list-style-type: none"> <li>• CD/Manual</li> <li>• Command Audits</li> <li>• Crew Audits</li> <li>• Office Audits</li> <li>• Support Documents</li> <li>• Vessel Safety Audits</li> </ul>	<p>Cy Destroy</p>	
<b>Forms</b>			
13.23	<ul style="list-style-type: none"> <li>• ACC1</li> </ul>	<p>Cy Transfer to Place of Deposit after administrative use is concluded.</p>	
13.24	<ul style="list-style-type: none"> <li>• FUE1</li> <li>• Cancelled Service Records</li> <li>•</li> </ul>	<p>Cy+5 Destroy</p>	

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
13.25	<ul style="list-style-type: none"> <li>• COCF1</li> <li>• PAF2</li> <li>• MOF003</li> <li>• DFB1</li> </ul>	Cy+5 Transfer to Place of Deposit after administrative use is concluded.	
13.26	Unable to Transit	Cy Destroy	
13.27	<ul style="list-style-type: none"> <li>• Staff Uniform Issue</li> <li>• Protective Clothing Requests</li> </ul>	Cy Destroy	
<b>Ferry and Terminal Replacement Programme</b>			
13.28	<ul style="list-style-type: none"> <li>• Ferry and Terminal Budgets</li> <li>• General Correspondence</li> </ul>	Permanent.	
13.29	<ul style="list-style-type: none"> <li>• Meeting Documentation</li> <li>• Terminals</li> <li>• Vessels</li> </ul>	Cy+2 Destroy	
13.30	<ul style="list-style-type: none"> <li>• Fleet Ferries</li> <li>• General Maps/Plans</li> <li>• Videos*</li> </ul>	Cy Destroy	* Destroy proposals. Keep 'As Fitted' drawings.
<b>General</b>			
13.31	<ul style="list-style-type: none"> <li>• Library Books Index</li> </ul>	Permanent	
13.32	<ul style="list-style-type: none"> <li>• MCA</li> <li>• MRSC</li> <li>• Pre Build Ferry Plans</li> </ul>	Cy+3 Destroy	

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
13.33	<ul style="list-style-type: none"> <li>• Public Consultation Records (new build ferries)</li> <li>• Videos*</li> <li>• Sailing Statistics</li> <li>• Passenger Statistics</li> <li>• Ports and Harbours information</li> </ul>	Cy Archive	Save all on disc  * Destroy proposals. Retain 'As Fitted' drawings.
13.34	<ul style="list-style-type: none"> <li>• CD's Floppy discs</li> <li>• Ferry Fares</li> <li>• Ferry Photographs</li> <li>• Ferry Plans</li> </ul>	Cy Destroy	Destroy when new promotion issued
13.35	<ul style="list-style-type: none"> <li>• Emergency Drill Report (DRL1)</li> <li>• H&amp;S Permit to Work</li> <li>• H&amp;S Risk Assessment</li> <li>• Ladder/Gangway Register (LGR1)</li> </ul>	Cy+5 Archive	
13.36	Stores Requests (MOF004)	Cy+6	
13.37	<ul style="list-style-type: none"> <li>• Published Fares Table</li> <li>• Ferries Timetables</li> </ul>	Cy+6 Archive	
13.38	<ul style="list-style-type: none"> <li>• Traffic Data</li> <li>• Admiralty Notices to Mariners</li> </ul>	Cy+1 Destroy	

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>MCA</b>			
13.39	Permanent	<ul style="list-style-type: none"> <li>• Comms IT</li> <li>• Navigation Aids</li> <li>• Safety Equipment</li> <li>• Service Reports</li> <li>• Ultrasonics</li> <li>• Vessel correspondence</li> </ul>	Retain with Vessel until sold. Pass to new owner
13.40	Cy+1 Archive	<ul style="list-style-type: none"> <li>• Crewing Documentation</li> <li>• Ship's Rosters</li> <li>• Strategy</li> </ul>	
<b>Vessels</b>			
13.41	Permanent.	<ul style="list-style-type: none"> <li>• Vessel Diaries</li> <li>• Official Log Book*</li> <li>• 'Read It' Files</li> <li>• Transmission Notices**</li> </ul>	* Kept on board vessel until full. Passed to Registrar in Cardiff  **Retain on board vessel
13.42	Cy Destroy	<ul style="list-style-type: none"> <li>• Ferries Works Licenses</li> <li>• Masters Standing Orders</li> <li>• Type Rating Certificate (CERT1)</li> <li>• Vessel Checklist (Deck) (CHK1a)</li> <li>• Waste Oil Receipt (SEPA)</li> <li>• Vessel Reviews</li> <li>• Unable to Transit*</li> </ul>	* Retain for 10 years after retention period

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

## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Vessels continued</b>			
13.43	Safety Management Manual	Cy+2 Destroy	
13.44	<ul style="list-style-type: none"> <li>• First Aid Log</li> <li>• GMDSS Log</li> </ul>	5 yrs Transfer to Place of Deposit after administrative use is concluded.	
13.45	<ul style="list-style-type: none"> <li>• Deck Log</li> <li>• Engine Room Logs</li> <li>• Cumulative List of Notices to Mariners</li> </ul>	10 yrs Destroy	
13.46	Oil Record Book	Cy+6 Destroy 10 years after retention period has been reached.	
13.47	<ul style="list-style-type: none"> <li>• Crew Safety induction Report (FAM1)</li> <li>• Sea Service Testimonials</li> </ul>	Retain whilst employed by SIC then Destroy	
13.48	Deck Logs	Cy Destroy once resolved	
13.49	Docking Reports	Cy Destroy once renewed	
13.50	<ul style="list-style-type: none"> <li>• Drawings/Manuals*</li> <li>• Fleet Circulars (internal)</li> <li>• General Publications/Books</li> </ul>	Cy+5 Archive	*Retain while in Council ownership then pass to new owner.

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Vessels</b> continued			
13.51	MAIB Investigations	Permanent	Until superseded by new updates from HSE/MCA
13.52	<ul style="list-style-type: none"> <li>• Sold Vessels</li> <li>• Product Safety</li> </ul>	Permanent	Retain while in Council ownership then pass to new owner.
13.53	Vessel checklist (Engineer) (CHK2a)	Cy+5 Destroy	
<b>TRANSPORT</b>			
<b>Ferry Operations</b>			
13.54	<ul style="list-style-type: none"> <li>• Docking Invoices</li> <li>• Docking Lists</li> <li>• Docking Reports</li> </ul>	Permanent	Retain with vessel until sold. Pass to new owner

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Air, Bus And Fleet Operations</b>			
<b>Taxi Licensing</b>			
13.55	Destroy 2 years after expiry of taxi license	<ul style="list-style-type: none"> <li>• Taxi license application forms</li> </ul>	
	Destroy once noted	<ul style="list-style-type: none"> <li>• Police comments</li> </ul>	
	Destroy after 2 years	<ul style="list-style-type: none"> <li>• Copy of taxi drivers license</li> </ul>	
<b>Support And Planning</b>			
13.56	Regional Transport Strategy The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the Local Authority.	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded. <ul style="list-style-type: none"> <li>• Structure Plan</li> <li>• Local transport plan</li> </ul>	Common Practice
<b>Public Transport</b>			
13.57	The activities involved in the management and provision of public transport.	Destroy 3 years after superseded. Or last action. <ul style="list-style-type: none"> <li>• Timetables and Routes</li> <li>• Maps</li> <li>• Fares</li> <li>• Customer and industry liaison</li> </ul>	

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Concessions, Warrants and Entitlements</b>			
13.58	Process involving the provision and support for individuals using public transportation.	Destroy 1 year after last action.	<ul style="list-style-type: none"> <li>• Application for concessionary travel pass</li> <li>• Card issue</li> <li>• Rail warrants</li> <li>• National Entitlement Card</li> </ul>
<b>Concessions, Warrants and Entitlements continued</b>			
13.59	Process involving the provision and support for individuals in the process of being awarded/using a Blue Badge.	Cy+3 Destroy	<ul style="list-style-type: none"> <li>• Disability Living Allowance letters</li> <li>• Proof that the applicant is registered blind</li> <li>• Documents relating to a mobility vehicle supplied through the Dept of Health and Social Security</li> <li>• Award Letter of War Pensioner's Mobility Supplement</li> </ul>
<b>School Transport</b>			
13.60		Cy +1	<ul style="list-style-type: none"> <li>• Pupil lists including any amendments during the school year</li> </ul>

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## INFRASTRUCTURE AND TRANSPORT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>ASN Transport</b>			
13.61	Cy +1	<ul style="list-style-type: none"> <li>Pupil lists including any amendments during the school year</li> </ul>	

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## ECONOMIC DEVELOPMENT

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

## ECONOMIC DEVELOPMENT

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

## ECONOMIC DEVELOPMENT

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

## ECONOMIC DEVELOPMENT

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

## ECONOMIC DEVELOPMENT

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



**ECONOMIC DEVELOPMENT**

<b>FUNCTION DESCRIPTION</b>	<b>Retention Action</b>	<b>EXAMPLES OF RECORDS</b>	<b>Note</b>
<b>Harbours General continued</b>			
15.3	Cy+6. Destroy	<ul style="list-style-type: none"> <li>• Improvement Notices</li> <li>• Job tickets</li> <li>• Leases</li> <li>• Lease property files</li> <li>• Property files</li> <li>• Daily Meals Forms</li> </ul>	
15.4	Cy+3. Destroy	<ul style="list-style-type: none"> <li>• Working Contracts</li> <li>• Inspection Report Forms</li> <li>• Log Books (Vessels)</li> <li>• Project files</li> <li>• External Agencies Correspondence</li> </ul>	Bond, Met, Saab
15.5	See note. Destroy	<ul style="list-style-type: none"> <li>• Harbour Area Plans</li> <li>• Pier Construction Plans and Reports</li> <li>• Port Plans and Crown Estate Lease Agreements</li> <li>• Technical Accounts</li> <li>• Work Procedures</li> <li>• Customer Agreements and Plans</li> <li>• ITC/GA/IOPP</li> </ul>	<p>Keep until termination of structure</p> <p>Keep until termination.</p> <p>End of equipment life.</p> <p>Keep until termination</p>

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## ECONOMIC DEVELOPMENT

FUNCTION DESCRIPTION	Retention Action	EXAMPLES OF RECORDS	Note
<b>Harbour General continued</b>			
15.6	Cy+5. Destroy	<ul style="list-style-type: none"> <li>• PO Copies</li> <li>• Quotes</li> <li>• Works Licence Applications</li> </ul>	DNV(QA)
15.7	Cy+6 Archive	<ul style="list-style-type: none"> <li>• Property Claims</li> <li>• SOTEAG/SVOSAC</li> <li>• Statistical Returns</li> <li>• Technical Working Group</li> </ul>	
15.8	Cy+4 Destroy	<ul style="list-style-type: none"> <li>• QA</li> </ul>	
15.9	Cy+5 Archive	<ul style="list-style-type: none"> <li>• Safety Committee</li> </ul>	
14.10	Cy+10 Destroy	<ul style="list-style-type: none"> <li>• Completed Incident Report Forms and Operations Logs</li> </ul>	