



SCARRS 2.0: Scottish Council on Archives Records Retention Schedules Combined Schedules

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Date of Changes	Schedule Affected	Version Number	Changes
April 2015	4 Consumer Affairs	2.1	4.005.009 Amended retention period, trigger,
April 2015	3 Community Safety	2.1	Added 3.003.016. Reduced retention period 3.008.001
April 2015	14 Housing	2.1	Added series 14.005.026
April 2015	15 Human Resources	2.1	Added series 15.003.009. Corrected reference number errors
April 2015	16 ICT	2.1	Duplicated rows deleted
April 2015	21 Planning and Building Standards	2.1	Removed series 21.002.015
April 2015	22 Procurement	2.1	Series 22.002.013 added
October 2015	3 Community Safety	2.2	Removed sections 3.005 and 3.006
October 2015	10 Education and Skills	2.2	10.002.001 Amended closure period

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November 2015	17 Information Management	2.2	Series 17.004.005 and 6 amended
June 2016	10 Education and Skills	2.3	Added series 10.001.003 to 10.001.007
June 2016	01 Adult Care Services	2.1	Added 1.002.001 and 1.002.002
June 2016	02 Children & Family Services	2.1	Added note on Historical Child Abuse Inquiry Scotland
June 2016	12 Finance	2.3	Added function 12.008
June 2016	17 Information Management	2.3	Series 17.004.005 and 6 and 7 amended. Series 17.004.009 added.
June 2016	12 Finance	2.3	Added function 12.008
October 2016	6 Cemeteries and Crematoria	2.1	Added series 06.001.09- 06.001.15 under Burial and Cremation (Scotland) Act 2016 and added notes to related series
October 2016	4 Consumer Affairs	2.2	Merged 04.005.059 into series 04.005.058. Added series 04.005.75 to .79
October 2016	12 Finance	2.2	Amendment to 12.001.01, correction to 12.007.08
January 2017	10 Education and Skills	2.4	Added note on Historical Child Abuse Inquiry Scotland
January 2017	19 Leisure and Culture	2.1	Added Archaeology function 19.014 – Historic Environment Record series
October 2017	2 Children & Family Services	2.2	Added new series 02.001.020, 02.001.021, 02.010.005, and 02.010.006 on Case files

Date of Changes	Schedule Affected	Version Number	Changes
October 2017	4 Consumer Affairs	2.1	Updated citation in 04.005.009 (caravan and camping licenses), but no change to retention schedules
October 2017	7 Criminal Justice	2.1	Updated series description of 07.003.002 to Community Justice Social Work Reports. Updated reference to Circular 18 in series 7.001.006. No change to retention recommendations
October 2017	10 Education & Skills	2.5	Added new series 10.006.011 on Education Maintenance Allowance applications and learning agreements. Suggested retention Financial Years + 6 years
October 2017	11 Environmental Protection	2.1	Updated citations and series descriptions for several series under 11.003 – Environmental Impact Assessment to reflect the Environmental Impact Assessment (Scotland) Regulations 2017, SSI 2017 No 102. No change to retention recommendation.
October 2017	15 Human Resources	2.2	Updated citations at 15.3.009, 15.1.001 for Equal Pay regulations and ACAS guidance. No change to retention recommendations.
March 2018	19 Leisure & Culture	2.2	Added series 19.001.005
June 2019	6 Cemeteries & Crematoria	2.1	Amendments to reflect Cremation (Scotland) Regulations 2019
June 2019	17 Information Management	2.5	Added series 17.001.010 at recommendation of Glasgow City Council
June 2019	23 Registrars	2.1	New series for Civil Partnerships added to 23.001 at suggestion of East Dunbartonshire Council

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1 Adult Care Services

Revision No.	Author	Role	Completed	Description
0-1	Heather Jack	Author	19/03/2010	Initial version
0-2JC	Joyce Chapman	Peer reviewer	01/04/2010	Comments added
0-2CJ	Claire Johnson	QA reviewer	15/04/2010	Initial QA review
0-3	Heather Jack	Author	15/05/2010	Update to reflect review feedback
Beta 1	Heather Jack	Author	20/06/2010	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	13 August 2014	Amendments as described in the Edit History column of the RRS. Added 1.008 to BCS

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>01</b>	<b>ADULT CARE SERVICES</b>	<b>The function of providing services to support, protect and care for vulnerable adults</b>	<b>Community Care; Social Care; Social Work Services</b>	
<b>01.001</b>	Asylum seekers	Activities to support the welfare of asylum seekers and their families		77 - Asylum seekers - advice and support 915 - Asylum seekers - nationality checking
<b>01.002</b>	Carers/ case files	Personnel files of staff employed in caring role for vulnerable adults		225 - Carers - adult 227 - Carers - adult - respite care 229 - Care - shared care for adults 298 - Carers - support groups and organisations 732 - Care - alternative providers 1121 - Social services - adult placement 162 - Carers - advocacy 728 - Social services - advocacy for clients
<b>01.003</b>	Community support			296 - Social services - community and day centres 297 - Social services - community support groups and organisations - information
<b>01.004</b>	Residential homes	The activities involved in managing a residential care service provided by the council.		292 - Social services - residential care - adult
<b>01.005</b>	Social issues	Advice, and service support for adults affected by drug, alcohol and other social issues such as alcohol and drug abuse		727 - Social services - alcohol - advice and support 730 - Social services - drugs - advice and support 1100 - Social services - drug treatment and testing orders

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
01	ADULT CARE SERVICES	The function of providing services to support, protect and care for vulnerable adults	Community Care; Social Care; Social Work Services	
01.006	Supporting adults	Activities involved in managing individual cases of adults requiring social work services including responding to referrals; assessing care and support needs; organising, co-ordinating, monitoring and reviewing the provision of care and support		163 - Social services - counselling 164 - Social services - harassment - advice and support 180 - Social services - occupational therapy 200 - Social services - hospitalisation - pet care 202 - Social services - HIV / AIDS - advice and support for adults 232 - Social services - client contact problems 242 - Care - at home 271 - Social services - incontinence laundry service 287 - Social services - direct payments 293 - Social services - hospice care - adults 279 - Disabled people - parking permits - blue badge 309 - Social services - power of attorney - applications 312 - Social services - out of hours support 315 - Social services - meals on wheels 640 - Older people - activities 645 - Council - complaints - advocacy for complainants 651 - Social services - debt counselling 731 - Social services - vulnerable adults - protection 854 - Refuse - household waste - assisted collection 917 - Social services - management of personal financial affairs 209 - Social services - needs assessment 316 - Care - home assessment 1115 - Social services - Single Shared Assessment

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>01</b>	<b>ADULT CARE SERVICES</b>	<b>The function of providing services to support, protect and care for vulnerable adults</b>	<b>Community Care; Social Care; Social Work Services</b>	
<b>01.007</b>	Supporting disabilities	Service related to enabling equal access, opportunities and providing aids to adults with physical disabilities		239 - Disabled people - employment and training schemes 205 - Disabled people - specialist equipment 204 - Disabled people - independence at home 276 - Disabled people - personal transport - motability scheme
<b>01.008</b>	Adults with incapacity	Service related to supporting adults under the terms of the Adults With Incapacity (Scotland) Act 2000		



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>1.001</b>	<b>Asylum seekers</b>							
<b>01.001.001</b>	Case file - asylum seekers		1. Last action 2. Death of adult	5 years 3 years	Destroy	Business Requirement	Retention period allows time for audit.	
<b>1.002</b>	<b>Carers</b>							
	Carers files - see Retention Schedule 15: Human Resources							
	for carers of children and young people, see schedule 02 : Children and Family Services							
<b>1.003</b>	<b>Community support</b>							
	Kept in client case file and follow appropriate retention period							
<b>1.004</b>	<b>Care Services (including, Residential homes Home care and housing support services)</b>							Amended from Residential homes
<b>01.004.001</b>	Service file -Care Service management records -	Strategy, planning, monitoring, register of admissions and discharges, visitors books, meetings, correspondence	Current year	6 years	Destroy	Business Requirement		Amended Authority to Business Requirement from Statutory. SI does not specify retention period. Amended trigger to Current Year Removed SSI citation . FR 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
								01.004.002, 1.004.003 removed 2014-06. Replaced by more detailed series. Amended records series description to refer to Care Inspectorate. FR 2014-06.
<b>01.004.004</b>	Service user file	Records documenting the preparation, review and revision of a 'personal plan' for a service user, financial transactions undertaken for a service user; liaisons with social workers regarding the type of care being provided to a service user or problems with providing home care, administration of medicines to a service user. Records held must include:	1. Last action 2. Death of adult	5 years 3 years	Destroy	Business Requirement		Further detail added 2014-06 as below
	Service user file	Personal Plans					Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 5	Detail added 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
	Service user file	Records for service users. Name, address, date of birth Details of next of kin or person authorised to act on their behalf. Details of users general practitioner Date service was first provided					Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (1)	Detail added 2014-06
	Service user file	Details of any restraint used; Incidents detrimental to the health or welfare of a service user; Complaints, outcome and action taken; Money and valuables deposited by a service user / when returned/what used for; Date and time of death of any service user who has died including doctor certifying death; Details of medication without consent					Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (3)	Detail added 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>01.004.005</b>	Care service records	Fire and emergency procedures.; Fire drills and alarm tests. Maintenance of equipment. Daily list of persons employed. Date and time of death of any service user who has died including doctor certifying death. Medicines kept on the premises.	Current year	5 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (3)	Series added 2014-06
	Records of persons employed	Full name, address, date of birth, qualifications, training and experience. Date of commencement. Date of termination Positions held Registration (if appropriate) Any disciplinary action and outcome	Retained as Personal File - See HR schedule				Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (2)	Series added 2014-06
<b>01.004.006</b>	Notification of death, illness and other events sent to the Care Inspectorate		Current year	3 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114.  Regulation 21	Series added 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>01.004.007</b>	Notification of absence sent to the Care Inspectorate	Proposed absence of manager for a continuous period of more than 28 days.	End of period of absence	3 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations. SSI 2002 No 114. Regulation 22	Series added 2014-06
<b>01.004.008</b>	Notification of changes sent to the Care Inspectorate	Change of provider. Change of manager Change of premises Change of name of an individual Change of ownership of a body corporate or identity of its officers. Change of identity of partners	Current year	3 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations. SSI 2002 No 114. Regulation 23 (1)	Series added 2014-06
<b>01.004.009</b>	Notification of complaints procedure sent to the Care Inspectorate	Copy of complaints procedure	Until superseded	Nil	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 25	Series added 2014-06
<b>01.004.010</b>	Notification from a care service to the Care Inspectorate	Notification of unfitness	Date of notification	5 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 8	Series added 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>01.004.011</b>	Notification from a care service to the Care Inspectorate	Appointment of a manager	Date of notification	5 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 17	Series added 2014-06
<b>01.004.012</b>	Application by Local Authority to register a care service under s33(1)c Regulation of Care (Scotland) Act 2001	A statement that the local authority have determined that they must provide the service in order to fulfil a statutory duty; and  A statement of the reasons for that determination (including identification of the statutory provisions which in the opinion of the local authority give rise to that duty).	Until superseded	5 years	Destroy	Business Requirement	The Regulation of Care (Applications and Provision of Advice) (Scotland) Regulations 2002 SSI 2002/113(3)	Series added 2014-06
<b>01.004.013</b>	Statement of aims and objectives		Until superseded	5 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 3	
<b>01.004.014</b>	Certificate of registration		Until superseded	5 years	Destroy	Business requirement	Regulation of Care (Scotland) Act 2001. 2001 asp 8 Section 9 To be displayed on premises concerned.	Series added 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>1.004.015</b>	Dismissal of social worker - notification to Scottish Social Services Council		Dismissal	6 years	Destroy	Business Requirement	Smoking, Health and Social Care (Scotland) Act 2005 asp 13. Section 32. Inserts section 57A into the 2001 Act. To be in writing	Series added - 2014-06
<b>1.005</b>	<b>Social issues</b>							
	<b>Kept in client case file and follow appropriate retention period</b>							
<b>1.006</b>	<b>Supporting adults</b>							
<b>01.006.002</b>	Register of adults with learning difficulties who received social work services.		Current year	100 years	Destroy	Business Requirement		
<b>01.006.003</b>	Case file - adult with learning difficulties, where statutory measures <b>were</b> taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	1. Last action 2. Death of adult	10 years 5 years	Destroy	Business Requirement		
<b>01.006.004</b>	Case file - adult with learning difficulties, where statutory measures <b>were not</b> taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	1. Last action 2. Death of adult	5 years 3 years	Destroy	Business Requirement		
<b>01.006.010</b>	Register of adults with mental health problems who received social work services.		Current year	100 years	Destroy	Business Requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>01.006.011</b>	Case file - adult with mental health problems, where statutory measures <b>were</b> taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	1. Last action of adult 2. Death	10 years 5 years	Destroy	Business Requirement		
<b>01.006.011</b>	Case file - adult with mental health problems, where statutory measures <b>were not</b> taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement		
<b>01.006.013</b>	Case file - Occupational therapy	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement		
<b>01.006.017</b>	Register of adults with physical disabilities who received social work services.		Current year	100 years	Destroy	Business Requirement		
<b>01.006.018</b>	Case file - physical disabilities	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement		



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>01.006.019</b>	Case file - all other adults which do not fit into categories above	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement		Amended reference to .019 to remove duplication FR 2014-06
<b>01.006.020</b>	Plan of use of the service (Personal Plans)		1. Superseded Death of adult 2.	5 years 3 years	Destroy	Business Requirement	The Regulation of Care (Requirements as to Care Services) (Scotland) Amendment Regulations 2004. SSI 2004 No 94. Regulation 2 – Amends SSI 2002 No 114 as amended by SSI 2003 No 149 and SSI 2003 No 572. To be in writing	Series added - 2014-06
<b>01.006.021</b>	NHS/LA agreement		1. Superseded Death of adult 2.	5 years 3 years	Destroy	Business Requirement	The Community Care (Joint Working etc) (Scotland) Regulations 2002. SSI 2002 No 533 Regulations 2 (b), 3 (b) To be in writing Reg. 9	Series added - 2014-06
<b>01.006.022</b>	Part 9 Care Plan (under the Mental Health (Care and Treatment) (Scotland) Act 2003, Part 9 - Compulsion Orders)	Retain on case file	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement	Mental Health (Content and amendment of care plans) (Scotland) Regulations 2005. SSI 2005 No 309	Series added - 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>01.006.023</b>	Social Circumstances report - under the Mental Health (Care and Treatment) (Scotland) Act 2003	Retain on case file	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement	Mental Health (Social Circumstances Reports) (Scotland) regulations 2005. SSI 2005 No 310 Regulation 2	Series added - 2014-06
<b>01.006.024</b>	Content of Part 9 Care Plan	Retain on case file	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement	Mental Health (content and amendment of Part 9 care plans) (Scotland) Regulations 2005. SSI2005 No 312 Regulation 2	Series added - 2014-06
<b>01.006.025</b>	Interviews	Retain on case file	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 8	Series added - 2014-06
<b>01.006.026</b>	Medical examinations	Retain on case file	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 9	Series added - 2014-06
<b>01.006.027</b>	Request for records	Retain on case file	1. Last action of adult 2. Death	5 years 3 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 10. When not made during a visit then the request must be in writing This includes electronic means	Series added - 2014-06
<b>01.006.028</b>	Assessment orders (Issued by Sheriff. Expires 7 days from issue.)	Retain on case file	1. Last action Death of adult 2.	5 years 3 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 11	Series added - 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>01.006.029</b>	Removal orders(Issued by Sheriff. Expires 7 days from issue.)	Retain on case file	1. Last action Death of adult 2.	5 years 3 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 14	Series added - 2014-06
<b>01.006.030</b>	Banning order	Retain on case file	1. Last action Death of adult 2.	5 years 3 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 19. Expires (a) On a specified date; (b) The date recalled; or (c) 6 months after it is granted	Series added - 2014-06
<b>01.006.031</b>	Report of a visit  (It is assumed a report of a visit under Section 36 will be required)	Retain on case file	1. Last action Death of adult 2.	5 years 3 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10. Section 36	Series added - 2014-06
<b>01.006.032</b>	Adult Protection Committee	Procedures, practices, arrangements	Until superseded	5 years	Destroy or Transfer to Archive	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 42. Consider for permanent preservation in an archive. See Democracy schedule.	Series added - 2014-06
<b>01.006.033</b>	Adult Protection Committee	Minutes	Current year	5 years	Destroy or Transfer to Archive	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 42. Consider for permanent preservation in an archive. See Democracy schedule.	Series added - 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>01.006.034</b>	Adult Protection Committee	Biennial report	Current year	5 years	Destroy or Transfer to Archive	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10. Section 46. Consider for permanent preservation in an archive. See Democracy schedule.	Series added - 2014-06
<b>01.006.035</b>	Records of the exercise of the withdrawer's powers	Retain on case file	1. Last action Death of adult	5 years 3 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10. Section 30B	Series added - 2014-06
<b>01.006.036</b>	Patient Care Record		1. 75th birthday Death of adult	2. Recommend all records be retained until the 75 <sup>th</sup> birthday or 25 years after date of death whichever is later		Business Requirement	Healthcare Improvement Scotland (requirements as to Independent Health Care Services) Regulations 2011. SSI 2011 No 182. Regulation 4	Series added - 2014-06
<b>1.007</b>	<b>Supporting disabilities</b>							
	Kept in client case file and follow appropriate retention period							
<b>1.008</b>	<b>Adults with Incapacity</b>							Added 2014-06
<b>1.008.001</b>	Complaints relating to Guardianship		Current year	5 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. asp 4 Section 10	Series added - 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>1.008.002</b>	Power of Attorney		Power of Attorney ceases	5 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4 Section 15 The Adults with Incapacity (Certificate in Relation to Powers of Attorney) (Scotland) Regulations 2001. SSI 2001 No 80. To be in writing	Series added - 2014-06
<b>1.008.003</b>	Records – Attorneys A continuing or welfare attorney shall keep records of the exercise of his powers		Guardianship ceases	5 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4 Sections 21, 30 To be in writing	Series added - 2014-06
<b>1.008.004</b>	Statement of resident's affairs		Guardianship ceases	5 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Section 43. To be in writing	Series added - 2014-06
<b>1.008.005</b>	Intervention orders A person authorised under an intervention order shall keep records of the exercise of his powers.		Guardianship ceases	5 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Section 53 (3), 54. To be in writing	Series added - 2014-06
<b>1.008.006</b>	Guardianship Order A guardian shall keep records of the exercise of his powers		Guardianship ceases	5 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Sections 57, 65. To be in writing	Series added - 2014-06
<b>1.008.007</b>	Management Plan		Guardianship ceases	5 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Schedule 2-1. To be in writing	Series added - 2014-06

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<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>1.008.008</b>	Inventory of estate		Guardianship ceases	5 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000. 2000 asp 4. Schedule 2 - 3. To be in writing	Series added - 2014-06
<b>1.008.009</b>	Accounts		Current financial year	5 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Schedule 2 - 7 As prescribed by the Public Guardian	Series added - 2014-06
<b>1.008.010</b>	Medical treatment certificates		Death or Guardianship ceases	5 years	Destroy	Business Requirement	The Adults with Incapacity (Medical Treatment Certificates) (Scotland) Regulations 2002 SI 2002 No 208. Regulation 2. As per schedule	Series added - 2014-06
<b>1.008.011</b>	Certificate of Incapacity		Certificate lapses	5 years	Destroy	Business Requirement	The Adults with Incapacity (Management of Residents' Finances) (Scotland) Regulations 2003. SSI 2003 No 155. Regulation 2. To be in writing Schedule 1 & 2	Series added - 2014-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>1</b>	<b>ADULT CARE SERVICES</b>							
<b>1.008.012</b>	Certificate of Incapacity		Certificate lapses	5 years	Destroy	Business Requirement	The Adults with Incapacity (Management of Residents' Finances) (No 2) (Scotland) Regulations 2003. SSI 2003 No 266. Regulation 2 To be writing. Schedules 2 & 2	Series added - 2014-06

Revision No.	Author	Role	Changes	Date
Beta 1.00	Heather Jack	SCARRS project consultant	Formatted approved version for Beta 1 publication	20/06/2010
Beta 1.01	Heather Jack	SCARRS project consultant	updated format to match phase 2 schedules; removed 02.010.001 Case file - Child looked after at home/on home supervision order as this is already covered in section on Looked after Children - 02.004; removed 02.010.003 as either covered elsewhere in this schedule or under general enquiry handling within management schedule	22/07/2011
2_0	Frank Rankin	IG Scotland, Reviewer	As described in Edit History column.	11 August 2014



REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
02	CHILDREN & FAMILY SERVICES	The function of providing services to support, protect and care for children and their families both directly and in partnership with private and voluntary organisations.		
02.001	Adoption and fostering	The activities involved in managing the work of the Council as an adoption agency including assessing the suitability of prospective adopters, recruiting and training adopters, providing pre and post adoption support. Also the activities involved in providing a service for the recruitment, assessment, approval and training of foster carers, and for the matching children with approved foster carers and the arrangement of foster placements. Include Kinship carers		925 - Children and young people - registration of responsibilities for children 159 - Social services - fostering 160 - Social services - adoptive homes
02.002	Child protection	The activities involved in managing individual cases of children who (might) require protection from abuse.  Activities include: responding to reports of alleged/known abuse of children; taking action to protect and care for children; assisting other agencies in taking action against abusers.		266 - Children and young people - child protection 310 - Children and young people - child protection orders
02.003	Child minding	Activities related to the registration and support of child minders		20 - Childcare - child-minding information 21 - Childcare - services for childminders
02.004	Children looked after in care	The activities involved in managing individual cases of children who are 'looked after' by the Council directly or through out-sourced services	Looked after children	260 - Children and young people - respite care 261 - Children and young people - shared care 918 - Care - support for young people leaving care
02.005	Communications		Services management	
02.006	Programme management and development		Service management	

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>02</b>	<b>CHILDREN &amp; FAMILY SERVICES</b>	<b>The function of providing services to support, protect and care for children and their families both directly and in partnership with private and voluntary organisations.</b>		
02.007	Residential homes	The activities involved in managing a residential care service for children provided by the Council.		263 - Children and young people - residential care
02.008	Social issues			727 - Social services - alcohol - advice and support 730 - Social services - drugs - advice and support
02.009	Special education	<b>Special education is covered in Schedule 10 Education and Skills</b>		
02.010	Supporting children			246 - Children and young people - HIV / AIDS - advice and support 264 - Children and young people - hospice care 312 - Social services - out of hours support 642 - Children and young people - drop in activities 643 - Children and young people - organised activities 700 - Children and young people - advice 840 - Children and young people - advice and support for children in care 922 - Children and young people - parental custody
02.011	Supporting disabilities			
02.012	Training	Activities related to training for staff working with children and young people		

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
02	CHILDREN & FAMILY SERVICES	The function of providing services to support, protect and care for children and their families both directly and in partnership with private and voluntary organisations.		
02.013	Youth justice			176 - Youth justice - court procedures 172 - Youth justice - action plan orders 173 - Youth justice - final warning 174 - Youth justice - implementation of orders 177 - Youth justice - reparation orders 834 - Youth justice - supervision orders 835 - Youth justice - probation orders 836 - Youth justice - referral orders
02.014	Youth services	Training for workers employed in Youth services to assist them in delivering their work effectively. The training aims to support workers in effective leadership, specialist skills and health and safety based issues.		919 - Children and young people - youth leadership training

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>2</b>	<b>CHILDREN &amp; FAMILIES</b>							
<b>N/A</b>	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to							
<b>N/A</b>	invoicing, budgeting, processing of expenses etc..	See Schedule 12: Finance						
<b>N/A</b>	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
<b>N/A</b>	management and training of staff	See Schedule 15: Human Resources						
<b>N/A</b>	strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
<b>N/A</b>	Tendering and contracts management	See Schedule 22: Procurement						
<b>2.001</b>	<b>Adoption and fostering</b>							
<b>02.001.001</b>	Fostering and adoption panel records	Records documenting the appointment of a person as a member of a fostering or adoption panel.	Termination of appointment	1 year	Destroy	Business requirement		
<b>02.001.002</b>	Council registration as an adoption/fostering service	Application	Date of acceptance	1 year	Destroy	Business requirement	Record required by Regulation of Care (Scotland) Act 2001. 2001 asp 8, Sections 7 & 33 - no retention period specified	

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>2</b>	<b>CHILDREN &amp; FAMILIES</b>							
<b>02.001.003</b>		Certificate of registration	Until superseded or obsolete	6 years	Destroy	Business requirement	Record required by Regulation of Care (Scotland) Act 2001. 2001 asp 8, Section 9 - no retention period specified	
<b>02.001.004</b>	Register of "looked after" children		Date of birth	100 years	Destroy	Business requirement		
<b>02.001.005</b>	Carer recruitment activity records		End of current calendar year	5 years	Archival Review	Business requirement		
<b>02.001.006</b>	Carer and adopters assessment criteria records		Superseded	10 years	Review for archival value	Business requirement		
<b>02.001.007</b>	Carer training programme records		Superseded	5 years	Review for ongoing value	Business requirement	Record of individual training to be entered on personnel file	
<b>02.001.008</b>	Case file - Pre-approval carers and adopters - <b>initial enquiry</b>	Records where case progressed to initial inquiry only	Case closure	1 year	Destroy	Business requirement		
<b>02.001.009</b>	Case file - Pre-approval carers and adopters - <b>initial interview only - no concerns</b>	Records where case progressed to initial interview only – no other concerns	Case closure	1 year	Destroy	Business requirement		
<b>02.001.010</b>	Case file - Pre-approval carers and adopters - <b>initial interview only - concerns</b>	Records where case progressed to initial interview only –concerns about enquirer or enquirer advised not to proceed	Case closure	10 years	Destroy	Business requirement		
<b>02.001.011</b>	Case file - Pre-approval carers and adopters - background preparation only	Records where case progressed to preparation group/home study/reference checks only	Case closure	10 years	Destroy	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>2</b>	<b>CHILDREN &amp; FAMILIES</b>							
<b>02.001.012</b>	Case file - Pre-approval carers and adopters - <b>not approved/withdrawn</b>	Records where case progressed to panel/agency decision – not approved/ approved but carer withdraws	Date of decision or date of prospective carer/adopter's death if earlier	25 years	Destroy	Statutory	The Looked After Children (Scotland) Regulations SI/2009 No. 210 Part 32(1)	Moved citation to notes and amended authority. 2014-07
<b>02.001.013</b>	Case file - Approved carers		Termination of approval or date of death of carer if earlier	25 years	Destroy	Statutory	The Looked After Children (Scotland) Regulations SI/2009 No. 210 Part 32(1)	Moved citation to notes and amended authority. 2014-07
<b>02.001.014</b>	Case file - Kinship carers		Termination of last placement or date of death of carer if earlier	25 years	Destroy	Statutory	The Looked After Children (Scotland) Regulations SI/2009 No. 210 Part 16(1)	Moved citation to notes and amended authority. 2014-07
<b>02.001.015</b>	Case file - Prospective adopters - no adoption order	Prospective adopters, in relation to whom an adoption order is not made	Last action on case	10 years	Destroy	Statutory	The Adoption Agencies (Scotland) Regulations 2009 SSI 154 Regulation 28(3)b	Moved citation to notes and amended trigger. 2014-07
<b>02.001.016</b>	Case file – Adopters		Date of granting the adoption order	100 years	Destroy	Statutory	The Adoption Agencies (Scotland) Regulations 2009 SSI 154 Regulation 28(3)a	Moved citation to notes and amended authority. 2014-07
<b>02.001.017</b>	Case file - Private fostering	Records documenting the monitoring of a private fostering arrangement	Last action on case	5 years	Destroy	Business requirement	Foster Children (Scotland) Act 1984; Foster Children (Private Fostering) (Scotland) Regulations 1985;	
<b>02.001.018</b>	Case file - adopted children		Date of adoption order	100 years	Destroy	Statutory	The Adoption Agencies (Scotland) Regulations 2009 SSI 154 Regulation 28(3)a	Moved citation to notes and amended authority. 2014-07
<b>02.001.019</b>	Indexes to adoption case files		Last entry on index	100 years	Destroy	Statutory	The Adoption Agencies (Scotland) Regulations 2009 SSI 154 Regulation 28(3)a	Added series 2014-07

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>2</b>	<b>CHILDREN &amp; FAMILIES</b>							
<b>02.001.020</b>	Case file - Approved befrienders		Termination of approval or date of death	5 years	Destroy	Business requirement		Added series 2017-06
<b>02.001.021</b>	Case file - Pre-approval of Befrienders - not approved/withdrawn		Date of decision	1 year	Destroy	Business requirement		Added series 2017-06
<b>2.002</b>	<b>Child protection</b>							
<b>02.002.001</b>	Case file - Child investigated and placed on Child Protection Register		Case closure	35 years	Destroy	Business requirement	Unless child looked after where 100 years from date of birth retention period applies	Amended note to clarify 100 year retention 2014-07
<b>02.002.002</b>	Case file - Child investigated but not placed on Child Protection Register		Case closure	5years	Destroy	Business requirement	Unless child looked after where 100 years from date of birth retention period applies	Amended note to clarify 100 year retention 2014-07
<b>02.002.003</b>	Child Protection Register records		Date of birth of child	100 years	Destroy	Business requirement		Amended trigger from "Current" 2014-07
<b>02.002.004</b>	Register of Schedule 1 offenders		Date of entry on register	100 years	Destroy	Business requirement		Amended trigger from "Current" 2014-07
<b>2.003</b>	<b>Child minding</b>							
<b>02.003.001</b>	Register - list of registered childminders		Superseded	100 years	Destroy	Business requirement		Amended trigger from "Current" 2014-07
<b>2.004</b>	<b>Children looked after in care</b>							
<b>SPECIAL NOTE</b>	As of October 2015 and until further notices, 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, particularly for records under 2.004 and 2.007;							Added June 2016. TO be removed on conclusion of Inquiry.

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>2</b>	<b>CHILDREN &amp; FAMILIES</b>							
<b>02.004.001</b>	Case file - Looked after children, including children freed for adoption but not adopted, fostered children and children on a Residential Supervision Requirement		1. Date of child's birth or 2. Date of death where child dies before 18th birthday	1. 100 years 2. 25 years	Destroy	Statutory	The Looked After Children (Scotland) Regulations SI/2009 No. 210. Regulation 43(1). Case file to contain the Childs Plan and information specified under Regulationss 12,15,36,42	Moved citation to notes and amended authority. 2014-07
<b>02.004.002</b>	Case file - Throughcare and aftercare	Pathway assessment Pathway views Pathway plan Reviews of the pathway plan Procedures for making representations.	1. Date of child's birth or 2. Date of death where child dies before 18th birthday	1. 75 years 2. 25 years	Destroy	Statutory	The Support and Assistance of Young People Leaving Care (Scotland) Regulations 2003. SSI 2003 No 608 Regulations 3, 15	Amended retention period from 100 years. Moved citation to notes and amended authority. 2014-07
<b>2.005</b>	<b>Communications</b>							
	see Retention Schedule 20: Management							
<b>2.006</b>	<b>Programme management and development</b>							
	see Retention Schedule 20: Management							
<b>2.007</b>	<b>Residential homes</b>	for Children's Case Files, See 02.004, Children Looked After in Care						
<b>SPECIAL NOTE</b>	As of October 2015 and until further notices, 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							Added June 2016. TO be removed on conclusion of Inquiry.



Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>2</b>	<b>CHILDREN &amp; FAMILIES</b>							
<b>02.007.001</b>	Service file - Residential home/Home Care Service management records - major records	Strategy, planning, monitoring,  meetings, correspondence  visitors books,	Until superseded  Current year	6 years  6 years  3 years	Destroy	Business requirement	Records required by Residential Establishments - Child Care (Scotland) Regulations 1996 SI1996/3256 Regulation 5. Records required by The Regulation of Care (Requirements as to Care Services) (Scotland) Regulations 2002 SSI 2002/114  For Child records (Regs 13 and 17) see Case files  The Regulation of Care (Applications and Provision of Advice) (Scotland) Regulations 2002 SS1 2002/113 Regulation 1(3) - no retention period specified	Removed register of admissions and discharges from description - see 2.007.004 2014-07
<b>02.007.002</b>	Service file - Residential home/Home Care Service management records - minor records		Current	2 years	Destroy	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>2</b>	<b>CHILDREN &amp; FAMILIES</b>							
<b>02.007.003</b>	Notification records from a residential home to the Care Inspectorate	Death of service user, details of medication administered to service user without their consent (or the consent of people authorised to consent on their behalf), the appointment of a manager for a home care service, proposed absence of a manager of a home care service for a continuous period of 28 days or more , proposed changes to the management of a home care service	Date of event	3 years	Destroy	Business requirement	Records required by The Regulation of Care (Requirements as to Care Services) (Scotland) Regulations 2002 SSI 2002/114 Regulations 17,20,21,22,23 -no retention period specified. Details of medication administered should be added to case file.	Updated reference to Care Inspectorate. Added reference to medication in Description and Note. Amended trigger from "current". 2014-07
<b>02.007.004</b>	Children's home register.		Last entry on register	Retain permanently	Transfer to archive for permanent retention	Business requirement		Amended trigger from "Closed" and amended fate from "Retain" 2014-07
<b>2.008</b>	<b>Social issues</b>							
	Kept in client case file and follow appropriate retention period							
<b>2.009</b>	<b>Special education</b>							
	<b>Special education is covered in Schedule 10 Education and Skills</b>							
<b>2.01</b>	<b>Supporting children</b>							

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>2</b>	<b>CHILDREN &amp; FAMILIES</b>							
<b>02.010.001</b>	Case file - Missing children who do not come under any other category		Date of recording missing status. If the person ceases to be missing, retain for one year from the date of recording that the person is no longer missing.	2 years	Destroy	Business requirement		
<b>02.010.002</b>	Case file - Children and families not included in any other case file categories		Case closure or one year from date of death	5 years	Destroy	Business requirement		
<b>02.010.003</b>	Case file - Children's rights office		Date of birth Date of death if child dies before 18	100 years 15 years	Destroy	Business requirement		
<b>02.010.004</b>	Movement restriction care plan		Date of birth	25 years	Destroy	Business requirement	Intensive Support and Monitoring (Scotland) Regulations 2005. SSI 2005 No 201 Regulation 2 Amends Regulation 4 of SSI 2005 No 129. To be in writing. Regulation 4 (2)	Series added - 2014-06
<b>02.010.005</b>	Case file - Matrimonial proceedings		Date of decision	10 years	Destroy	Business requirement		Added series 2017-06
<b>02.010.006</b>	Case file - home supervision		1. Date of birth 2. Date of death where death occurs under age of 18	100 years 25 years	Destroy	Business requirement		Added series 2017-06
<b>2.011</b>	<b>Supporting disabilities</b>							
	Kept in client case file and follow appropriate retention period							
<b>2.012</b>	<b>Training</b>							

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>2</b>	<b>CHILDREN &amp; FAMILIES</b>							
<b>02.012.001</b>	Records of training provided to individuals working with children and young people		End of employment	25 years	Destroy	Business requirement		
<b>2.013</b>	<b>Youth justice</b>							
<b>02.013.001</b>	Case file - young offenders	Records of court procedures, action plan orders, implementation of orders, reparation orders, supervision orders, probation orders and referral orders	Closure	5 years	Destroy	Business requirement	Unless child looked after where 100 year from date of birth retention period applies	
<b>2.014</b>	<b>Youth services</b>							
<b>02.013.001</b>	Records relating to youth leadership training for social work staff		End of employment	25 years	Destroy	Business requirement		

Revision No.	Author	Role	Changes	Date
Beta 1	Claire Johnson	Author	Formatted approved version for Beta 1 publication	09/06/2011
2_0	Frank Rankin	IG Scotland, Reviewer	As described in Edit History column of the RRS	11 August 2014
2_1	Frank Rankin	IG Scotland, Reviewer	As described in Edit History column of the RRS	Apr-15
2_2	Frank Rankin	infogov.scot, Reviewer	Removed sections 3.005 and 3.006	Oct-15

REF	FUNCTION / Activity	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
<b>03</b>	<b>Community Safety and Emergencies</b>	The management of fire and emergency services to Council and council property.	<b>Emergency planning</b>	870 - Community safety 657 - Community safety - lane gating 720 - Community strategy
03.001	Advice	Advice supplied to the public on community safety and emergencies.		
03.002	Community safety	Activities to make the community safer.		
03.003	Emergency planning	Information on emergency planning.		
03.004	Emergency service	Information on activities related to the emergency services.		
		Section removed following transfer of functions to Scottish Fire & Rescue Service under Police and Fire Reform (Scotland) Act of 2012		
		Section removed following transfer of functions to Scottish Fire & Rescue Service under Police and Fire Reform (Scotland) Act of 2012		
03.007	Measures against vandalism	Reporting and measures against vandalism.		
03.008	Training	Training on how to deal with major incidents.		

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>3</b>	<b>COMMUNITY SAFETY &amp; EMERGENCIES</b>							
<b>N/A</b>	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
N/A	invoicing, budgeting etc..	See Schedule 12: Finance						
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
N/A	management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
N/A	strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
N/A	Tendering and contracts management	See Schedule 22: Procurement						
<b>3.001</b>	<b>Advice</b>							
03.001.001	Contingency planning		Date superseded.	2 years	Destroy	Business requirement.		
03.001.002	Emergency response plan	Advice and assistance	End of current year	5 years	Destroy	Business requirement.	Given to an external organisation to prepare and maintain an emergency response plan.	
03.001.003	Business continuity plan	Records documenting the provision of advice and assistance to an external organisation in relation to business continuity planning.	End of current year	5 years	Review for ongoing value	Business requirement.		

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>3</b>	<b>COMMUNITY SAFETY &amp; EMERGENCIES</b>							
03.001.004	Fire safety planning	Advisory information	End of current year	5 years	Destroy	Business requirement		
03.001.005	Home security	fire safety visits, home safety checks	End of current year	5 years	Destroy	Business requirement		
03.001.006	Advice to businesses		Until superseded	5 years	Destroy	Business requirement	Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005. SSI 2005 No 494 Regulation 33	Series added - 2014-06
<b>3.002</b>	<b>Community safety</b>							
03.002.001	CCTV surveillance	Procedures	Date of last action.	3 years	Destroy	Business requirement	Not to be confused with RIPSAs authorisation forms or the actual cctv recordings min. 7 days if not needed for crime prevention	Amended trigger from Date of Last Action 2014-06
03.002.002	Community wardens	incident logs	Date of last action.	3 years	Destroy	Business requirement		
03.002.003	Crime reduction	Community strategy documents	Until superseded	3 years	Destroy	Business requirement		Amended trigger from Date of Last Action 2014-06
03.002.004	Neighbourhood Watch	Information about the responsibilities, set-up etc.	Until superseded	3 years	Destroy	Business requirement		Amended trigger from Date of Last Action 2014-06
03.002.005	Anti-Social Behaviour - Local authority Strategy		Until superseded	5 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8 To be published Section 1 (2)	Series added - 2014-06
03.002.006	Implementation reports		Until superseded	5 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8 To be published. Section 2	Series added - 2014-06



Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>3</b>	<b>COMMUNITY SAFETY &amp; EMERGENCIES</b>							
03.002.007	Antisocial behaviour order Interim orders (Copies) (Original held by the court)		Expiry, revoked or recalled.	2 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. Sections 8 (2) (b), 14 (1), 15, 119. To be in writing Criminal Procedure Act (Scotland) Act 1995. Section 234AB (1)(b) Data Protection Act – Principle 5	Series added - 2014-06
03.002.008	Notice containing a statement to recover expenditure		Payment - Current financial year	6 years	Destroy	Statutory	Antisocial Behaviour Notice (Landlord Liability) (Scotland) Regulations 2005. SSI 2005 No 562. Regulation 2. To be in writing	Series added - 2014-06
03.002.009	Noise Control Notice		Expiry, revoked or recalled.	2 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. To be in writing. Section 41	Series added - 2014-06
03.002.010	Noise complaint		Date of last complaint for the offending property	2 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. Section 43	Series added - 2014-06
03.002.011	Noise Warning Notices		Date of last complaint for the offending property	2 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. Section 44. To be in writing	Series added - 2014-06
03.002.012	Controlled waste and litter fixed penalty notices		Current financial year	6 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. Section 55. To be in writing	Series added - 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>3</b>	<b>COMMUNITY SAFETY &amp; EMERGENCIES</b>							
03.002.013	Graffiti Removal Notice		Date of last complaint for the offending property	2 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. Section 58. To be in writing	Series added - 2014-06
03.002.014	Antisocial Behaviour Notices		Date of last complaint for the offending property	2 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. Section 68. To be in writing	Series added - 2014-06
03.002.015	Management Control Order		Date expired or revoked	2 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. Section 74. To be in writing	Series added - 2014-06
03.002.016	Management Control Orders – finance		Current financial year	6 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8 Schedule 3 - 3	Series added - 2014-06
03.002.017	Registers (Of certain landlords)	To be kept up to date	To be kept up to date			Statutory	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8 Section 82 To be available for public inspection	Series added - 2014-06
03.002.018	Application for registration		Date of acceptance or refusal	1 year	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. Sections 83, 84	Series added - 2014-06
03.002.018	Notice of notification or refusal to register		Date of issue	6 years	Destroy	Business requirement	Antisocial Behaviour etc (Scotland) Act 2004. 2004 asp 8. Section 86 To be in writing Section 88(6) 90(2)	Series added - 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>3</b>	<b>COMMUNITY SAFETY &amp; EMERGENCIES</b>							
03.002.019	Advice and assistance to landlords or tenants		Recommend 6 years after date advice given			Statutory	Private Landlord Registration (Advice and Assistance) (Scotland) Regulations 2005. SSI 2005 No 557 Regulations 2, 4  Antisocial Behaviour Notice (Advice and Assistance) (Scotland) Regulations 2005 SSI 2005 No 563 Regulation 2  Issued under part 8 of the Anti social behaviour etc Act (Scotland) Act 2004	Series added - 2014-06
03.002.020	CCTV footage		Day of recording	28 days	Destroy	Business requirement	Information Commissioner's Office <i>Code of Practice on CCTV, s 8.3</i>	Series added - 2014-06
<b>3.003</b>	<b>Emergency planning</b>							
03.003.001	Emergency agencies	Contact details.	Date superseded.	Nil	Destroy	Business requirement		
03.003.002	Emergency call-outs		Date of call-out	3 years	Destroy	Business requirement		Series added - 2014-06
03.003.003	Emergency plan - development	Development (includes community risk register)	Date superseded.	Permanent	Retain for historical value.	Business requirement	Civil Contingencies Act 2004	Amended authority to Business Requirement 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>3</b>	<b>COMMUNITY SAFETY &amp; EMERGENCIES</b>							
03.003.004	Emergency plan - tests		Date of last action.	5 years	Destroy	Business requirement	Civil Contingencies Act 2004	Amended authority to Business Requirement. Amended retention to 5 years from 10. 2014-06
03.003.005	Radiation emergency - off-site plan		Date superseded.	3 years	Destroy	S.I. 2001/2975 Regulation 9	Records documenting the preparation, review, revision and testing of an off-site emergency plan for premises which present a risk of a radiation emergency.	
03.003.006	Major accident plan		Date superseded.	3 years	Destroy	S.I. 1996/825 Regulation 25; 1999 Control of Major Accident Hazards Regs SI 1999/743	Records documenting the preparation, review and revision of an off-site emergency plan for a major accident hazard pipeline.	
03.003.007	Radiation emergency warning		Date superseded.	5 years	Review for historical value.	S.I. 2001/2975 Regulation 17 Civil Contingencies Act 2004	Records documenting the preparation and maintenance of arrangements to inform and advise the public in the event of a radiation emergency.	
03.003.008	Radiation emergency plan		Date of last action.	5 years* see note	Review for historical value.	S.I. 2001/2975 Regulation 9	For a routine assessment of risk, see 03.003.009 if a radiation leak took place	
03.003.009		as above – radiation leak took place	Date of last action	50 years	Review for historical value.	Statutory	Draft retention schedule for Fire Officers suggests 50 years if a radiation leak took place	

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>3</b>	<b>COMMUNITY SAFETY &amp; EMERGENCIES</b>							
03.003.010	Details of meetings held under the Civil Contingencies Act 2004		Date of meeting	5 years	Destroy	Business requirement	Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005. SSI 2005 No 494 Regulation 3	Series added - 2014-06
03.003.011	Risk assessments		Superseded	5 years	Destroy	Business requirement	Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005.  To be in writing; Regulation 11 (4) SSI 2005 No 494 Regulation 10	Series added - 2014-06
03.003.012	Community risk register		To be kept up to date			Business requirement	Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005. SSI 2005 No 494 Regulation 12	Series added - 2014-06
03.003.013	Arrangements to warn		Superseded	5 years	Destroy	Business requirement	Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005. SSI 2005 No 494 Regulation 14 and 23	Series added - 2014-06
03.003.014	Plans		Superseded	5 years	Destroy	Business requirement	Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005. SSI 2005 No 494 Regulations 15 and 16	Series added - 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>3</b>	<b>COMMUNITY SAFETY &amp; EMERGENCIES</b>							
03.003.015	Information sharing requests and responses		Date of response	3 years	Destroy	Business requirement	Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005.  To be in writing; Regulation 42. Can be electronic means including fax SSI 2005 No 494 Regulations 42, 43 and 44	Series added - 2014-06
03.003.016	Incident response debriefing	Review of incident response, lessons learned	Date of incident	5 years	Destroy	Business requirement		Series added based on user feedback-2015-04
<b>3.004</b>	<b>Emergency service</b>							
03.004.001	Notifications of emergency response		Date of last action.	10 years	Review for historical value.	Business requirement		
03.004.002	Reclaim of finances		Date of last action.	5 years	Destroy	Business requirement	Records documenting the preparation and submission of a claim for financial support from government to meet costs incurred in responding to an emergency.	
<b>3.005</b>	<b>Enforcement</b>							
								Section removed following transfer of functions to Scottish Fire & Rescue Service under Police and Fire Reform (Scotland) Act of 2012

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>3</b>	<b>COMMUNITY SAFETY &amp; EMERGENCIES</b>							
<b>3.006</b>	<b>Fire prevention</b>							
								Section removed following transfer of functions to Scottish Fire & Rescue Service under Police and Fire Reform (Scotland) Act of 2012
<b>3.007</b>	<b>Measures against vandalism</b>							
03.007.001	Flyposting		Date of last action.	3 years	Destroy	Business requirement.		
03.007.002	Removal of graffiti		Date of last action.	3 years	Destroy	Business requirement.		
<b>3.008</b>	<b>Training</b>							
03.008.001	Training exercises		Date of last action.	5 years	Destroy	Business requirement.		Retention period reduced from 10 years based on user feedback. 2015-04

Revision No.	Author	Role	Completed	Description
Beta 1	Claire Johnson	Author	08/06/2011	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendments as noted in Edit History column
2_1	Frank Rankin, IG Scotlan	Reviewer	Apr-15	Amendments as noted in Edit History column to series 4.005.009
2_2	Frank Rankin, infogov.sco	Reviewer	Oct-16	Merged series 04.005.059 into 04.005.058. Added 4.006.075-79
2_3	Frank Rankin, infogov.sco	Reviewer	Jun-17	Updated citation at 4.005.009



REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
<b>04</b>	<b>CONSUMER AFFAIRS</b>	Documentation created out as part of the trading standards or environmental health function. Cases may be organised by a simple unique numbering sequence such as the company registration number.		787 - Consumer advice
04.001	Advice	Documentation relating to advice given to and from consumer affairs.		
04.002	Enforcement	Enforcement of trading standards.		
04.003	Environmental health	Information related to the environmental health function.		
04.004	Investigation, inspections and monitoring	Case files for required investigation, inspection and monitoring activities.		
04.005	Registration, certification and licensing	Case files for required registration, certification and licensing activities.		

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the							
N/A	Invoicing, budgeting etc..	See Schedule 12: Finance						
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
N/A	Management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
N/A	Strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
N/A	Tendering and contracts management	See Schedule 22: Procurement						
<b>4.001</b>	<b>Advice</b>							
04.001.001	Campaigns	Information relating to campaigns within consumer affairs	Date campaign completed	7 years	Destroy	Business requirement		
<b>4.002</b>	<b>Enforcement / Prosecution of offences</b>							

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.002.001	Prosecution of offences case files	Dangerous and wild animals;	Date investigation complete	7 years	Destroy	Business requirement		Removed reference to Police and Criminal Evidence Act 1984 c.60. Not Scots Law. 2014-06
04.002.002	Animal health and welfare	Care Notices	Date of notice	6 years	Destroy	Business requirement	Animal Health and Welfare (Scotland) Act 2006 s 25	Moved citation to notes and amended Authority 2014-06
04.002.003	Enforcement policy		Date superseded	Until superseded	Destroy	Business requirement		
04.002.004	Civic Government (Scotland) Act referrals		Date of referral	2 years	Destroy	Business requirement		
04.002.005	Fixed Penalty Notices		Date notice charged	6 years	Destroy	Business requirement		
04.002.006	Food alerts (FAFA and FAFl)		Date of alert	2 years	Destroy	Business requirement		
04.002.007	Food poisoning notifications		Date of notification	2 years	Destroy	Business requirement		
04.002.008	Food safety notices (such as seizure and detention but not Hygiene Improvement or Emergency Prohibition Notices)		Date notice issued	2 years	Destroy	Business requirement		
04.002.009	Health and safety at work		Date investigation complete	7 years Or 40 years for investigation relating to asbestos incident.	Destroy	Business requirement	Health and Safety at Work Act	Removed reference to Police and Criminal Evidence Act 1984 c.60. Not Scots Law. Added 40 years retention. 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.002.010	Hygiene Emergency prohibition notices			Retain permanently	Retain	Business requirement		
04.002.011	Inspections		Date investigation complete	7 years	Destroy			Removed reference to Police and Criminal Evidence Act 1984 c.60. Not Scots Law. 2014-06
04.002.012	Prosecution reports to procurator fiscal		End of current year	5 years	Destroy	Business requirement		
04.002.013	Prosecution Registers		End of current year	Permanent	Retain for historical value.	Business requirement		
04.002.014	Health and safety prosecutions register		Date superseded	Retain permanently	Retain	Business requirement		
04.002.015	Safety notices (under the Consumer protection Act)		Date notice issued	5 years	Destroy	Business requirement	Consumer Protection Act	Moved citation to notes and amended Authority 2014-06
04.002.016	Trading standards - improvement notices		Date notice issued	5 years	Destroy	Business requirement		
04.002.017	Trading standards - notification books		Date notice issued	5 years	Destroy	Business requirement		
04.002.018	Weights and measures - notification books		Date investigation complete	7 years	Destroy	Business requirement		Removed reference to Police and Criminal Evidence Act 1984 c.60. Not Scots Law. 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.002.019	Notice requiring removal from sale of beef		Date of notice	3 years	Destroy	Business requirement	The Beef Labelling (Enforcement) (Scotland) Reg 2001. SSI 2001 252. Reg 4(3). To be in writing	Added series 2014-06
04.002.019	Wine regulations	Control on movement. Consent to movement.	Date of notice	2 years	Destroy	Business requirement	The Common Agricultural Policy (Wine) (Scotland) Regulations 2002. SSI 2002 No 325. Regulation 9, 10	Added series 2014-06
04.002.020	Imported animal products	Border posts - Local authority returns	Current year	3 years	Destroy	Business requirement	The Products of Animal Origin (Third Country Imports) (Scotland) Regulations 2002. SSI 2002 No 445. Regulation 12	Added series 2014-06
04.002.021	Records connected with the enforcing of restrictions on the movement of animals		Date of the restriction order	6 years	Destroy	Business requirement	The Movement of Animals (Restrictions) (Scotland) Order 2003. SSI 2003 No 353. Regulation 12. To be in writing	Added series 2014-06
04.002.022	Animal health - BSE	Notices	While current	3 years	Destroy	Business requirement	The Transmissible Spongiform Encephalopathies (Scotland) Regulations 2010. SSI 2010 No 177. Regulation 15	Added series 2014-06
04.002.023	Animal feed regulations	Notice of temporary suspension of registration or approval; Notification of lifting of suspension;	End of approval or registration	5 years	Destroy	Business requirement	Feed (Hygiene and Enforcement) (Scotland) Regs 2005. SSI 2005 No 608 To be in writing; Regulation 26	Added series 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.002.024	Animal feed regulations	Notice of revocation of registration or approval; Feed business improvement notice; Feed business prohibition orders	Date of notice	5 years	Destroy	Business requirement	Feed (Hygiene and Enforcement) (Scotland) Regulations 2005. SSI 2005 No 608. To be in writing; Regulation 26	Added series 2014-06
04.002.025	Animal feed regulations	Feed business emergency prohibition notices and orders.	Cessation of order or notice	5 years	Destroy	Business requirement	Feed (Hygiene and Enforcement) (Scotland) Regulations 2005. SSI 2005 No 608. To be in writing; Regulation 26	Added series 2014-06
04.002.026	Notices requiring the disposal of animal products		Date of notice	5 years	Destroy	Business requirement	Older Cattle (Disposal) (Scotland) Regulations 2006 No 4. Regulation 6 To be in writing includes electronic communication . Regulation 3	Added series 2014-06
04.002.027	Animal health - Foot and Mouth	Notification of disease or suspected disease	Date of notification	3 years	Destroy	Business requirement	Foot and Mouth Disease (Scotland) Order 2006. SSI 2006 No 44. Reg 8, 9 Notices, licences, certificates, declarations to be in writing. Regulations 5 and 6	Added series 2014-06
04.002.028	Animal health - Avian flu	Declaration and Notices	Date of notice	3 years	Destroy	Business requirement	Avian Influenza (H5N1 in Wild Birds) (Scotland) Order 2007. SSI 2007 No 61 Reg 3. Must be in writing	Added series 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.002.029	Animal health - Avian flu	Notice of restriction	Date of notification	3 years	Destroy	Business requirement	Avian Influenza and Influenza of Avian origin in mammals (Scotland) Order 2006. SSI 2006 No 336. Reg 10. Reg 4	Added series 2014-06
04.002.030	Animal health - Avian flu	Notice to prohibit the keeping of poultry or other captive birds	Date of expiry	3 years	Destroy	Business requirement	Avian Influenza and Influenza of Avian origin in mammals (Scotland) Order 2006. SSI 2006 No 336. Regulation 65 (6) To be in writing.	Added series 2014-06
04.002.031	Animal health - Avian flu	Notice directing that the birds specified are to be killed; Emergency vaccination notice	Date of notice	3 years	Destroy	Business requirement	Avian influenza (Slaughter and Vaccination) (Scotland) Regulations 2006 SSI 2006 No 337. Reg 10(2). Regulation 12 (1) (b) Reg 3	Added series 2014-06
04.002.032	Swine Vesicular disease	Declaration of zone; Approvals, declarations, designations, directions or notices	Date of declaration/notice	2 years	Destroy	Business requirement	Swine Vesicular Disease (Scotland) Order 2009. SSI 2009 No 173 Regulation 8, 9	Added series 2014-06
04.002.033	Food hygiene regulation	Hygiene improvement notice, Hygiene prohibition notice, Hygiene emergency prohibition notice and order, Remedial action notice and detention notice	Date of notice	3 years	Destroy	Business requirement	Food Hygiene (Scotland) Regulations 2006. SSI 2006 No 3. Regulations 6, 7, 8, 9 (See time limit in Regulation 16)	Added series 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.002.034	Food contaminants	Notice that food is not to be used for human consumption	Date of notice	3 years	Destroy	Business requirement	Contaminants in Food (Scotland) Regulations 2006. SSI 2006 No 306 Regulation 5.	Added series 2014-06
04.002.035	Alcohol licensing	Notice for breach of licence; Closure order; Warning to licence holder	Licence is superseded, surrendered or revoked	5 years	Destroy	Business requirement	Licensing (Scotland) Act 2005. 2005 asp 16. Section 14, 39, 97, 98	Added series 2014-06
04.002.036	Alcohol licensing	Exclusion order	Date of order	2 years	Destroy	Business requirement	Licensing (Scotland) Act 2005. 2005 asp 16. Section 94	Added series 2014-06
<b>4.003</b>	<b>Environmental health</b>							
04.003.001	Animal control licences		Date administrative use ceases	5 years	Destroy	Business requirement		
04.003.002	Building Standards and planning consultations		Date administrative use ceases	1 year	Destroy	Business requirement	Building (Forms) (Scotland) Regulations 2005. SSI 2005 No 172	
04.003.003	Closed Landfill sites			Retain permanently	Retain for historical value.	Business requirement		
04.003.004	Contaminated Land Register Strategy		Date superseded	Until superseded	Destroy	Business requirement	Maintain and update current only. The Contaminated Land (Scotland) Regulations 2000. SSI 2000 No 178 Regulation 14. To be in writing	Added citation 2014-06
04.003.005	Environmental health and housing files		Date case closed	5 years	Destroy	Business requirement		



Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.003.006	Housing conditions survey			Retain permanently	Retain for historical value.	Business requirement		
04.003.007	Infection control policies		Date superseded	3 years	Destroy	Business requirement		Amended retention from nil, 2014-06
04.003.008	Contaminated land - Remediation Notice		Date of compliance	16 years	Destroy	Business requirement	The Contaminated Land (Scotland) Regulations 2000. SSI 2000 No 178 Regulation 5 To be in writing as per Schedule 2	Added series 2014-06
<b>4.004</b>	<b>Investigation, inspections and monitoring</b>							
04.004.001	Equipment inspection records		Date of equipment disposal	5 years	Destroy	Business requirement		
04.004.002	Food standards inspection forms		Date of inspection	5 years	Destroy	Business requirement		
04.004.003	Investigations - case files by organisation name	Nuisances, for example, complaints against traders, complaints-food, etc.	Date of last action	3 years	Destroy	Business requirement	Environmental Protection Act 1990.	Moved citation to notes and amended Authority 2014-06
04.004.004	CCTV records from covert surveillance (including master copy of RIPSAs authorisation forms) - in cases that lead to prosecution		Date investigation complete	5 years	Check with Legal Services	Business requirement	Regulatory & Investigatory Powers (Scotland) Act 2000	Moved citation to notes and amended Authority 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.004.005	CCTV records from covert surveillance (including master copy of RISPA authorisation forms) - routine recordings not needed for prosecution		Date of recording	7 days	Destroy/ Overwrite	Business requirement	Data Protection Act 1998 c.29	Moved citation to notes and amended Authority 2014-06
04.004.006	Enquiry sheets / log book - for example, dog wardens, pest control, trading standards		Date enquiry closed	1 year	Destroy	Business requirement		
04.004.007	Monitoring case files (by organisation type)	Air pollution, Animal health, Food hygiene, Food hygiene (home care), Food standards, Food safety, Hazardous substances, Infectious diseases, Land pollution, Pollution, Product safety, River pollution, Swimming pools, Weights and measures	Date of last action	3 years	Destroy	Business requirement		Amended records series from "organisation name". Removed Private Water Supplies from record series. Moved citation to notes and amended trigger. 2014-06
04.004.008	Consumer Affairs cases		Date of last action	3 years	Destroy	Business requirement	Responsive - The general monitoring of SLA response / service standards/ KPIs etc.to consumer affair issues.	
04.004.009	General nuisance monitoring		Date of last action	3 years	Destroy	Business requirement	Environmental Protection Act 1990. Nuisances - for example, dampness / drainage. [The monitoring of general nuisance within the public domain.]	Moved citation to notes and amended Authority 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.004.010	Animal health & welfare - Sheep and goats	Annual Inventory	Current year	2 years	Destroy	Business requirement	The Sheep and Goats (Records, Identification and Movement) (Scotland ) Order 2009. SSI 2009 No 414 Council Regulation (EC) No 21/2004	Added series 2014-06
04.004.011	Alcohol licensing	Relevant Statistical Information (Section 6(5)) provided to Licensing Forum	Date provided	3 years	Destroy/ Consider for Archival preservation	Business requirement	Licensing (Scotland) Act 2005. 2005 asp 16. Section 12	Added series 2014-06
04.004.012	Private water supplies	Notices of determination of relevant person, Statements, Schemes and summaries regarding a temporary departure of a Type A supply that is not wholesome; Risk assessment Type A and Type B; Investigations; Check monitoring Type A and Type B; Audit monitoring	Date of entry in register	15 years	Destroy	Statutory	Private Water Supplies (Scotland) Regulations 2006. SSI 2006 No 209 Regulation 4, 8, 19, 20 Reg 34(6)	Added series 2014-06
<b>4.005</b>	<b>Registration, certification and licensing</b>							
04.005.001	Entertainment and drinks	Register	Date registration lapses	2 years	Destroy	Business requirement		Amended authority from Statutory
04.005.002	Food premises	Register	Date registration lapses	2 years	Destroy	Business requirement		Amended authority from Statutory
04.005.003	Licence premises	Register	Date registration lapses	2 years	Destroy	Business requirement		Amended authority from Statutory
04.005.004	Animal boarding licences		Date registration lapses	2 years	Destroy	Business requirement	Animal Boarding Establishments Act 1963.	Moved citation to notes and amended Authority 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.005	Animal breeding licences		Date registration lapses	2 years	Destroy	Business requirement	Breeding of Dogs Acts 1973 and 1991, Breeding and Sale of Dogs (Welfare) Act 1999. Licensing of Animal Dealers (Young Cats and Young dogs) (Scotland Regulations 2009. SSI 2009 No 141. Regulation 3, 12, Schedule	Moved citation to notes and amended Authority. Added SSI2009 No 141 to note. 2014-06
04.005.006	Auction premises licences		Date registration lapses	2 years	Destroy	Business requirement		Amended authority from Statutory
04.005.007	Building materials licences		Date registration lapses	2 years	Destroy	Business requirement		Amended authority from Statutory
04.005.008	Butchers licences		Date registration lapses	2 years	Destroy	Business requirement	The Food Safety (General Food Hygiene) (Butchers' Shops) Amendment (Scotland) regulations 2000. SSI 2000 No 93. Reg 3. Amends SI 1995 No 1763	Added note 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.009	Caravan and camp site licences		Date registration lapses or is revoked	3 years	Destroy	Business requirement	Caravan Sites and Control of Development Act 1960 Caravan Sites Act 1968. As amended by Housing (Scotland) Act 2014 ss 63 and 65. As amended by Licensing of Relevant Permanent Sites (Scotland) Regulations 2016 SSI 2016 No 433	Moved citation to notes and amended Authority 2014-06. Amended retention period, trigger and citation 2015-04. Amended citation 2017-06
04.005.010	Cemetery licences		Date registration lapses	2 years	Destroy	Business requirement		Amended authority from Statutory
04.005.011	Cooling towers	Notifications to local authority	Date of cessation of operation	2 years	Destroy / Review for Archival retention	Business requirement	Notification of Cooling Towers and Evaporative Condensers Regulations 1992 SI 1992 No 2225 Regulation 3	Added detail on records, amended trigger from "Registration lapses". Moved reference to notes field and amended trigger. Removed "or Permanent" from retention 2014-06
04.005.012	Credit licensing		Date registration lapses	2 years	Destroy	Business requirement		Added authority 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.013	Crematoria licences		Date registration lapses	2 years	Destroy	Business requirement		Added authority 2014-06
04.005.014	Dangerous wild animals licences		Date registration lapses	2 years	Destroy	Business requirement	Dangerous Wild Animals Act 1976.	Moved citation to notes and amended Authority 2014-06
04.005.015	Entertainment licences		Date registration lapses	2 years	Destroy	Business requirement	Civic Government (Scotland) Act 1982 c.45	Moved citation to notes and amended Authority 2014-06
04.005.016	Explosives licences - Sale or Storage		Date registration lapses	2 years	Destroy	Business requirement	Manufacture and Storage of Explosives Regulations 2005. SI 2005 No 1082	Amended records series from "Sale of". Moved citation to notes and amended trigger. 2014-06
04.005.017	Food business licences		Date registration lapses	2 years	Destroy	Business requirement	Food Premises (Registration) Regulations 1991. SI 1991:2825.	Moved citation to notes and amended Authority 2014-06
04.005.018	Food licences		Date registration lapses	2 years	Destroy	Business requirement	Food Safety Act 1990.	Moved citation to notes and amended Authority 2014-06
04.005.019	Hackney licences		Date registration lapses	2 years	Destroy	Business requirement	Civic Government (Scotland) Act 1982 c.45, s.10-22	Moved citation to notes and amended Authority 2014-06
04.005.020	Highway projection licences		Date registration lapses	2 years	Destroy	Business requirement		Amended authority from Statutory
04.005.021	Hoarding licences		Date registration lapses	2 years	Destroy	Business requirement		Amended authority from Statutory
04.005.022	Houses - Register of unfit premises		Date superseded.	Retain permanently	Retain for historical value.	Business requirement		

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.023	Infectious diseases licensing and use		Date registration lapses	2 years	Destroy	Business requirement		Amended authority from Statutory
04.005.024	Late hours catering licences		Date registration lapses	2 years	Destroy	Business requirement	Civic Government (Scotland) Act 1982 c.45, s.42	Moved citation to notes and amended Authority 2014-06
04.005.025	Liquor licences		Date registration lapses	2 years	Destroy	Business requirement	Criminal Justice and Licensing (Scotland) Act 2010 asp13	Moved citation to notes and amended Authority 2014-06
04.005.026	Lottery registration		Date registration lapses	2 years	Destroy	Business requirement		
04.005.027	Massage and special treatment licences		Date registration lapses	2 years	Destroy	Business requirement		
04.005.028	Non medicinal poisons licences		Date registration lapses	2 years	Destroy	Business requirement		
04.005.029	Nursing agencies licences		Date registration lapses	2 years	Destroy	Business requirement		
04.005.030	Other hazardous substances		Date registration lapses	Permanent	Retain for historical value.	Business requirement		
04.005.031	Personal licences		Date registration lapses	2 years	Destroy	Business requirement	Licensing Act 2003.	Moved citation to notes and amended Authority 2014-06
04.005.032	Pet shop licences		Date registration lapses	2 years	Destroy	Business requirement	Pet Animals Act 1951 (as amended by the 1983 Act).	Moved citation to notes and amended Authority 2014-06
04.005.033	Petroleum licences		Date registration lapses	Permanent	Retain for historical value.	Business requirement	Petroleum (Regulation) Acts 1928 and 1936	Moved citation to notes and amended Authority 2014-06
04.005.034	Premises licences		Date registration lapses	2 years	Destroy	Business requirement	Licensing (Scotland) Act 2005	Moved citation to notes and amended Authority 2014-06
04.005.035	Premises licences - Club premises certificates		Date registration lapses	2 years	Destroy	Business requirement	Licensing (Scotland) Act 2005	Moved citation to notes and amended Authority 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.036	Premises licences - Temporary event notices.		Date registration lapses	2 years	Destroy	Business requirement	Licensing (Scotland) Act 2005	Moved citation to notes and amended Authority 2014-06
04.005.037	Private hire licences		Date registration lapses	2 years	Destroy	Business requirement	Civic Government (Scotland) Act 1982 c.45, s.10-22	Moved citation to notes and amended Authority 2014-06
04.005.038	Public entertainment licences		Date registration lapses	2 years	Destroy	Business requirement	Licensing Act 2003.	Moved citation to notes and amended Authority 2014-06
04.005.039	Register of reservoirs		Date superseded.	Retain permanently	Retain for historical value.	Business requirement		
04.005.040	Reservoirs correspondence/ Scottish Water files		Date of last action	4 years	Destroy	Business requirement		
04.005.041	Riding establishment licences		Date registration lapses	2 years	Destroy	Business requirement	Riding Establishments Act 1964 and 1970.	Moved citation to notes and amended Authority 2014-06
04.005.042	Scaffold licences (permits)		Date registration lapses	2 years	Destroy	Business requirement	Roads (Scotland) Act 1984	Moved citation to notes and amended Authority 2014-06
04.005.043	Scrap metal licences		Date registration lapses	2 years	Destroy	Business requirement	Scrap Metal Dealers Act 1964. Civic Government Scotland Act 1982 c.45, s.28-34	Moved citation to notes and amended Authority 2014-06
04.005.044	Sex establishments - register		Date registration lapses	2 years	Destroy	Business requirement	Civic Government (Scotland) Act 1982 c.45, s.45	Moved citation to notes and amended Authority 2014-06
04.005.045	Shops		Date registration lapses	2 years	Destroy	Business requirement		
04.005.046	Skip licences		Date registration lapses	2 years	Destroy	Business requirement	Roads (Scotland) Act 1984 sec 85	Moved citation to notes and amended Authority 2014-06



Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.047	Street collections and lotteries licences		Date registration lapses	2 years	Destroy	Business requirement	Civic Government (Scotland) Act 1982 c.45	Moved citation to notes and amended Authority 2014-06
04.005.048	Street trading licences		Date registration lapses	2 years	Destroy	Business requirement	Civic Government Scotland Act 1982 c.45, s.39	Moved citation to notes and amended Authority 2014-06
04.005.049	Zoo licences	Licence, notice of compliance, closure notice	Date registration lapses	2 years	Destroy	Business requirement	The Zoo Licensing Act 1981 Amendment (Scotland) Regulations 2003. SSI 2003 No 174. Regulation 3	Moved citation to notes, expanded note and amended Authority 2014-06
04.005.050	Animal health and welfare - Imports	Certificate of veterinary clearance	Current year	5 years	Destroy	Business requirement	The Products of Animal Origin (Third Country Imports) (Scotland) Regulations 2002. SSI 2002 No 445. Regulation 20 To be in writing as per Regulation 60	Added series 2014-06
04.005.051	Animal health & welfare - Sheep and goats	Contingency plan (To be agreed with the local authority)	End of or revocation of plan	3 years	Destroy	Business requirement	The Sheep and Goats (Records, Identification and Movement) (Scotland ) Order 2009. SSI 2009 No 414 Council Regulation (EC) No 21/2004	Added series 2014-06
04.005.052	Animal health and welfare - animal dealers	Register of animal dealing licences	To be kept up to date		Consider for Archival preservation	Business requirement	Licensing of Animal Dealers (Young Cats and Young dogs) (Scotland) regulations 2009. SSI 2009 No 141. Regulation 12 To be available for public inspection In an appropriate form	Added series 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.053	Animal health - Disease control	Declaration - copy sent to the local authority - Schedules 2, 3,4,6,7	Date of receipt	6 months	Destroy	Statutory	The Disease Control (Interim Measures) (Scotland) Order 2002. SSI 2002 No 34. Regulation 11 Amends the Pigs (Records, Identification and Movement) Order 1995	Added series 2014-06
04.005.054	Animal health and welfare - Pigs	Movement of pigs declaration	Date of receipt	6 months	Destroy	Statutory	The Pigs (Records, Identification and Movement) (Scotland) Amendment order 2002. SSI 2002 No 540. Regulation 2 (Amends the Pigs (Records, Identification and Movement) Order 1995 SI 1995/11)	Added series 2014-06
04.005.055	Animal health - Cattle - BSE	Approvals, authorisations, licences and registrations	End of approval or registration	3 years	Destroy	Business requirements	The Transmissible Spongiform Encephalopathies (Scotland) Regulations 2010. SSI 2010 No 177. Regulation 6	
04.005.056	Animal health and welfare - Avian flu	Notices, and licences	Date of notice or end of licence	5 years	Destroy	Business requirements	Avian Influenza (Preventative Measures) (Scotland) Order 2007. SSI 2007 No 69	Added series 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.057	Animal health and welfare - Animal feed	Notification with view to registration; Declaration in relation to transitional measures; Application for approval; Application for amendment to approval or registration	End of approval or registration	3 years	Destroy	Business requirements	Feed (Hygiene and Enforcement) (Scotland) Regulations 2005. SSI 2005 No 608. Regulation 6, 7, 8. 3 year timelimit on prosecution, s 36.	Added series 2014-06
04.005.058	Animal health and welfare - Foot and Mouth disease	Licence for movement	Date of receipt by local authority	5 years	Destroy	Business requirement	<b>Foot and Mouth Disease (Scotland) Order 2006. SSI 2006 No 44. Regulation 42</b> Occupier of premises to which susceptible animals are moved to must retain a copy of the licence for 6 months after forwarding the original to the local authority or the slaughterhouse. <b>Foot and Mouth Disease (Slaughter and Vaccination) (Scotland) Regulations 2006. SSI 2006 No 45. Schedule - 5</b> Occupier of premises to which susceptible animals are moved to must retain a copy of the licence for 6 months after forwarding the original to the local authority or the	Merged with 04.005.059 and combined citation.notes, 2016-10

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.059								Series merged with 04.005.058 2016-10
04.005.060	Animal health and welfare - Pigs	Holding Register	Date of entry on register	3 years	Destroy	Statutory	Pigs (Records, Identification and Movement) (Scotland) Order 2011 SSI 2011 No 327 Regulation 5 (See also Section 2.2.10 above) Implements Council Directive 2008/71/EC Revokes parts of SI 1995 No 11	Added series 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.061	Animal health and welfare - Trade	Health certificate	Date of certificate	3 years	Destroy	Statutory	Trade in Animals and Related Products (Scotland) Regulations 2012. SSI 2012 No 177. Regulation 5 Implements Council Directive: 89/662/EEC; 90/425/EEC; 91/425/EEC; 97/78/EC Which effect to a greater or lesser degree Animal and Animal Products (Import and Export (Scotland); Fresh Meat (Import Conditions); Miscellaneous Products of Animal Origin (Import Conditions); Products of Animal Origin (Third Country Imports) (Scotland)	Added series 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.062	Food safety - Butchers' Shops	Licences for Butchers' shops	License ceases	1 year	Destroy	Business requirement	The Food Safety (General Food Hygiene) (Butchers' Shops) Amendment (Scotland) Regulations 2000  SSI 2000 No 93 Regulation 3  These regulations amend SI 1995 No 1763  To be in writing	Added series 2014-06
04.005.063	Private hire licences	Notice of exemption	License or exemption ceases	1 year	Destroy	Business requirement	The Private Hire Car Drivers' Licences (Carrying of Guide Dogs and Hearing Dogs) (Scotland) Regulations 2004. SSI 2004 No 88. Regulation 5	Added series 2014-06
04.005.064	Licensing of Booking Offices	Booking Office Licence (Hire of taxis or private hire cars)	License ceases	1 year	Destroy	Business requirement	Civic Government (Scotland) Act 1982 (Licensing of Booking Offices) Order 2009. SSI 2009 No 145 Regulation 2	Added series 2014-06
04.005.065	Licensing - Alcohol	Premise Licence Occasional Licence Variation of premises licence Temporary premises licence	Licence is superseded, surrendered or revoked	5 years	Destroy	Business requirement	Licensing (Scotland) Act 2005, asp 16. Sections 1, 17, 26, 28, 29, 32, 45, 56	Added series 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.066	Licensing - Alcohol	Licensing Policy Statement Supplementary Licensing Policy Statement	Superseded	3 years	Destroy/ Consider for Archival preservation	Business requirement	Licensing (Scotland) Act 2005 2005 asp 16 Section 6 To be published	Added series 2014-06
04.005.067	Licensing - Alcohol	Public Register (The Licensing Register)	To be maintained for public inspection.	Information on register by virtue of 3(1) or 5 (1) to be kept for 5 years from the date the licence ceased to have effect.	Consider for Archival preservation	Statutory	Licensing (Scotland) Act 2005 2005 asp 16. Section 9 As amended by Licensing Register (Scotland) Regulations 2007. SSI 2007No 33 Regulation 2 May be in documentary or electronic form or partly in one form and partly in the other	Added series 2014-06
04.005.068	Licensing - Alcohol	Application for premises licence; Notice of application; Objections and representations; Notification of conviction; Transfers of licence holders; Review of premises licence; Notification of change of address; Notification of determinations; Extended hours; Premises review application	Licence is superseded, surrendered or revoked	5 years	Destroy	Business requirement	Licensing (Scotland) Act 2005 2005 asp 16. Sections 14, 20, 21,22, 24,33, 36, 44, 48, 51, 57, 58, 61, 68, 69, 70, 75, 79, 82, 88	Added series 2014-06
04.005.069	Licence to sell alcohol - Personal licences	Application for personal licence Notice to chief constable (Endorsements last 5 years from date made – section 85)	Until superseded, surrendered or revoked	5 years	Destroy	Business requirement	Licensing (Scotland) Act 2005. 2005 asp 16. Sections 71, 72, 73, 85	Added series 2014-06

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.070	Licensing of skin piercing or tattooing		Expiry of licence	5 years	Destroy	Business requirement	Civic Government (Scotland) Act 1982 (Licensing of Skin Piercing and Tattooing) Order 2006. SSI 2006 No 43	Added series 2014-06
04.005.071	Register of private water supplies		Date of entry on register	15 years	Destroy / Review for Archival retention	Statutory	Private Water Supplies (Scotland) Regulations 2006. SSI 2006 No 209. Regulation 34	Added series 2014-06
04.005.072	Ship Sanitation Certificates		Date of issue	1 year	Destroy	Statutory	Public Health (Ships)(Scotland) Amendment Regulations 2007 SSI 2007 No 515. Regulation 16 Inserts Reg 19D in to SI 1971 No 132 To be in writing	Added series 2014-06
04.005.073	Gambling licenses	Statement of principles	Superseded	3 years	Destroy / Review for Archival retention	Business requirement	Gambling Act 2005 (Licensing Authority Policy Statement) (Scotland) Regulations 2006. SSI 2006 No 154. Regulation 3 Statement to be reviewed at least every 3 years. In writing or electronically	Added series 2014-06



Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>4 CONSUMER AFFAIRS</b>								
04.005.074	Gambling licenses	Applications for a premises licence; Plan to accompany application; Documents to accompany plan Written statement	License ceases	3 years	Destroy	Business requirement	Gambling Act 2005 (Premises Licences and Provisional Statements) (Scotland) Regulations 2007. SSI 2007 No 196 Regulations 3-10 16 To be on a specified form. May be by facsimile or electronic mail	Added series 2014-06

Revision No.	Author	Role	Changes	Date
Beta 1	Heather Jack	Author	Formatted approved version for Beta 1 publication	09 June 2011
2_0	Frank Rankin, IG Scotland	Reviewer	Amendments as noted in Edit Hitory column of RRS	11 August 2014

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>05</b>	<b>COUNCIL PROPERTY</b>	<b>The function of managing the Council's property - land, buildings,</b>	<b>Asset management, Estates management</b>	
<b>05.001</b>	Maintenance of Council property	Activities include: conducting general inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance; conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos); carrying out decontamination works.		
<b>05.002</b>	Property acquisition and disposal	The activities involved in acquiring ownership or use of land or buildings through purchase, transfer, donation, lease or rental and in disposing of land and buildings which are no longer required through sale, transfer, termination of lease, auction, donation or demolition.		
<b>05.003</b>	Property and land management	The activities involved in complying with legislative requirements relating to the operation of specific types of facilities or equipment; leasing properties to third parties, conducting required internal inspections; facilitating inspections by enforcing authorities; stock control of equipment and consummables; fleet management		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>5</b>	<b>COUNCIL PROPERTY</b>							
<b>N/A</b>	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
<b>N/A</b>	invoicing, budgeting etc..	See Schedule 12: Finance						
<b>N/A</b>	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
<b>N/A</b>	management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
<b>N/A</b>	strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
<b>N/A</b>	Tendering and contracts management	See Schedule 22: Procurement						
<b>5.001</b>	<b>Maintenance of council property - Maintenance records - typically organised by property</b>							
<b>5.001.001</b>	Records documenting routine inspections of property.	Property Condition Surveys	Date of inspection	5 years	Destroy	Business requirement	Retaining inspection records provides evidence of effective property management.	
<b>5.001.002</b>	Records documenting major maintenance works on property.		Disposal of property	Nil	Transfer	Business requirement	Transfer records to new owners when land/property is sold.	

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>5</b>	<b>COUNCIL PROPERTY</b>							
<b>5.001.003</b>	Records documenting minor maintenance works on property - assets over £50,000		Completion of works	20 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s6, 7 and 8	Moved citation to notes 2014-07
<b>5.001.004</b>	Records documenting minor maintenance works on property - assets under £50,000		Completion of works	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s6, 7 and 8	Moved citation to notes 2014-07
<b>5.001.005</b>	Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises		Date of assessment	10 years	Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 4 (7)	Updated regulations in note. 2014-07
<b>5.001.006</b>	Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.		Removal of asbestos or subsequent inspection	10 years	Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 4 (7)	Updated regulations in note. 2014-07
<b>5.001.007</b>	Records documenting the carrying out of routine maintenance and repairs to fixtures, fittings and interior decoration.		End of current year	2 years	Destroy	Business requirement		
<b>5.001.008</b>	Records documenting the maintenance of equipment: major items.		Decommissioning/disposal of item	5 years	Destroy	Business requirement		
<b>5.001.009</b>	Records documenting the maintenance of equipment: items which are safety critical or are associated with hazardous operations.		Decommissioning / Disposal of item	5 years	Destroy	Business requirement		Amended retention period from 40 years. 2014-07

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>5</b>	<b>COUNCIL PROPERTY</b>							
<b>5.001.010</b>	Records documenting the maintenance of equipment provided to control exposure to asbestos.	Test and examination records of exhaust ventilation equipment or respiratory protective equipment	Date of test or examination	5 years	Destroy	Statutory	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 13 (3). See also PPE/COSHH	Updated regulations in note and added further detail on records. 2014-07
<b>5.001.011</b>	Records documenting the inspection and testing of equipment.		Disposal of item	1 year	Destroy	Business requirement		
<b>5.001.012</b>	Records documenting the inspection and testing of equipment: items which are safety critical or are associated with hazardous operations.		Disposal of item	5 years	Destroy	Business requirement		Removed note 2014-07
<b>5.001.013</b>	Plan identifying parts of premises affected by asbestos		Whilst relevant		Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632. Regulation 4 (8). Measures taken to implement plan to be recorded. To be in writing	Series added 2014-07
<b>5.001.014</b>	Asbestos Risk Assessment		Whilst relevant		Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632. Regulation 6. Copy of the significant findings of the risk assessment to be kept at the premises at which, and for such time as the work is being carried out.	Series added 2014-07

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>5</b>	<b>COUNCIL PROPERTY</b>							
<b>5.001.015</b>	Asbestos - Plan of work		Completion of works	6 months	Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 7. Copy to be kept at those premises, and for such time as the work to which the plan relates is being carried out. To be in writing	Series added 2014-07
<b>5.001.016</b>	Licence to work with asbestos		While current	Nil	Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 8. Existing licences issued under previous legislation continue to have effect. Must return licence to Executive if revoked. To be in writing	Series added 2014-07
<b>5.001.017</b>	Notification of work with asbestos		Completion of works	3 years	Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632. Regulation 9 To be in writing	Series added 2014-07
<b>5.001.018</b>	Site clearance certifications		Recommend add to the premise health and safety file and retain for the life of the building			Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 20	Series added 2014-07
<b>5.002</b>	<b>Property acquisition and disposal</b>							

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>5</b>	<b>COUNCIL PROPERTY</b>							
<b>05.002.001</b>	Records documenting negotiation and acquisition of a property through purchase, transfer, donation - assets over £50,000	surveys, valuations, correspondence	Disposal of property	20 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 ss 7 and 8	Transferred P&L citation to notes and amended authority 2014-07
<b>05.002.002</b>	Records documenting negotiation and acquisition of a property through purchase, transfer, donation - assets under £50,000	surveys, valuations, correspondence	Disposal of property	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 ss 7 and 8	Transferred P&L citation to notes and amended authority 2014-07
<b>05.002.003</b>	Title Deeds		Disposal of property	Nil	Transfer to new owner	Business requirement		
<b>05.002.004</b>	Records documenting negotiations for the acquisition of a property by the Council, where the property was not acquired.		Closure of negotiations	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	Transferred P&L citation to notes and amended authority 2014-07
<b>05.002.005</b>	Records documenting the acquisition of a property through lease - assets over £50,000	lease agreement, correspondence	Expiry of lease	20 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s6, 7 and 8	Transferred P&L citation to notes and amended authority 2014-07
<b>05.002.006</b>	Records documenting the acquisition of a property through lease - assets under £50,000	lease agreement, correspondence	Expiry of lease	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s6, 7 and 8	Transferred P&L citation to notes and amended authority 2014-07
<b>05.002.007</b>	Records documenting negotiations for the lease of a property by the Council, where the property was not leased.		Closure of negotiations	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	Transferred P&L citation to notes and amended authority 2014-07



Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>5</b>	<b>COUNCIL PROPERTY</b>							
<b>05.002.008</b>	Council property design and construction project files - assets over £50,000	Project Files – includes feasibility studies, brief, correspondence, minutes of site meetings, variation orders, drawings, photographs, records of payment, tendering of works, contract documentation	Completion of project (end of defects liability period and completion of all outstanding payments)	20 years	Review for business and historical value	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	Transferred P&L citation to notes and amended authority 2014-07
<b>05.002.009</b>	Council property design and construction project files - assets under £50,000	Project Files – includes feasibility studies, brief, correspondence, minutes of site meetings, variation orders, drawings, photographs, records of payment, tendering of works, contract documentation	Completion of project (end of defects liability period and completion of all outstanding payments)	5 years	Review for business and historical value	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s 6	Transferred P&L citation to notes and amended authority 2014-07
<b>05.002.010</b>	Records documenting the development of specifications for consumables		Superseded	3 years	Destroy	Business requirement		
<b>05.002.011</b>	Records documenting the development of specifications for equipment: major items.		Disposal of item	3 years	Destroy	Business requirement		
<b>05.002.012</b>	Records documenting the disposal of properties by sale, transfer or donation		Disposal of property	20 years for assets over £50,000; 5 years for assets under £50,000	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 ss 6,7 and 8	Transferred P&L citation to notes and amended authority 2014-07

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>5</b>	<b>COUNCIL PROPERTY</b>							
<b>05.002.013</b>	Records documenting the termination of a property lease - assets over £50,000		Termination of lease	20 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s6, 7 and 8	Transferred P&L citation to notes and amended authority 2014-07
<b>05.002.014</b>	Records documenting the termination of a property lease - assets under £50,000		Termination of lease	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 s6, 7 and 8	Transferred P&L citation to notes and amended authority 2014-07
<b>05.002.015</b>	Records documenting cleansing, sanitisation and authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.		Disposal of item	5 years	Destroy	Business requirement		
<b>5.003</b>	<b>Property and land management</b>		<b>see also Schedule 21: Planning and Building Standards</b>					
<b>05.003.001</b>	Records documenting the on going management of council property and land - assets over £50,000	property case files	Date of lease expiry or disposal	20 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 ss 6,7 and 8	Transferred P&L citation to notes and amended authority 2014-07
<b>05.003.002</b>	Records documenting the on going management of council property and land - assets under £50,000	property case files	Date of lease expiry or disposal	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 ss 6,7 and 8	Transferred P&L citation to notes and amended authority 2014-07
<b>05.003.003</b>	Records documenting the lease of Council property to a third party.	e.g. allotments	Termination of lease	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 ss 6	Transferred P&L citation to notes and amended authority 2014-07

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>5</b>	<b>COUNCIL PROPERTY</b>							
<b>05.003.004</b>	Property compliance - inspection and enforcement	Records documenting the conduct and outcomes of an inspection of a property by an enforcing authority, and action taken to deal with matters raised.	Completion of subsequent inspection	Nil	Destroy	Business requirement	Or as specified by the requirements of specific enforcing authorities	
<b>05.003.005</b>	Property compliance	Gas safety certificates	Date of check	2 years	Destroy	Business requirement	Gas Safety (Installation and Use) (Amendment) Regulations 1998 SI 1998 No 2451 Part F 36 (3)(c). Refers to landlords' responsibilities	Removed reference to Fire certificates, amended retention from 5 years and updated reference in notes 2014-07
<b>05.003.006</b>	Property security - inspection and enforcement	Records documenting the conduct and outcomes of a security inspection of a property, and action taken to deal with matters raised.	Completion of subsequent inspection	Nil	Destroy	Business requirement		
<b>05.003.007</b>	Property security - Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Access registers, key registers	Date superseded	2 years	Destroy	Business requirement		
<b>05.003.008</b>	Property security - Register of security passes issued to staff		Expiry of pass	1 year	Destroy	Data Protection Act 1998 c.29		
<b>05.003.009</b>	Property security - Register of security passes issued to visitors		Expiry of pass	1 month	Destroy	Data Protection Act 1998 c.29		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>5</b>	<b>COUNCIL PROPERTY</b>							
<b>05.003.010</b>	Property security - Records documenting the investigation of a security incident in a property, and action taken.		Last action on incident	1 year	Destroy	Business requirement		
<b>05.003.011</b>	Equipment and consumables - storage records	Stock inventory, stock taking records, condition monitoring, movement to and from storage	End of current year	3 years	Destroy	Business requirement	Subject to specific requirements for particular categories of items	Amended retention period from 1 year 2014-07
<b>05.003.012</b>	Fleet management - Allocation and maintenance		Disposal of the vehicle	7 years	Destroy	Business requirement		
<b>05.003.013</b>	Fleet management - Recording drivers usage		Date closed/returned to employer	1 year	Destroy	Statutory	Transport Act 1968 1968 Chapter 73 Sections 96, 98, 99, 103. Drivers' Hours (Goods Vehicles) (Keeping of Records) Regulations 1987. SI 1987 No.1421 Regulation 11 Preservation of driver's record books.	Amended retention period from 7 years. Added citation. 2014-07
<b>05.003.014</b>	Fleet management - Recording vehicle usage		Disposal of the vehicle	3 years	Destroy	Business requirement		
<b>05.003.015</b>	Fleet management - Vehicle records, lease or purchase		Disposal of the vehicle	7 years	Destroy	Business requirement		

Revision No.	Author	Role	Completed	Description
Beta 1	Claire Johnson	Author	08 June 2011	Formatted approved version for Beta 1
2_0	Frank Rankin, IG Scotland	Reviewer	11 August 2014	Amendments as described in the Edit History column of RRS.
2_1	Frank Rankin, infogov.scot	Reviewer	01/06/2019	Amendments to reflect Cremation (Scotland) Regulations 2019

REF	FUNCTION / Activity	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
<b>06</b>	<b>CEMETERIES AND CREMATORIA</b>	Information dealing with cemeteries, redundant churchyards and crematoria.	<b>Burial Grounds</b>	
06.001	Burial identity and location	The location of burials and identity of who has been buried.		321 - Death - registering, 324 - Death - historical searches, 325 - Death - mortuaries, 326 - Death - repatriation of bodies - England and Wales, 326 - Death - repatriation of bodies - Scotland, 327 - Death - repatriation of bodies - abroad, 328 - Death - bereavement - advice and support, 329 - Death - funerals - burials, 330 - Death - funerals - cremations, 331 - Death - funerals - cost information, 332 - Death - exhumations, 335 - Death - funerals - records,
				671 - Death - funerals - low cost, 825 - Death - funerals - independent, 875 - Death - funerals - civil,
06.002	Maintenance of burial grounds	Maintenance records for burial grounds.		334 - Death - funerals - memorial construction

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
6	<b>CEMETERIES &amp; CREMATORIA</b>						
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.						
N/A	invoicing, budgeting etc..	See Schedule 12: Finance					
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety					
N/A	management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources					
N/A	strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management					

6	CEMETERIES & CREMATORIA						
N/A	Tendering and contracts management	See Schedule 22: Procurement					
6.001	Burial identity and location						
06.001.001	Registration	Cemetery and crematoria plans, burial plot layout,	Date superseded.	Retain copy of each superseded layout in	Transfer to archive	Business requirement	
06.001.002	Summary management systems registration	Burial - Register and plan of plot ownership and occupation. . Commemoration Register and plan of headstones/shrubs and ownership of burial plots in a cemetery, for example, lair purchases (registers and plans), interment registers.	Date superseded.	Retain copy of each superseded layout in the Archives	Transfer to archive.	Business requirement	
06.001.003	Bookings	Applications (interment or monument erection) (See 6.001.009 for cremation applications)	End of current year.	15 years	Destroy	Statutory	
06.001.004	Exhumations	Exhumation orders (documentation regarding the process of regulation of exhumation).	Date superseded.	<b>Permanen t</b>	Retain	Business requirement	



6	CEMETERIES & CREMATORIA						
06.001.005	Interment Service	Regulation of burials and cremations	End of current year.	15 years	Destroy	Statutory	Cremations (Scotland) Regulations 1935 Reg 19
06.001.006	Interment Service	Records documenting the organisation of a burial or cremation of a deceased person, where the Council has a statutory duty to do so.	End of current year.	5 years	Destroy	Business requirement	National Assistance Act 1948 s 50
06.001.007	Licensing	Permits (for headstones, cemeteries and crematoria)	End of current year.	20 years	Destroy	Business requirement	
06.001.008	Memorial management	Records relating to the ordering [maintenance and repair] of a memorial. (E.g. war memorial).	End of current year.	Permanent	Transfer to archive	Business requirement	
06.001.009	Cremation application form	Cremation application form and accompanying documentation and certificates	Date of cremation	50 years	Destroy	Statutory	Cremation (Scotland) Regulations 2019 SSI 2019 No 36 Regulations 3 and 8
06.001.010	Management of crematoriums	Cremation Management Plan	Superseded	One year	Transfer to archive	Business requirement	Cremation (Scotland) Regulations 2019 SSI 2019 No 36 Regulation 2 and 4. Must be reviewed every

6	<b>CEMETERIES &amp; CREMATORIA</b>						
06.001.011	Cremation register	Register content as set out in schedules 9, 10 and 11 of the Burial and Cremation (Scotland) Act 2016.	Review	Permanent	Transfer to archive	Business requirement	Burial and Cremation Scotland Act 2016 Section 57 – 5 See also Cremation (Scotland) Regulations 2019 SSI 2019 No 36
<b>6.002</b>	<b>Maintenance of burial grounds</b>						
06.002.001	Planned Maintenance	Program of maintenance to cemeteries and crematoria over the next maintenance period.	End of current year.	5 years	Destroy	Business requirement	Covered by Land Management RRS.
06.002.002	Redundant Churchyards	Documentation relating to disused churchyards, specifically their upkeep.	End of current year.	5 years	Destroy/ Review for Archival preservatio	Business requirement	Covered by Land Management RRS.
06.002.003	Responsive Maintenance	Emergency or unplanned maintenance to cemeteries and crematoria. For example, documenting the maintenance of a memorial headstone	End of current year	5 years	Destroy	Business requirement	Covered by Land Management RRS. Prescription and Limitation Act (Scotland) Act

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
6	<b>CEMETERIES &amp; CREMATORIA</b>							
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies							
N/A	invoicing, budgeting etc..	See Schedule 12: Finance						
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
N/A	management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
N/A	strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
N/A	Tendering and contracts management	See Schedule 22: Procurement						
6.001	<b>Burial identity and location</b>							
06.001.001	Registration	Cemetery and crematoria plans, burial plot layout,	Date superseded.	Retain copy of each superseded layout in the Archives	Transfer to archive	Business requirement		Amended retention period from Permanent 2014-07

6	CEMETERIES & CREMATORIA							
06.001.002	Summary management systems registration	Burial - Register and plan of plot ownership and occupation. . Commemoration Register and plan of headstones/shrubs and ownership of burial plots in a cemetery, for example, lair purchases (registers and plans), interment registers.	Date superseded.	Retain copy of each superseded layout in the Archives	Transfer to archive.	Business requirement		Amended retention period from Permanent 2014-07. Removed reference to cremations 2019-06. See 06.001.011
06.001.003	Bookings	Applications (interment or monument erection) (See 6.001.009 for cremation applications)	End of current year.	15 years	Destroy	Statutory		Removed cremation applications and citation 2019-06
06.001.004	Exhumations	Exhumation orders (documentation regarding the process of regulation of exhumation).	Date superseded.	<b>Permanent</b>	Retain	Business requirement		
06.001.005	Interment Service	Regulation of burials and cremations	End of current year.	15 years	Destroy	Statutory	Cremation s (Scotland) Regulation s 1935 Reg 19	Removed option of 10 years from retention period. Added note. Amended Authority to Statutory. 2014-07

6	CEMETERIES & CREMATORIA							
06.001.006	Interment Service	Records documenting the organisation of a burial or cremation of a deceased person, where the Council has a statutory duty to do so.	End of current year.	5 years	Destroy	Business requirement	National Assistance Act 1948 s 50	Added citation 2014-07
06.001.007	Licensing	Permits (for headstones, cemeteries and crematoria)	End of current year.	20 years	Destroy	Business requirement		
06.001.008	Memorial management	Records relating to the ordering [maintenance and repair] of a memorial. (E.g. war memorial).	End of current year.	Permanent	Transfer to archive	Business requirement		Amended disposal action from Retain. 2014-07
06.001.009	Cremation application form	Cremation application form and accompanying documentation and certificates	Date of cremation	50 years	Destroy	Statutory	Cremation (Scotland) Regulations 2019 SSI 2019 No 36 Regulation s 3 and 8	Added record series 2019-06

6	<b>CEMETERIES &amp; CREMATORIA</b>							
06.001.010	Management of crematoriums	Cremation Management Plan	Superseded	One year	Transfer to archive	Business requirement	Cremation (Scotland) Regulations 2019 SSI 2019 No 36 Regulation 2 and 4. Must be reviewed every 12 months	Added record series 2019-06
06.001.011	Cremation register	Register content as set out in schedules 9, 10 and 11 of the Burial and Cremation (Scotland) Act 2016.	Review	Permanent	Transfer to archive	Business requirement	Burial and Cremation Scotland Act 2016 Section 57 – 5 See also Cremation (Scotland) Regulations 2019 SSI 2019 No 36 Regulation 15	Added record series 2019-06
6.002	<b>Maintenance of burial grounds</b>							

6	CEMETERIES & CREMATORIA							
06.002.001	Planned Maintenance	Program of maintenance to cemeteries and crematoria over the next maintenance period.	End of current year.	5 years	Destroy	Business requirement	Covered by Land Management RRS.	
06.002.002	Redundant Churchyards	Documentation relating to disused churchyards, specifically their upkeep.	End of current year.	5 years	Destroy/ Review for Archival preservation	Business requirement	Covered by Land Management RRS.	Amended trigger. 2014-07
06.002.003	Responsive Maintenance	Emergency or unplanned maintenance to cemeteries and crematoria. For example, documenting the maintenance of a memorial headstone	End of current year	5 years	Destroy	Business requirement	Covered by Land Management RRS. Prescription and Limitation Act (Scotland) Act 1973	Amended trigger from Datae Headstone Removed. Added P&L note. 2014-07

Revision No.	Author	Role	Completed	Description
0-1	Heather Jack	Author	12/03/2010	Initial version
0-2FW	Frances Woodrow	Peer reviewer	18/03/2010	Comments added
0-2JM	Janice Miller	Peer reviewer	20/03/2010	Comments added
0-2CJ	Claire Johnson	QA reviewer		initial QA review
0-3	Heather Jack	Author	12/04/2010	Updated to reflect review feedback
Beta 1	Heather Jack	Author	08/06/2010	Approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11-Aug-14	Amendments as described in the Edit History Column of the RRS



REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>07</b>	<b>CRIMINAL JUSTICE</b>			
<b>07.001</b>	Supporting offenders - case management	The activities involved in managing individual cases of service users who are subject to Community Service Orders, Diversion from Prosecution, Fine Supervision Orders, Probation Orders, Supervised Attendance Orders and/or receive Throughcare services		209 - Social services - needs assessment 1091 - Social services - bail accommodation 1092 - Social services - bail information 1093 - Social services - bail supervision 1096 - Social services - Community Reparation Orders 1097 - Social services - community service orders 1099 - Social services - diversion from prosecution scheme 1100 - Social services - drug treatment and testing orders 1103 - Social services - parole reports 1104 - Social services - probation orders 1105 - Social services - Social Enquiry Reports 1106 - Social services - supervising attendance orders 1107 - Social services - throughcare
<b>07.002</b>	Community Supervision Programme Management	The activities involved in managing the provision of social work services to offenders who are subject to community supervision.  Activities include: establishing and managing community work schemes and activities; developing probation programmes.		1096 - Social services - Community Reparation Orders 1097 - Social services - community service orders

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>07</b>	<b>CRIMINAL JUSTICE</b>			
<b>07.003</b>	Court Social Work Service Management	<p>The activities involved in providing social work services to courts.</p> <p>Activities include: providing written and verbal reports to courts; monitoring reports submitted to courts; conducting post-sentence interviews; liaising with courts; providing Social Enquiry Reports on offenders; providing Means Enquiry Reports on offenders.</p>		<p>1102 - Social services - Means Enquiry Reports</p> <p>1105 - Social services - Social Enquiry Reports</p>

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>7</b>	<b>CRIMINAL JUSTICE</b>							
<b>7.001</b>	<b>Supporting offenders</b>							
<b>07.001.001</b>	Case file - Community Service Order where offender is over 21 years old		1. Completion of order 2. Death of offender	1. 5 years  2. 3 years	Destroy	Business requirement	See - Rehabilitation of Offenders Act 1974 as amended by Legal Aid, Sentencing and Punishment of Offenders Act 2012. Part 3 Chapter 8	Added citation 2014-07
<b>07.001.002</b>	Case file - Community Service Order/Community Payback Order where offender is 16 - 21 years old		Completion of order	10 years	Destroy	Business requirement	Excluding: Schedule 1/Circular 11/Sex Offenders – Sexual Offences (Scotland) Act, Criminal Procedure (Scotland) Act 1995 as amended by the Sexual Offences (Procedure and Evidence) (Scotland) Act 2002; and Circular SWSG 11/1994 – none of which contain retention periods Criminal Justice and Licensing (Scotland) Act 2010, s 14 regarding Community Payback Orders	Added reference to CPOs and citation 2014-07

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>7</b>	<b>CRIMINAL JUSTICE</b>							
<b>07.001.003</b>	Case file - Community Supervision Orders/Community Payback Order where offender is over 21 years old	Community Reparation Order (CRO), Supervised Attendance Order (SAO), Community Service (CS), Probation, Fine Supervision Order (FSO), Drug Treatment & Testing Order (DTTO), English Short-licence	1. Completion of order 2. Death of offender	1. 5 years  2. 3 years	Destroy	Business requirement	Criminal Justice and Licensing (Scotland) Act 2010, s 14 regarding Community Payback Orders	Added reference to CPOs and citation 2014-07
<b>07.001.004</b>	Case file - Community Supervision Orders/Community Payback Order where offender is 16 - 21 years old	including Community Reparation Order (CRO), Supervised Attendance Order (SAO), Community Service (CS), Probation, Fine Supervision Order (FSO), Drug Treatment & Testing Order (DTTO), English Short-licence	Completion of order	10 years	Destroy	Business requirement	Criminal Justice and Licensing (Scotland) Act 2010, s 14 regarding Community Payback Orders	Added reference to CPOs and citation 2014-07

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>7</b>	<b>CRIMINAL JUSTICE</b>							
<b>07.001.006</b>	Case file - Schedule 1/Circular 18/Sex offenders		Last action on case	100 years	Destroy	Business requirement	(People who have been convicted of an offence listed in the Sexual Offences (Scotland) Act, Criminal Procedure (Scotland) Act 1995 and Circular JD 18/2003 (amended 2005 and 2011) Sexual Offences Act 2003 (Remedial) (Scotland) Order 2011 Regulation 1	Added to citation 2014-07 Updated Series name and Citation from Circular 11 to Circular 18. 2017-06
							See also 88C of the Act. Interlocutor to be in writing. Date of discharge is – where the offender aged 18 or over on the relevant date, the date falling 15 years after that date. Where the offender was aged under 18 on the relevant date, the date falling 8 years after that date	

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>7</b>	<b>CRIMINAL JUSTICE</b>							
<b>07.001.007</b>	Records documenting the provision of support to the family of a prisoner.		Last action on case	3 years	Destroy	Business requirement		
<b>07.001.008</b>	Case file - Throughcare - home background reports and other pre-release work in relation to a prisoner, where no post-release social work involvement is required.		Last action on case	3 years	Destroy	Business requirement		
<b>07.001.009</b>	Case file - Throughcare: Supervised Attendance Order		Termination of order	5 years	Destroy	Business requirement		
<b>07.001.010</b>	Case file - Throughcare: Life Licence, Extended Sentence, Non-Parole Licence, Parole Licence		Prison release date or completion of license	50 years	Destroy	Business requirement		
<b>07.001.011</b>	Case file - Throughcare: Voluntary		Last action on case	3 years	Destroy	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>7</b>	<b>CRIMINAL JUSTICE</b>							
<b>07.001.012</b>	Case file - where service user found not guilty, not proven or who have had their appeal upheld, resulting in a conviction being overturned	Referral forms; Indictment(s) or Complaint(s); Case management system records; Letters of appointment; Correspondence pertaining to the case; SER; Associated reports;	Notification of Court Disposal	None	Review and destroy	Business requirement	Review contents of service users' files and remove all papers referring to this particular event.  The destruction of these documents should be immediate, and secure on notification of Court Disposal	
<b>7.002</b>	<b>Community Supervision Programme Management</b>							
	Keep in case file - see 07.01.03 and 07.01.04 above							
<b>7.003</b>	<b>Court Social Work Service Management</b>							
<b>07.003.001</b>	Records documenting the provision of social work services to a court.	Court reports, record of post-sentence interviews with offenders, records of liaison with court and sheriff	Date record approved	5 years	Review for ongoing value	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>7</b>	<b>CRIMINAL JUSTICE</b>							
<b>07.003.002</b>	Records documenting the provision of a Criminal Justice Social Work Report on an offender, where there is no further social work involvement.		Last action on case	3 years	Destroy	Business requirement	Updated record series title to CJSWR from reference to Social Enquiry Report (SER). 2017-06	
<b>07.003.003</b>	Records documenting the provision of a Means Enquiry Report for a court.		Last action on case	1 year	Destroy	Business requirement		



Revision No.	Author	Role	Completed	Description
0-1	Heather Jack	Author	09/03/2010	Initial version
0-2CG	Craig Geddes	Peer reviewer	26/03/2010	comments added
0-2CJ	Claire Johnson	QA reviewer	18/04/2010	initial QA review
0-3	Heather Jack	Author	13/05/2010	Update to reflect review feedback
Beta 1	Heather Jack	Author	22/06/2010	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11 August 2014	Amendments as described in Edit History column of RRS

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
08	DEMOCRACY	The function of managing democratic activities including elections, assembly and committee meetings	Governance; Corporate and democratic support; Council and Government; Democracy; Democratic processes	
08.001	Decision making	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions		0354 - Council - minutes, agendas and reports 1030 Members - minutes, agendas and reports 1027 Members - secretariat
08.002	Executive	The process of selection and appointment of individuals for statutory positions of the council.		
08.003	Governance	Constitutional arrangements for the governance of the Council		1291- Council - constitution
08.004	Honours and awards	The process of preparing of honours and awards submission		0690 - Business - council awards
08.005	Member support	The activities involved in regulating and supporting the work of council members	Councillor Administration; Elected members	0355 - Councillors - declaration of interest 0357 - Councillors - surgeries 0358 - Councillors - general information 997 Members - committee membership 998 Members - democratic services - advice 1025 Members - honours and awards 1026 Members - communications 1028 Members - allowances 1029 Members - induction and training 1031 Members - overview and scrutiny 1032 Members - political offices
08.006	Planning	The activities involved in strategic planning for Council		1024 Members - executive forward plan
08.007	Representation <b>(This section may be removed as Returning Officer is NOT part of the Council, so the information is technically not held.)</b>	The process of undertaking representation of the Council including electoral registration and activities undertaken in preparing for an election	Election conduct and registration; Preparing for elections; Election results; Electoral administration; Electoral processes	0361 - Elections - proxy votes 0362 - Elections - voting 0364 - Elections - electoral register 0365 - Elections - electoral nominations 0721 - Elections - results - publication 999 Members - elections - polling stations 1000 Members - elections - results 1013 - Elections - postal votes

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>8</b>	<b>DEMOCRACY</b>							
<b>8.001</b>	<b>Decision making</b>							
<b>08.001.001</b>	Council and committee meeting records including Scrutiny and Members Panels - major records	Agenda, signed minutes, major business papers & reports, proceedings	Date of meeting	6 years (available for inspection by public under 1973 Act)	Retain	Business requirement	Retain master record in Archives; copies should be destroyed Local Government (Scotland) Act 1973, s 50C Local Government (Access to Information) Act 1985	Added to note. Added 6 year retention under Act before permanent archival retention 2014-07.
<b>08.001.002</b>	Council and committee meeting records including Scrutiny and Members Panels - minor records	Meeting notices, administrative arrangements for meetings.	End of calendar year	None	Destroy	Business requirement		Added to description 2014-07.
<b>08.001.003</b>	Calendar of meetings of Council and Council committees		When superseded	None	Destroy	Business requirement		
<b>08.001.004</b>	External committees, partnerships and agencies meeting records where the Council does own the record	Documents establishing the committee, agenda, minutes, business papers & reports, meeting notice papers, proceedings		Permanent	Retain	Business requirement	Retain master record; copies should be destroyed	
<b>08.001.005</b>	External committees, partnerships and agencies meeting records where the Council does not own the record	Documents establishing the committee; Agendas; Minutes; Reports; Recommendations; Supporting documents such as briefing and discussion papers	Current	5 years	Destroy	Business requirement	Ensure that there is an authority copy appropriately retained elsewhere prior to disposal.	
<b>08.001.006</b>	Records of minute-taking	Shorthand notes, audio tapes, draft minutes	Date of confirmation of the minutes	None	Destroy	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>8</b>	<b>DEMOCRACY</b>							
<b>8.002</b>	<b>Executive</b>							
<b>08.002.01</b>	Records of statutory appointments	see Retention Schedule 15: Human Resources						
<b>8.003</b>	<b>Governance</b>							
<b>08.003.001</b>	Records documenting the Council's Scheme of Administration and Delegation to Committees			Permanent	Retain	Business requirement		
<b>08.003.002</b>	Records documenting the development of the Council's constitution and decision-making structures and procedures.			Permanent	Retain	Business requirement		
<b>8.004</b>	<b>Honours and awards</b>							
<b>08.004.001</b>	Records of Honours submissions	Honours nomination form, Covering documentation Letters of support Referral for comment from lord lieutenant.	Date of last action	5 years	Destroy	Business requirement		
<b>8.005</b>	<b>Member support</b>							
<b>08.005.001</b>	Records documenting Councillors' declarations of interests.	Member's register of interest	Date member leaves office	10 years	Review for archival value	Business requirement		
<b>08.005.002</b>	Councillors' Code of Conduct		After administrative use is concluded	6 years	Destroy	Business requirement		
<b>08.005.003</b>	Register of gifts and hospitality		Date member leaves office	10 years	Review for archival value	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>8</b>	<b>DEMOCRACY</b>							
<b>08.005.004</b>	Records documenting routine communications between Council officers and individual councillors (not service-related matters)		Last action	5 years	Review for archival value	Business requirement		
<b>08.005.005</b>	Standards - Findings of acceptance		Date member leaves office	2 years	Destroy	Business requirement		Added series 2014-07
<b>08.005.006</b>	Standards - Investigations		Date member leaves office	2 years	Destroy	Business requirement		Added series 2014-07
<b>08.005.007</b>	Leader of the Council	Correspondence (Internal and external)	Current year	3 years	Destroy	Business requirement		Added series 2014-07
<b>08.005.008</b>	Leader of the Council	Service files	Current year	3 years	Destroy	Business requirement		Added series 2014-07
<b>08.005.009</b>	Leader of the Opposition	Correspondence (Internal and external)	Current year	3 years	Destroy	Business requirement		Added series 2014-07
<b>08.005.010</b>	Leader of the Opposition;	Service files	Current year	3 years	Destroy	Business requirement		Added series 2014-07
<b>08.005.011</b>	Advice		Current year	2 years	Destroy	Business requirement		Added series 2014-07
<b>8.006</b>	<b>Planning</b>							
<b>08.006.001</b>	Forward Plan - CMT			Permanent	Retain	Business requirement		
<b>08.006.002</b>	Strategic Plan - management team minutes			Permanent	Retain	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>8</b>	<b>DEMOCRACY</b>							
<b>08.006.003</b>	Strategic Plan - Reviews		Date closed	5 years	Destroy	Business requirement		
<b>08.006.004</b>	Gaelic Language Plan (Approved)		Superseded	5 years	Consider for archival value	Business requirement	Gaelic Language (Scotland) Act 2005 asp 7 Section 3. Review at intervals of not later than 5 years Section 7 (2)	Added series 2014-07
<b>8.007</b>	<b>Representation</b>	<b>Note: Returning Officer is NOT part of the Council and representation is not a local authority function. However the function is normally administered within local authorities and the function is contained here for convenience.</b>						

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
8	DEMOCRACY							
08.007.001	Records documenting activities undertaken in preparing for a <b>Scottish parliamentary election</b>	Nomination Papers; Notices of Appointment; Notices of Candidature; Declarations of Results; Ballot papers; Declaration of Candidate Expenses; Returning Officer Correspondence	Date of election	1 year	Destroy	Statutory	<p>Scottish Parliament (Elections etc.) Order 2007. SI 2007 No 937 (S.3) Regulation 69</p> <p>Political Parties and Elections Act 2009 c. 12 Part 3 — Elections</p> <p>25 Disposal of election documents in Scotland In the 1983 Act— (b) in Schedule 1 (parliamentary elections rules), for rule 58 there is substituted— “58 (1) This rule modifies rules 55 to 57 in relation to elections in Scotland. (2) In relation to such elections— (a) the documents mentioned in rule 55(1)— (i) are not to be forwarded by the returning officer as required by that rule,</p>	Added to note. 2014-07

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
8	DEMOCRACY							
							(ii) instead, are to remain in the returning officer's custody (and be endorsed by the officer as required by that rule); (b) the references in rules 56 and 57 to the relevant registration officer are to be read as references to the returning officer (and rule 55(1A) is to be disregarded); (c) the reference in rule 57(1) to the documents to be retained is to be read as a reference to the documents remaining in the returning officer's custody under sub-paragraph (a)(ii)."	
08.007.002	Records documenting activities undertaken in preparing for a <b>local government election</b>	Nomination Papers; Notices of Appointment; Notices of Candidature; Declarations of Results; Declaration of Candidate Expenses; Returning Officer Correspondence	Date of election	1 year	Destroy	Statutory	The Scottish Local Government Elections Rules 2002. SSI 2002 No 457 Regulation 47	



Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>8</b>	<b>DEMOCRACY</b>							
<b>08.007.003</b>	Records documenting activities undertaken in preparing for a <b>UK parliamentary election</b>	Nomination Papers; Notices of Appointment; Notices of Candidature; Declarations of Results; Declaration of Candidate Expenses; Returning Officer Correspondence	Date of election	1 year	Destroy	Statutory	Political Parties and Elections Act 2009 (c. 12), Part3, para 25	
<b>08.007.004</b>	Records documenting activities undertaken in preparing for a <b>European parliamentary election</b>	Nomination Papers; Notices of Appointment; Notices of Candidature; Declarations of Results; Declaration of Candidate Expenses; Returning Officer Correspondence	Date of election	1 year	Destroy	Statutory	SI 2004 No. 293 Schedule 1 Rule 61 and Schedule 2 para. 52	
<b>08.007.005</b>	Formal record of election results			Permanent	Retain	Statutory		

Revision No.	Author	Role	Changes	Date
Beta 1	Heather Jack	Author	Formatted approved version for Beta 1 publication	09/06/2011
2_0	Frank Rankin, IG Scotland	Reviewer	Amendments to RRS as described in Edit History column. Added 09.007 to BCS	11 August 2014

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>09</b>	<b>ECONOMIC DEVELOPMENT</b>			
<b>09.001</b>	Business intelligence	Business listing; European development; marketing		Business - directories Community development - resource procurement - European and other funding Local economy - reports and forecasts
<b>09.002</b>	Promotion	The activities involved in providing advice, practical support and funding to businesses	business support and funding	Business - business plans - advice Business - co-operatives - development Grants - business Grants - business security Business - advice Business - council awards Business - exporters' forums Grants - community Grants - voluntary organisations
<b>09.003</b>	Regeneration	Community development; regional development; rural development;		Community planning - rural development Local economy - development
<b>09.004</b>	Sustainability	sustainable development		
<b>09.005</b>	Tourism	tourism development		Tourism - accommodation - information Tourism - local attractions - information
<b>09.006</b>	Training	workforce support		
<b>09.007</b>	Business Improvement Districts	The activities around the establishment and operation of BID's under the terms of the Business Improvement Districts (Scotland) Regulations 2007	BID's	

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>9</b>	<b>ECONOMIC DEVELOPMENT</b>							
<b>9.001</b>	<b>Business intelligence</b>							
<b>09.001.001</b>	Business directory		Date superseded	Until superseded	Destroy	Business requirement	Maintain current only and update as required	
<b>9.002</b>	<b>Promotion</b>							
<b>09.002.001</b>	Business community survey		Completion of survey	5 years	Review for ongoing value	Business requirement		
<b>09.002.002</b>	Business community consultation		Completion of consultation	5 years	Review for ongoing value	Business requirement		
<b>09.002.003</b>	Establishment and operation of business forum or networking group.	meeting minutes and papers, correspondence	Life of group	5 years	Review for ongoing value / Review for Archives	Business requirement		
<b>09.002.004</b>	Business development advice and assistance to a specific business.		Last contact with business	5 years	Review for ongoing value	Business requirement		
<b>09.002.005</b>	Application to Council for business loan or grant - application rejected		Last action on application	1 year	Destroy	Business requirement		
<b>09.002.006</b>	Application to Council for business loan or grant - application approved		Termination of loan agreement/Final payment of grant	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Added Final payment to Trigger 2014-06
<b>9.003</b>	<b>Regeneration</b>							
<b>09.003.001</b>	Area and priority regeneration strategies	Rural strategy, urban strategy, community planning strategy, town planning - final approved plans	Until superceded	10 years	Review for historical value	Business requirement	Consider transferring one copy of key plans to archive	
<b>09.003.002</b>	Implementation of Area and priority regeneration strategies		Completion of implementation	10 years	Review for historical value	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>9</b>	<b>ECONOMIC DEVELOPMENT</b>							
<b>09.003.003</b>	Records documenting the development, progress and outcomes of a regeneration project.		Completion of project	10 years	Review for historical value	Business requirement		
<b>09.003.004</b>	Direct support given to social enterprise/economic regeneration organisations.		Last contact with organisation	5 years	Review for business value	Business requirement		
<b>09.003.005</b>	Participation in a lobbying group to represent Council geographic area in economic development planning at regional, national and European level.		Current	10 years	Review for business and historical value	Business requirement		
<b>09.003.006</b>	Direct support given to an inward investment project.		Current year	10 years	Review for business and historical value	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>9</b>	<b>ECONOMIC DEVELOPMENT</b>							
<b>09.003.007</b>	Regeneration funding	Records documenting advice given to an organisation/individual about sources of funding for an economic development project, and assistance given to obtain funding.	Last action with organisation	5 years	Review for business value	Business requirement	All project documentation relating to European programmes should be kept until otherwise instructed by the European Secretariat. Each programme is required to keep all project documentation for three years after the European Commission has made their final payment to the UK. It is also required to keep some documentation for a longer period. The European Secretariat will send out further instructions telling saying when it is safe to destroy records for past programmes.	European funding note added 2014-06
<b>09.003.008</b>	Regeneration funding - application processing - application rejected, withdrawn or did not progress beyond Expression of Interest	application reviews, provision of advice	Last action on case	1 year	Destroy	Business requirement		
<b>09.003.009</b>	Regeneration funding - application processing - approved	Records documenting the processing of an application for funding, where the application was approved.	Termination of funding agreement	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Authority amended to Business Requirement. P&L Act moved to notes. 2014-06
<b>9.004</b>	<b>Sustainability</b>							

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>9</b>	<b>ECONOMIC DEVELOPMENT</b>							
<b>09.004.001</b>	Sustainable development projects		Date of last action	10 years	Review for historical value.	Business requirement		
<b>9.005</b>	<b>Tourism</b>							
<b>09.005.001</b>	Tourism development strategy		Superseded	10 years	Review historical value	Business requirement		
<b>09.005.002</b>	Council initiatives to promote and develop tourism	records of planning, progress and outcomes	Completion	5 years	Review for business value	Business requirement		
<b>09.005.003</b>	Council funding and financial support for a tourism project where the Council is not a project partner.		Termination of funding agreement	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Authority amended to Business Requirement. P&L Act moved to notes. 2014-06
<b>09.005.004</b>	Records documenting the development, progress and outcomes of a project to increase and enhance facilities and services for tourists, where the Council is a project partner.		Date of completion of project	5 years	Review for business and historical value	Business requirement		
<b>09.005.005</b>	Records documenting the provision of non-financial support to a project to develop or sustain facilities or services for tourists, where the Council is not a project partner.		Last action	5 years	Destroy	Business requirement		

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>9</b>	<b>ECONOMIC DEVELOPMENT</b>							
<b>09.005.006</b>	Records documenting the provision of financial support to a project to develop or sustain facilities or services for tourists, where the Council is not a project partner.		Termination of funding agreement	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act; 1973 c.52	Authority amended to Business Requirement. P&L Act moved to notes. 2014-06
<b>9.006</b>	<b>Training - Information on training to support economic growth.</b>							
	See Schedule 15: Human Resources							
<b>9.007</b>	<b>Business Improvement Districts</b>							Function added 2014-06
	<b>Records of the establishment and operation of a Business Improvement District</b>							
<b>9.007.001</b>	Request for information for the purpose of developing a BID proposal		Date of request	5 years	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. SSI 2007 No 202 Regulation 2 To be in writing May be electronic (Regulation 21)	Series added 2014-06
<b>9.007.002</b>	Notice of a BID proposal		Date of Notice	5 years	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. SSI 2007 No 202 Regulation 4 To be in writing	Series added 2014-06



Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>9</b>	<b>ECONOMIC DEVELOPMENT</b>							
<b>9.007.003</b>	Notice requesting a BID ballot		Date of notice	5 years	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. SSI 2007 No 202. Regulation 5. To be in writing	Series added 2014-06
<b>9.007.004</b>	Information for the purpose of canvassing		Date of request	5 years	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. SSI 2007 No 202. Regulation 13 (1)	Series added 2014-06
<b>9.007.005</b>	Request for information in data form		Date of request	5 years	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. SSI 2007 No 202 Regulation 13 (2) (3). To be in writing	Series added 2014-06
<b>9.007.006</b>	Appeal against a Veto		Date of appeal	5 years	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. SSI 2007 No 202. Regulation 15. To be in writing	Series added 2014-06
<b>9.007.007</b>	Bid revenue account		Closure of account	5 years	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. SSI 2007 No 202. Regulation 16	Series added 2014-06
<b>9.007.008</b>	Notice of alteration of BID arrangements without an alteration ballot		Date of notice	5 years	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. SSI 2007 No 202 Regulation 17 To be in writing	Series added 2014-06

Ref.	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>9</b>	<b>ECONOMIC DEVELOPMENT</b>							
<b>9.007.009</b>	Termination of BID arrangements		Termination	5 years	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. SSI 2007 No 202. Regulation 19. To be in writing	Series added 2014-06
<b>9.007.010</b>	Ballot administration	Ballot papers Proxy appointment Declaration of result	Date of ballot	6 months	Destroy	Business requirement	Business Improvement Districts (Scotland) Regulations 2007. To be In writing SSI 2007 No 202 Schedule 1 - 19	Series added 2014-06

Revision No.	Author	Role	Completed	Description
0-1	Claire Johnson	Author	09/03/2010	Initial version
0-2SS	Sandra Scott	Peer Reviewer	15/03/2010	
0-2ER	Eleanor Rowe	Peer Reviewer	09/04/2010	
0-2RC	Rachael Cowin	Peer Reviewer	21/03/2010	
0-2HJ	Heather Jack	Peer Reviewer		
0-3	Claire Johnson	Author	08/04/2010	
0-3a	Claire Johnson	Author	10/04/2010	Update to reflect review feedback
1-0	Claire Johnson	Author		Approved version for publication
2_0	Frank Rankin, IG Scotland	Reviewer	11 August 2014	Amendments as described in Edit History column of RRS.

REF	FUNCTION / ACTIVITY	ALTERNATIVE TERMS	SCOPE NOTES	SCOTTISH SERVICES LIST MAPPING
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>	<b>Education; Education Service; Education Services; Education and Learning</b>	<b>The provision of education and learning services.</b>	
<b>10.001</b>	Access and Inclusion		Activities relating to educational access and inclusion	8 Education - special educational needs - co-ordinated support plan 9 Education - additional support needs - assessment 40 Education - special educational needs - transport
<b>10.002</b>	Admissions and exclusions	Administration; Admission Policy; Admission/Enrolment	The process of managing pupil admission, transfer and exclusion policies, case files and decisions.	
<b>10.003</b>	Advice		The activity of providing advice and information including application forms for Educational services	
<b>10.004</b>	Arts services		The activity providing the delivery of education in the arts	
<b>10.005</b>	Curriculum development	Development Plans; Teachers & Subjects	The process of documenting the development and implementation of curricula.	
<b>10.006</b>	Education welfare	Incident reports (violence/racist etc); Social Inclusion Strategy; Physical Intervention	The process of managing welfare requirements. Policy documents and individual pupil incidents or requirements. additional support needs within school and pre-school. Includes the development of Individualised Educational Programmes (IEP) and Co-ordinated Support Plans (CSP).	
<b>10.007</b>	Employment skills	Work experience;	The provision of job and workforce skills.	
<b>10.008</b>	Life long learning		The process of implementing Lifelong Learning Programme (LLP) education and training for adults, from first steps back into learning to professionals updating their skills.	
<b>10.009</b>	Management of schools	Annual Departmental Review; Fees, claims and income; Finance; Home Education; School Boards	The activity of developing education policy and guidelines for educational establishments.	1135 Education - transport for 16-19 year olds

REF	FUNCTION / ACTIVITY	ALTERNATIVE TERMS	SCOPE NOTES	SCOTTISH SERVICES LIST MAPPING
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>	<b>Education; Education Service; Education Services; Education and Learning</b>	<b>The provision of education and learning services.</b>	
<b>10.010</b>	Teaching	Staffing; Timetables; OSHL General; OSHL Reports	The activity relating to teaching staff and their development programmes.	
<b>All school records - retention period of year = school session (August to July)</b>				

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.001</b>	<b>Access and Inclusion -</b>							
<b>10.001.001</b>	Strategies and policies documenting the conditions of access to education services.	Accessibility strategy	Date superseded	Current	Retain permanently	Business requirement		
<b>10.001.002</b>	Records documenting the development and project management of access and inclusion related projects.	Project plans, project target and milestone reports.	Date closed	7 years	Destroy	Business requirement	May include "accessibility plans - schools" (as required by the Disability Discrimination Act)	
<b>10.001.003</b>	Inequalities of outcome	Annual plan for reducing inequalities of outcome, complying with National Improvement Framework etc.	Superseded	Permanent - Archival value	Retain	Business requirement	Education (Scotland) Act 2016 2016 asp 8 S1- insertions 3F, 3H	Added 2016-06
<b>10.001.004</b>	Equal opportunities - annual statement	Annual statement and report	Superseded	Permanent - Archival value	Retain	Business requirement	Education (Scotland) Act 2016 2016 asp 8. Section 1- insertion 3I	Added 2016-06
<b>10.001.005</b>	Promotion of health – annual statement	Annual statement and report	Superseded	Permanent - Archival value	Retain	Business requirement	Education (Scotland) Act 2016 Section 5	Added 2016-06
<b>10.001.006</b>	Parental involvement – annual report	Annual report	Superseded	Permanent - Archival value	Retain	Business requirement	Education (Scotland) Act 2016 Section 6	Added 2016-06
<b>10.001.007</b>	Gaelic medium primary education (GMPE) assessments	Assessments	Superseded	Permanent - Archival value	Retain	Business requirement	Education (Scotland) Act 2016 Sections 9, 11	Added 2016-06
<b>10.002</b>	<b>Admissions and exclusions</b>							

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
10	EDUCATION & SKILLS							
							<b>NOTE July 2014</b> - The Archivists in Scottish Local Authorities Working Group is developing an approach to perserving historical records generated by the SEEMIS education management system.	Added note 2014-07
10.002.001	Admission and enrolment registers		Date of last entry	Retain permanently	Retain	Business requirement	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. These records are closed to public access for 100 years following decision of the UK Information Commissioner. Archival retention under the s33 historical and research exemption under the Data Protection Act 1998.	Amended closure period from 30 years to 100 years, Oct 2015

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.002.002</b>	Admission appeals		Date of decision	7 years	Destroy	Business requirement		
<b>10.002.003</b>	Admissions forms		Current school year	1 year	Destroy	Business requirement	May be in the form of registers.	
<b>10.002.004</b>	Admissions policies		Current school year	1 year	Destroy	Business requirement		
<b>10.002.005</b>	Alternative provision forms		Current school year	1 year	Destroy	Business requirement		
<b>10.002.006</b>	Assisted Support for Learning - LAAC (Looked After and Accommodated Children)	Case records	Date of birth	100 years.  Or if the child dies before attaining the age of 18 years, then for a period 25 years beginning with the date of death	Destroy	Statutory	Looked After Children (Scotland) Regulations 2009. SSI 2009 No 210 Reg 43.  Also see Education (Additional Support for Learning) Scotland Act 2004	
<b>10.002.007</b>	Attendance records		Current school year	4 years	Destroy	Business requirement		Removed citation reference to Education and Inspections Act 2006 and amended authority from "Statutory". 2014-07
<b>10.002.008</b>	Exclusion records		once superseded.	7 years	Destroy	Business requirement		Removed citation reference to Education and Inspections Act 2006 and amended authority from "Statutory". 2014-07



Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.002.009</b>	Individual Education Plan (IEP) - formerly known as Record of Needs		Date of leaving school education	5 years	Destroy	Statutory	The Pupils Education records (Scotland) Regulations 2003 SSI 2003 No 581 Regulation 4. May also be know as "Special Educational Needs files, reviews and IEPs".	Amended retention from DOB + 25 years 2014-07.
<b>10.002.010</b>	Integrated Children Services - Pupil Records		Date of leaving school education	5 years	Destroy	Statutory	The Pupils Education records (Scotland) Regulations 2003 SSI 2003 No 581 Regulation 4. This record is part of "Get it right for every child" (GIRFEC) process.	Amended retention from DOB + 25 years 2014-07.
<b>10.002.011</b>	Leavers survey		Date of last entry	4 years	Destroy	Business requirement		
<b>10.002.012</b>	Placing request appeals / applications		Review and update as required	3 years	Destroy	Business requirement		
<b>10.002.013</b>	Placing request guidelines		Review and update as required	Retain permanently	Retain	Business requirement	Consider historical value.	
<b>10.002.014</b>	Pupil Progress Report (PPR) - personal pupil record		Termination or leaving date	5 years	Destroy	Statutory	Schools General (Scotland) Regulations 1975 SI 1135/176 reg 10(2) - pupil progress record; retention of pupil records is governed by the The Pupils' Educational Records (Scotland) Regulations 2003 SSI 2003/581, reg 4	
<b>10.002.015</b>	Referrals - new referrals for admission		Date of last entry	4 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.002.016</b>	School directory		Date superseded	Until superseded	Destroy	Business requirement	Maintain current only, and update as required	
<b>10.002.017</b>	School Rolls		Review and update as required	6 years	Destroy	Business requirement		
<b>10.002.018</b>	Waiting lists for places		Date of last action	3 years	Destroy	Business requirement		
<b>10.003</b>	<b>Advice</b>							
<b>10.003.001</b>	Generic information about Education and Skills provision in SLAs	Circulars	Date superseded	2 years	Destroy	Business requirement	Keep one set as master copy at HQ	
<b>10.004</b>	<b>Arts Services</b>							
<b>10.004.001</b>	Records documenting the operation of field centres to deliver arts education	Programme information, calendars, bookings	Date of last action	7 years	Destroy	Business requirement		
<b>10.004.002</b>	Records documenting music services - tuition provided within schools or music centres		Date of last action	7 years	Destroy	Business requirement		
<b>10.004.003</b>	Records of performances - arts services	Orders and bookings - arts performances	Date of last action	2 years	Destroy	Business requirement		Note removed 2014-07
<b>10.004.004</b>		Performance licences	Date of last action or when student reaches 25 years (whichever is later)	2 years	Destroy	Business requirement		
<b>10.005</b>	<b>Curriculum Development</b>							
<b>10.005.001</b>	Records documenting curriculum development or effect of changes.	5–14 Attainment Results	Current school year	5 years	Destroy	Business requirement		
<b>10.005.002</b>		5-14 Summary Results	Current		Destroy	Business requirement		
<b>10.005.003</b>		Curriculum Monitoring and Assessment Reports	Current school year	6 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.005.004</b>		Curriculum Support Guidelines	Current school year	5 years	Destroy	Business requirements		
<b>10.005.005</b>		Course Materials	Current	Current	Destroy	Business requirement		
<b>10.005.006</b>		International projects	Date of last action	7 years	Destroy	Business requirement		
<b>10.005.007</b>		Out of schools projects	Date of last action	7 years	Destroy	Business requirement		
<b>10.005.008</b>		Outdoor education	Date of last action	7 years	Destroy	Business requirement		
<b>10.005.009</b>		Schools curriculum	Date of last action	7 years	Destroy	Business requirement		
<b>10.005.010</b>		SQA School - Level Summary Results	Current school year	Retain permanently	Permanent	Business requirement	SQA retain results permanently. Results of national examinations taken before 1965 are held by the National Archives of Scotland.	
<b>10.006</b>	<b>Education welfare</b>							
<b>10.006.001</b>	Individual records of pupil welfare needs	Absence Reporting covering Attendance and Truancy incidents)	Date of last action ALTERNATIVE Current school year	2 years ALTERNATIVE Current year + 6 years	Destroy	Statutory	Standards in Scotland's Schools etc. Act 2000 asp 6	
<b>10.006.002</b>		ASL (Additional Support for Learning) Transport Requests	Date of last action.	5 years	Destroy	Statutory	Child Protection Referrals	
<b>10.006.003</b>		Class lists	Date superseded	1 year	Destroy	Business requirement		
<b>SPECIAL NOTE</b>	As of October 2015 and until further notices, 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, particularly for records under 10.006.004;							Added Jan 2017. TO be removed on conclusion of Inquiry.

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.006.004</b>		Education Psychology Files	Date of last action or when student reaches 25 years (whichever is later)	Last action or on attaining 25th birthday.	Destroy	Statutory		
<b>10.006.005</b>		Exam Results	Date of last action	5 years	Destroy	Business requirement		
<b>10.006.006</b>		Guidance Records	Date of leaving school education	5 years	Destroy	Statutory	The Pupils Education Records (Scotland) Regulations 2003 SSI 2003 No 581 Regulation 4	Amended retention from DOB + 25 years 2014-07.
<b>10.006.007</b>		Pupil Records	Date of leaving school education	5 years	Destroy	Statutory	The Pupils Education Records (Scotland) Regulations 2003 SSI 2003 No 581 Regulation 4	Amended retention from DOB + 25 years 2014-07.
<b>10.006.008</b>		Report Cards	Date of leaving school education	5 years	Destroy	Statutory	The Pupils Education Records (Scotland) Regulations 2003 SSI 2003 No 581 Regulation 4	Amended retention from DOB + 25 years 2014-07.

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.006.009</b>		Additional Support Needs records - including Support Service (Psych / Hearing etc)	Date of leaving school education	5 years	Destroy	Statutory	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.	Amended records series from "Special Needs", added citations and amended retention from DOB + 25 years 2014-07.
<b>10.006.010</b>		Student welfare service	Date of leaving school education	5 years	Destroy	Statutory	The Pupils Education Records (Scotland) Regulations 2003 SSI 2003 No 581 Regulation 4	Amended retention from DOB + 25 years 2014-07.
10.006.011	Education Maintenance Allowance	Application and Learning Agreements	End of financial year in which application made	6 years	Destroy	Business requirement		Series added 2017-09
<b>10.007</b>	<b>Employment skills</b>							
<b>10.007.001</b>	Information about job skills or work experience opportunities.	Careers advice	Date superseded	Until superseded	Destroy	Business requirement		
<b>10.007.002</b>		Work experience placements	Date of last action	6 years	Destroy	Business requirement		
<b>10.007.003</b>		Workplace training	Date superseded	Until superseded	Destroy	Business requirement		
<b>10.008</b>	<b>Life long learning</b>							

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.008.001</b>	Records indicating participation in lifelong learning initiatives	Basic skills development targets and coursework	Date superseded	Until superseded	Destroy	Business requirement		
<b>10.008.002</b>		Course directory - Basic skills development	Date superseded	Until superseded	Destroy	Business requirement		
<b>10.009</b>	<b>Management of schools</b>							
<b>10.009.001</b>	Records for school management in a given school.	Accident reports visitors.	Current school year.	3 years	Destroy	Statutory	Social Security (Claims and Payments) Regulations 1979. SI 1979 No 628 Social Security (Claims and Payments) Regulations SI 1987 No 1968. (Revokes all but Part 1 of SI 1979 No 628) Social Security Administration Act 1992 Section 8. Social Security (Claims and Payments) Amendment (No 30) Regulations 1993 SI 1993 No 2113 Allows the information to be kept electronically Completed pages must be kept secure with restricted access. Data Protection Act 1998.	

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
10	EDUCATION & SKILLS							
10.009.003		Accident reports – staff	Current school year.	3 years	Destroy	Business requirement	Social Security (Claims and Payments) Regulations 1979. SI 1979 No 628 Social Security (Claims and Payments) Regulations SI 1987 No 1968. (Revokes all but Part 1 of SI 1979 No 628) Social Security Administration Act 1992 Section 8. Social Security (Claims and Payments) Amendment (No 30) Regulations 1993 SI 1993 No 2113 Allows the information to be kept electronically Completed pages must be kept secure with restricted access. Data Protection Act 1998.	Added reference, 2014-07

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.009.004</b>		Accident reports – children	Date of birth	25 years	Destroy	Business requirement	Social Security (Claims and Payments) Regulations 1979. SI 1979 No 628 Social Security (Claims and Payments) Regulations SI 1987 No 1968. (Revokes all but Part 1 of SI 1979 No 628) Social Security Administration Act 1992 Section 8. Social Security (Claims and Payments) Amendment (No 30) Regulations 1993 SI 1993 No 2113 Allows the information to be kept electronically Completed pages must be kept secure with restricted access. Data Protection Act 1998.	Added reference, 2014-07
<b>10.009.005</b>		Appointment files- Statutory appointments	Appointment	Permanent / Date of retirement + 25 years	Retain	Business requirement		Added reference, 2014-07
<b>10.009.006</b>		Disclosure Scotland records	Receipt of the statement from Disclosure Scotland	90 days	Destroy	Statutory	Code of Practice, issued by Scottish Ministers, Part V of the Police Act 1997.	Added reference, 2014-07
<b>10.009.007</b>		Education Committee minutes	Date closed	3 years	Destroy	Business requirement	Master copy set to be kept by LA Education Department	Added reference, 2014-07



Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
10	EDUCATION & SKILLS							
10.009.008		Emergency contacts	Date superseded	Until superseded	Destroy	Business requirement		Added reference, 2014-07
10.009.009		Emergency regulations	Date superseded	Until superseded	Destroy	Business requirement		Added reference, 2014-07
10.009.010		First aid book	Last entry	3 years	Destroy	Statutory	The wording in BI 510 [Accident books] Social Security (Claims and Payments) Regulations 1979. SI 1979 No 628 Social Security (Claims and Payments) Regulations SI 1987 No 1968. (Revokes all but Part 1 of SI 1979 No 628) Social Security Administration Act 1992 Section 8. Social Security (Claims and Payments) Amendment (No 30) Regulations 1993 SI 1993 No 2113 Allows the information to be kept electronically Completed pages must be kept secure with restricted access. Data Protection Act 1998.	Added reference, 2014-07
10.009.011		Handbook	Review and update as required	Retain permanently	Retain	Business requirement	Transfer one copy to archives for permanent retention	Added reference, 2014-07

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.009.012</b>		Health and nursing - pupil files					Covered by NHS patient record retention and Access to Health Records Act 1990 c23	Added reference, 2014-07
<b>10.009.013</b>		Identification and School Badges	Until superseded	1 year	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.014</b>		Inspections - HMI Reports		Retain permanently	Retain	Business requirement	Consider historical value.	Added reference, 2014-07
<b>10.009.015</b>		Interview notes	Date of filling the post	6 months	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.016</b>		Log Books of school events (school diary)	Date of last action	Retain permanently	Retain	Business requirement	Transfer to archives for permanent retention.	Added reference, 2014-07
<b>10.009.017</b>		Parental consent forms	Date superseded	Until superseded	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.018</b>		Performance - School files	Date of last action	7 years	Review	Business requirement	Consider historical value.	Added reference, 2014-07
<b>10.009.019</b>		Photographs (by class and year)	After photograph is taken	18 months ALTERNATIVE 5 years.	Review	Business requirement	Consider retaining one copy for the archives for historical value.	Added reference, 2014-07
<b>10.009.020</b>		Plans and policies - School files	Date superseded	3 years	Destroy	Business requirement	Consider historical value.	Added reference, 2014-07
<b>10.009.021</b>		Prize giving	10 years after last action or 10 years after last action when student reaches 25 years of age (whichever is later)	10 years or until pupil reaches 25 years of age	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.022</b>		Public Private Partnership (PPP)	Date of last action	20 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973	Added reference, 2014-07

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.009.023</b>		Pupil Transport Request Forms	Current school year	1 year	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.024</b>		Risk assessments	Date assessment superseded or risk ceases	3 years	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.025</b>		Sacramental Records	10 years after last action or when student reaches 25 years of age (whichever is later)	10 years or until pupil reaches 25 years of age	Destroy	Business requirement	Created for RC pupils. Consider retaining as per pupil record.	Added reference, 2014-07
<b>10.009.026</b>		School Catering - Dinner registers	Date of last action	7 years ALTERNATIVE 3 years	Destroy	Business requirement	Internal Audit	Added reference, 2014-07
<b>10.009.027</b>		School Crests	Review and update as required	Retain permanently	Retain	Business requirement	Consider historical value.	Added reference, 2014-07
<b>10.009.028</b>		School Transport Contracts	End of contract	7 years	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.029</b>		School Transport Eligibility	Date superseded	3 years	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.030</b>		School Transport Policy	Date superseded	5 years	Destroy/ Review for archival value	Business requirement		Amended retention from Permanent/Retain 2014-07. Added reference, 2014-07
<b>10.009.031</b>		Vehicle Hire Request Forms	Date of hire or if contract – end of contract	5 years	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.100</b>	Records of individual members of staff	Personnel files (staff not working with children)	Leaving date.	6 years	Destroy	Business requirement		Amended reference from 10.009.002, 2014-07
<b>10.009.101</b>		Personnel files (staff working with children)	Leaving date.	25 years	Destroy	Business requirement		Added reference, 2014-07
<b>10.009.102</b>		Recruitment forms	Date of filling the post	6 months	Destroy	Statutory	For successful candidate, add to personnel file	Added reference, 2014-07

Reference	Activity / Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>10</b>	<b>EDUCATION &amp; SKILLS</b>							
<b>10.009.103</b>		Statutory appointments - Vacancy files (job role etc.)	Appointment date	2 years	Destroy	Statutory		Added reference, 2014-07
<b>10.009.104</b>		Staff development, appraisal and review	Once superseded.	3 years	Destroy	Business requirement		Added reference, 2014-07
<b>10.01</b>	<b>Teaching</b>							
<b>10.010.001</b>	General documentation relating to teaching staff and their development.	Teacher development plans - support for education and learning.	Date of last action	2 years	Destroy	Business requirement	Also known as: "Professional development plans" or "Annual appraisal records - school personnel"	Removed "Alternativ+118e - 6 years" from retention 2014-07.
<b>10.010.003</b>		Mentoring - provision of learning mentors	Date of last action	2 years	Destroy	Business requirement		Added reference, 2014-07
<b>10.010.004</b>		Staff meeting minutes	Date of last action	4 years	Destroy	Business requirement	Consider historical value.	Added reference, 2014-07
<b>10.010.005</b>		SQH Meetings	Date of last action	4 years	Destroy	Business requirement		Added reference, 2014-07
<b>10.010.002</b>	Individual records of teacher performance	Reports on temporary teachers	Date of last action	10 years	Destroy	Statutory		Removed citation to SSI 2000 No. 292. Not relevant.

Revision No.	Author	Role	Completed	Description
Beta 1	Claire Johnson	Author	08/06/2011	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11 August 2014	Amendments to RRS as described in the Edit History column

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>11</b>	<b>ENVIROMENTAL PROTECTION</b>		Environmental services. Environmental protection and monitoring services. Environment management. Land use and development.	596 - Environmental services - ecology and geology
<b>11.001</b>	Advice and Audit	Documentation relating to advice given.		595 - Environmental services - geotechnonology
<b>11.002</b>	Conservation	Information about conservation.		1051 - Environmental services - private water supply analysis
<b>11.003</b>	Monitoring and Investigation	Information on environmental monitoring.		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
11	ENVIRONMENTAL PROTECTION							
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to							
N/A	invoicing, budgeting etc..	See Schedule 12: Finance						
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
N/A	management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
N/A	strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
N/A	Tendering and contracts management	See Schedule 22: Procurement						
11.001	<b>Advice and Audit</b>							
11.001.001	Biodiversity	Leaflets, guidance	Date superseded.	1 year	Review for historical value.	Business requirement.		
11.001.002	Campaigns		Date campaign ended.	1 year	Review for historical value.	Business requirement.		
11.001.003	Environmental audit, and action taken to deal with matters raised.	Audit report and recommendations	Date audit completed.	3 years	Destroy	Business requirement.		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>11</b>	<b>ENVIRONMENTAL PROTECTION</b>							
<b>11.001.004</b>	Records documenting the conduct and results of formal reviews of the Council's use and consumption of energy, and action taken to address issues raised.		Date review completed	5 years	Destroy	Business requirement.		
<b>11.002</b>	<b>Conservation</b>							
<b>11.002.001</b>	Archaeological services		Date closed	5 years	Review for historical value.	Business requirement.		
<b>11.002.002</b>	Countryside conservation		Date closed	5 years	Review for historical value.	Business requirement.		
<b>11.002.003</b>	Forest management		Date closed	5 years	Review for historical value.	Business requirement.		
<b>11.002.004</b>	Heritage conservation		Date closed	5 years	Review for historical value.	Business requirement.		
<b>11.002.005</b>	Nature conservation		Date closed	5 years	Review for historical value.	Business requirement.		
<b>11.002.006</b>	Urban conservation		Date closed	5 years	Review for historical value.	Business requirement.		
<b>11.002.007</b>	Woodland management		Date closed.	5 years	Review for historical value.	Business requirement.		
<b>11.003</b>	<b>Monitoring and Investigation</b>							



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>11</b>	<b>ENVIRONMENTAL PROTECTION</b>							
<b>11.003.001</b>	Coastal erosion		Date closed.	5 years	Retain for historical value.	Business requirement.	Records documenting the establishment, progress and outcomes of a project to develop coastal protection infrastructure.	
<b>11.003.002</b>	Energy use and consumption.	Routine monitoring	End of current year	5 years	Destroy	Business requirement.		
<b>11.003.003</b>	Environmental impact assessment		Date superseded.	1 year	Review for historical value.	Business requirement.		
<b>11.003.004</b>	Environmental incidents on the institution's premises or caused by its operations.	Environmental incident report.	Date investigation completed.	40 years (See note for exception)	Destroy	Business requirement.	Where Radiation is involved: Until the person to which it relates has or would have reached 75 but for at least 50 years from date made.	Added note re radiation: 2014-07
<b>11.003.005</b>	Environmental risk identification of, or caused by, the Council's premises or operations, and the conduct of a risk assessment.		Superseded	3 years	Destroy	Business requirement.	Review every 3 years or whenever significant change	Amended trigger from "Date audit completed". Added note 2014-06
<b>11.003.006</b>	Environmentally sensitive areas		Date superseded.		Retain for historical value.	Business requirement.		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
11	ENVIRONMENTAL PROTECTION							
							For series 11.003.007 to 11.003.010, where relevant see also Flood Risk Management (Flood Protection Schemes, potentially Vulnerable Areas and Local Plan Districts) (Scotland) Amendment Regulations 2017; SSI 2017 No 112 regs 2, 4, 5 and where relevant Marine Works (Environmental Impact Assessment) (Scotland) Regulations 2017 SSI No 115 Regulations 6 and 7	Note added 2017-09
11.003.007	Environmental impact assessment - report	Environmental statement		While relevant	Destroy	Business requirement.	Environmental Impact Assessment (Scotland) Regulations 2017 SSI 2017 No 102 Regulations 4,5.	Series added: 2014-07. Citation updated 2017-06
11.003.008	Environmental impact assessment -	Screening opinion		While relevant	Destroy	Business requirement.	Environmental Impact Assessment (Scotland) Regulations 2017 SSI 2017 No 102 Regulation 6.	Series added: 2014-07. Citation updated 2017-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>11</b>	<b>ENVIRONMENTAL PROTECTION</b>							
<b>11.003.009</b>	Environmental impact assessment -	Request for a Screening Opinion		While relevant	Destroy	Business requirement.	Environmental Impact Assessment (Scotland) Regulations 2017 SSI 2017 No 102 Regulation 8	Series added: 2014-07. Citation updated 2017-06
<b>11.003.010</b>	Environmental impact assessment	Scoping Opinion		While relevant	Destroy	Business requirement.	Environmental Impact Assessment (Scotland) Regulations 2017 SSI 2017 No 102 Regulation 17 (12)	Series added: 2014-07. Citation updated 2017-06
<b>11.003.011</b>	Environmental impact assessment	Adopted Screening or Scoping opinion plus requests received under Regulation 10 (1) or 11 (2), directions etc. To be available for inspection.	Received	2 years	Destroy	Statutory	Environmental Impact Assessment (Scotland) Regulations 2017 SSI 2017 No 102 Regulation 28 (4)	Series added: 2014-07. Citation updated 2017-06. Expanded description.
<b>11.003.012</b>	Environmental impact assessment	Regulation 30 notice Direction under 31(d) Statements and all further information received under Regulation 35	To remain available for two years or until they are entered into Part II of the Register	2 years or until entered into Part II of the Register		Statutory	Environmental Impact Assessment (Scotland) Regulations 1999. SI 1999 No 1. Regulation 38	Series added: 2014-07
<b>11.003.013</b>	Environmental impact assessment	ROMP application	Date of Application	10 years	Destroy	Business requirement.	Environmental Impact Assessment (Scotland) Regulations 2017 SSI 2017 No 102 Regulation 39 (6) <i>To be available for 2 years</i>	Series added: 2014-07. Citation updated 2017-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>11</b>	<b>ENVIRONMENTAL PROTECTION</b>							
<b>11.003.014</b>	Environmental impact assessment - agriculture	Applications, Notices, notifications, representations, requests, approvals and agreements	Date of notice	5 years	Destroy	Statutory	Environmental impact Assessment (Agriculture) Scotland) Regulations 2006 SSI 2006 No 582 Regulation 2 (4) (5). Schedule 4(8) To be in writing which includes electronic form.	Series added: 2014-07

Revision No.	Author	Role	Changes	Date
Beta 1.00	Claire Johnson	SCARRS project consultant	Formatted approved version for Beta 1 publication	20/06/2010
Beta 1.01	Heather Jack	SCARRS project consultant	updated format to match phase 2 schedules; added 12.002.003 and 004 entries for Common Good assets records	22/06/2011
Beta 1.02	Heather Jack	SCARRS project consultant	added 12.003.013 for register of gifts and hospitality received by staff	21/07/2011
2_0	Frank Rankin, IG Scotland	Reviewer	Amendments as described in the Edit History column.	11 August 2014

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

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

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



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

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

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

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

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

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

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

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



Revision No.	Author	Role	Completed	Description
Beta 1	Claire Johnson	Author	09/06/2011	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendments as described in the edit history column of the RRS.

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

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

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

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>N/A</b>	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
<b>13.003.001</b>	Accidents and incident reporting - reporting accidents to adults	Accident report/ register	Date of entry/ Accident book - date of last entry.	3 years	Destroy	Statutory	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 SI 2013 No 1471 Regulation 12(2). Prescription and Limitation (Scotland) Act 1973	Amended retention from 6 years, amended trigger and added citation 2014-07
<b>13.003.002</b>	Accidents and incident reporting - reporting accidents to children	Accident report/ register	Date of birth of child	25 years	Destroy	Business requirement	See 10.009.004 in Education and Skills retention schedule	Amended retention from 6 years, amended trigger and added citation 2014-07
								Series deleted. Replaced by 13.003.009 - .014
<b>13.003.004</b>	Equipment safety inspections	Yearly inspection Daily / month/ weekly inspection	Date of inspection Date of inspection	2 years 1 year	Destroy	Business requirement	Amended retention period from 6 years 2014-07.	
<b>13.003.005</b>	Hazardous substances COSHH reports		Date of last action.	40 years	Destroy	Statutory	Control of Substances Hazardous to Health Regulations 2002. SI 2002 No 2677 Regulation 11 Records kept under the 1994 and 1999 Regulations to be kept as if the 2002 Regulations had not been made. Regulation 18 (2)	

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

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

Revision No.	Author	Role	Completed	Description
0-1	Heather Jack	Author	15/05/2010	Initial version
0-2KW	Kevin Wilbraham	Peer reviewer		
0-2ER	Eleanor Rowe	Peer reviewer		
0-2AM	Alison Mackenzie	Peer reviewer		
0-2CJ	Claire Johnson	QA reviewer		QA review
0-3	Heather Jack	Author		Update to reflect review feedback
1-0	Heather Jack	Author		Approved version for publication
1-0	Victoria Brown	SCA Research Officer	30/01/2012	Clarification to section 14.004.006 and 14.004.003
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendments as described in the Edit History column of the RRS
2_1	Frank Rankin, IG Scotland	Reviewer	Apr-14	Added series 14.005.026 Electrical Safety



REF	FUNCTION / ACTIVITY	ALTERNATIVE TERMS	SCOPE NOTES	SCOTTISH SERVICES LIST MAPPING
<b>14</b>	<b>HOUSING</b>		<b>The council's statutory responsibility for housing</b>	
14.001	Advice		Provision of housing advice to homeowners and tenants	108 - Housing - private tenants - advice and support 110 - Housing - legal advice and support
14.002	Enforcement		The enforcement of housing standards within the local area including housing standards assessments and safety inspections	150 - Housing - multiple occupation - safety inspection
14.003	Estate management		the management of housing estates including business premises, car parking surveys, garage letting and rental applications, housing inspections and neighbour disputes	566 - Housing - council - lighting 821 - Land and property - estates management 114 - Roads - parking - council estates 115 - Land and property - council lettings - garages 98 - Housing - nuisance and threatening behaviour 1124 - Housing - mediation
14.004	Housing provision		The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness	97 - Housing - crime support and assistance 652 - Housing - general information and advice 1123 - Housing - low cost home ownership 84 - Housing - allocations - general information 85 - Housing - allocations - hard to let properties 86 - Housing - allocations - allocated council homes 87 - Housing - associations - nomination and registration 89 - Housing - allocations - allocation system 90 - Housing - allocations - re-housing decision appeal 103 - Housing - sheltered - homeless people 112 - Homelessness - advice and support 92 - Housing - allocations - registering for a council property 868 - Housing - social housing policy 88 - Housing - council - mutual exchange 717 - Housing - landlords accreditation scheme 104 - Housing - sheltered - non-council tenants 105 - Housing - sheltered - housing association tenants 107 - Housing - sheltered - council tenants 230 - Housing - sheltered - older people

REF	FUNCTION / ACTIVITY	ALTERNATIVE TERMS	SCOPE NOTES	SCOTTISH SERVICES LIST MAPPING
14	HOUSING		<b>The council's statutory responsibility for housing</b>	
14.005	Housing stock		<p>Activities relating to management of housing stock including demolition, emergency maintenance, housing grants, . . Leases</p> <p>Property may be identified by address.</p>	<p>650 - Housing - accommodation certificates - fitness for human habitation 913 - Housing - empty residential properties 125 - Land and property - demolitions - alternative housing for council tenants 126 - Land and property - demolitions - disturbance allowance for council tenants 127 - Land and property - demolitions - council tenants' responsibilities 128 - Land and property - demolitions - assessment 912 - Housing - clearance and re-housing 139 - Housing - repairs - emergency out of hours repairs 135 - Housing - improvements - renovation grants 136 - Housing - improvements - home repair assistance grant 857 - Housing - associations - financial assistance 858 - Housing - improvement and repairs - loans 1059 - Land and property - crofting and rural house purchase grants</p> <p>138 - Housing - improvements - housing renovation grant for a private property 433 - Grants - home renovation 130 - Housing - improvements - adaptations of council property 178 - Disabled people - home adaptations and aids 129 - Housing - council - home modernisation 140 - Housing - repairs - communal areas 141 - Housing - repairs - council property 144 - Housing - council - modernisation schemes 145 - Housing - council - improvement strategy 156 - Housing - council - services and communal repairs 666 - Housing - surveying - major repairs 1054 - Housing - Care and Repair scheme</p> <p>101 - Housing - council - unauthorised occupants</p>

REF	FUNCTION / ACTIVITY	ALTERNATIVE TERMS	SCOPE NOTES	SCOTTISH SERVICES LIST MAPPING
14	HOUSING		<b>The council's statutory responsibility for housing</b>	
14.006	Managing tenancies		Activities associated with the management of tenancies	91 - Housing - tenancy issues 132 - Housing - improvements - temporary accommodation 654 - Housing - alterations by tenants 665 - Housing - support to tenants 711 - Housing - allocations - change of tenancy 712 - Housing - allocations - furnished tenancies 713 - Housing - introductory council tenancies 911 - Housing - referrals to housing associations and other local authorities 1012 - Housing - tenant participation 178 - Disabled people - home adaptations and aids 137 - Housing - improvements - disability facility grant for a private property 1056 - Housing - special needs - capital grants 109 - Housing - council - tenants - advice and support 117 - Housing - council - evictions 142 - Housing - repairs - overdue repairs - discretionary allowance 143 - Housing - repairs - decoration and disturbance allowances 146 - Housing - council - rechargeable repairs 123 - Housing - council - home insurance 116 - Housing - council - current tenancy arrears 118 - Housing - council - current garage arrears 119 - Housing - council - late tenancy arrears - rents 120 - Housing - council - rent 122 - Housing - council - communal heating charge 148 - Housing - council - rent setting 149 - Housing - multiple occupation - fair rents inspection 1055 - Housing - rent determination 151 - Housing - council - right to buy 157 - Housing - council - deeds 158 - Housing - council - new home purchase grants 147 - Social services - garden maintenance

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
<b>14.001</b>	<b>Advice</b>	Provision of housing advice to homeowners and tenants						
14.001.001	Help and advice to private tenants or landlords		Date of last action	Current + 5 years	Destroy	Business requirement		
14.001.002	Tenants right to information about landlord's duty		End of tenancy	5 years	Destroy	Business requirement	Housing (Scotland) Act 2006. Section 19 To be in writing. Section 187	Series added 2014-07
14.001.003	Guidance about availability and amount of assistance		Superseded	5 years	Destroy	Business requirement	Housing (Scotland) Act 2006. Section 72 Statement to be publicly available	Series added 2014-07
<b>14.002</b>	<b>Enforcement</b>	The enforcement of housing standards within the local area including housing standards assessments and safety inspections						
14.002.01	Assessment - housing standards		Date of last assessment	3 years	Destroy	Business requirement		
14.002.02	Safety inspections - multiple occupation		Date of last action	7 years	Destroy	Business requirement	The process of assessing applications for Houses in Multiple Occupation (HMO) licences. Under the Civic Government (Scotland) Act 1982 is mandatory for all local authorities to have an HMO licensing scheme to control and "improve the physical standards in multiply-occupied housing". Housing (Scotland) Act 2006	
14.002.03	HMO (House in multiple occupation) Licence		Expiry of licence	3 years	Destroy	Business requirement	Housing (Scotland) Act 2006. Sections 124, 160. Schedule 4. Details to be kept in a register	Added series 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
14.002.04	HMO Amenity notice		Revocation or completion of work	5 years	Destroy	Business requirement	Housing (Scotland) Act 2006. Section 146. Schedule 5 Paragraph 8	Added series 2014-07
<b>14.003</b>	<b>Estate management</b>	the management of housing estates including business premises, car parking surveys, garage letting and rental applications, housing inspections and neighbour disputes						
14.003.001	Business premises		Date of last action	7 years	Destroy	Business requirement		
14.003.002	Car parking surveys		Date of last action	7 years	Destroy	Business requirement		
14.003.003	Garage applications		Registration or entitlement lapses	2 years	Destroy	Business requirement		
14.003.004	Garage rentals		Entitlement lapses	2 years	Destroy	Business requirement		
14.003.005	Housing inspections		Date of last action	7 years	Destroy	Business requirement		
14.003.006	Neighbour disputes		Termination of tenancy	5 years	Destroy	Business requirement	If a "Known family" and still within the LA's remit retain on tenant client file.	Retention period amended from 12 years and note added - 2014-07
<b>14.004</b>	<b>Housing provision</b>	The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness						
14.004.001	Allocations - waiting list		Date superseded	Current	Destroy	Business requirement	Maintain current only, and update as required	
14.004.002	Case file - Homeless person where individual <b>does</b> become permanently housed	Assessment, Decisions, Temporary Accommodation, etc	Date of Decision	See Tenant Case File		Business requirement	Move to individual tenant's case file	Added reference number 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
14.004.003	Case file - Homeless person where individual <b>does not</b> become permanently housed	Assessment, Decisions, Temporary Accommodation, etc	Date of last action	Current + 5 years	Destroy	Business requirement		
14.004.005	Case file - successful applicants	<ul style="list-style-type: none"> <li>• Council housing application forms and supporting material</li> <li>• Application for transfer of tenancy and supporting papers</li> </ul>	Date of decision	See Tenant Case File		Business requirement	Move to individual tenant's case file	Corrected duplicate reference number from .006. 2014-07
14.004.006	Case file - unsuccessful applicants (or where application is withdrawn by applicant)	<ul style="list-style-type: none"> <li>• Council housing application forms, needs assessment and supporting material</li> <li>• Application for transfer of tenancy and supporting papers</li> </ul>	Date of decision/last action/no response	Current + 1 year	Destroy	Business requirement		Amended from "Year of decision..." 2014-07
14.004.007	Housing applications - register	Common Housing registers	Keep up to date	Retain permanently	Retain	Business requirement	Housing (Scotland) Act 2001. 2001 asp 10. Section 8	Added note 2014-07
14.004.008	Housing exchanges - Mutual exchange list		Date superseded	Current	Destroy		Maintain current only, and update as required	
14.004.010	Landlord accreditation		Date of last action	2 years	Destroy	Business requirement		
14.004.011	Case file - Sheltered housing		Date of last action	Current + 7 years	Destroy	Business requirement		
14.004.012	Temporary accommodation - lease agreement	Lease agreement and associated documents	Termination of lease agreement	Current + 5 years	Destroy	Business requirement		Added reference number 2014-07
14.004.013	Records documenting the decoration and furnishing of a leased property to be used as temporary accommodation.		End of work	5 years		Business requirement	See Records Retention Schedules for: Procurement; Finance – Financial Accounting ; Equipment & Consumables Management	Added reference number 2014-07
14.004.014	Case file - temporary accommodation allocated to homeless person		End of tenancy	5 years	Destroy	Business requirement		Added reference number 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
14.004.015	Records documenting arrangements with a hostel/bed and breakfast establishment used to provide temporary accommodation.	Records documenting the booking of accommodation and monitoring payments	Current year	Current + 3 years	Destroy	Business requirement		Added reference number 2014-07
14.004.016	Homeless Housing support services assessment		Superseded	3 years	Destroy	Business requirement	The Homeless Persons Interim Accommodation (Scotland) Regulations 2002. SSI 2002 No 412 Regulation 4 (b) (v) To be in writing	Series added 2014-07
14.004.017	Homeless Interview record		Date of interview	3 years	Destroy	Business requirement	The Homeless Persons Advice and Assistance (Scotland) Regulations 2002. SSI 2002 No 414. Regulation 6 (c). To be in writing including Braille, translation or large print	Series added 2014-07
14.004.018	Homeless Strategy		Until superseded	5 years	Destroy	Business requirement	Housing (Scotland) Act 2001. 2001 asp 10. Section 1. Copy to be provided on request	Series added 2014-07
14.004.019	Local Housing Strategy		Until superseded	5 years	Destroy	Business requirement	Housing (Scotland) Act 2001. 2001 asp 10. Section 89. Copies to be provided on request	Series added 2014-07
<b>14.005</b>	<b>Housing stock</b>	Activities relating to management of housing stock including demolition, emergency maintenance, housing grants, . . . Leases - Property may be identified by address.						
14.005.001	Property file - Demolition		Date of last action	Current + 7 years	Destroy	Business requirement		

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
14.006.002	Property file - Adaptations grants		Date of last action	5 years	Destroy	Business requirement		
14.005.003	Property file - Housing improvement grants over £50,000		From date of last payment	10 years	Destroy	Business requirement	Housing (Scotland) Act 2006 Se	Amended retention period from 12 years and added citation. 2014-07
14.005.004	Property file - Housing improvement grants under £50,000		From date of last payment	10 years	Destroy	Business requirement	Housing (Scotland) Act 2006 Se	Amended retention period from 5 years and added citation. 2014-07
14.005.005	Property file - Leases		From expiry of lease	Current + 15 years	Destroy	Business requirement		
14.005.006	Property file - Planned maintenance		Date of last action	Current + 2 years	Destroy	Business requirement		
14.005.007	Property file - Private housing grants		Date of last action	5 years	Destroy	Business requirement		
14.005.008	Property file - property adaptations		Date superseded	Until superseded	Destroy	Business requirement	Maintain current only, and update as required	
14.005.009	Property files - major repairs	Over £50,000	Date of last action	10 years	Destroy	Business requirement		Added reference number. Added value in detail and removed option of 5 years from retention. 2014-07
14.005.010	Property files - minor repairs	Under £50,000	Date of last action	5 years	Destroy	Business requirement		Added reference number. Added value in detail and removed option of 2 years from retention. 2014-07
14.005.011	Unauthorised occupants		Date of last action	5 years	Destroy	Business requirement		
14.005.012	Property file - housing grant where application is rejected		Last action on application	Current + 1 year	Destroy	Business requirement		Added reference number 2014-07



Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
14.005.013	Register of Housing Grants		Current year	10 years	Destroy	Business requirement	Housing (Scotland) Act 2006 Section 187	Added reference number 2014-07
	Risk assessment - Asbestos Register	See Health and Safety retention schedule						Records series removed 2014-07
14.005.014	Housing Renewal Area Orders [HRAs]		Expiry of order	5 years	Destroy	Business requirement	Housing (Scotland) Act 2006 Section 1. To be in writing. Section 187	Added series 2014-07
14.005.015	HRA Action Plans and variations		Superseded	5 years	Destroy	Business requirement	Housing (Scotland) Act 2006. Sections 3, 4	Added series 2014-07
14.005.016	Informing of owners and occupiers of premises in the HRA action plan		Date of issue	5 years	Destroy	Business requirement	Housing (Scotland) Act 2006. Section 8	Added series 2014-07
14.005.017	Notices under the Housing (Scotland) Act 2006	Work notices; Demolition notices; Evacuation notice; Maintenance order	Expiry, revocation or completion of notice.	5 years	Destroy	Business requirement	Housing (Scotland) Act 2006 Sections 30, 37, 42, 62  To be in writing Section 187	Added series 2014-07
14.005.018	Maintenance plan		Superseded	1 year	Destroy	Business requirement	Housing (Scotland) Act 2006 Sections 43, 44, 45  To be in writing	Added series 2014-07
14.005.019	Certification for work completed		Date of issue	10 years	Destroy	Business requirement	Housing (Scotland) Act 2006. Section 60 To be in writing. Section 187	Series added 2014-07
14.005.020	Housing grants - Notice of cessation of conditions		Date of notice	5 years	Destroy	Business requirement	The Housing Grants (Form of Cessation or Partial Cessation of Conditions Notice) (Scotland) Regulations 2003. SII 2003 No 337. Regulation 2 To be in the form of the Schedule	Series added 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
14.005.021	Housing grants - Notice of payment		Date of notice	5 years	Destroy	Business requirement	The Housing Grants (Form of Notice of Payment) (Scotland) Regulations 2003. SSI 2003 No 338. Regulation 2. To be in the form of the Schedule	Series added 2014-07
14.005.022	Application forms (Improvement Grant)		Date of payment	6 years	Destroy	Business requirement	The Housing Grants (Application Forms) Scotland) Regulations 2003. SSI 2003 No 420 Regulation 2, 3, 4, 5. To be in the form of Schedule 1	Series added 2014-07
14.005.023	Grant Assistance applications		Date of payment	6 years	Destroy	Business requirement	The Housing (Scotland) Act 2001 (Assistance to Registered Social Landlords and Other Persons) (Grants) Regulations 2004. SSI 2004 No 117. Regulation 5	Series added 2014-07
14.005.024	Repair Notice		Date of notice	5 years	Destroy	Business requirement	The Form of Repair Notice (Scotland) Regulations 2003. SSI 2003 No 335. Regulation 2 To be in the form as Schedule	Series added 2014-07
14.005.025	Provision of repairs and list of contractors		Until superseded		Destroy	Statutory	The Scottish Secure Tenants (Right to Repair) Regulations 2002 SSI 2002 No 316 Regulation 14 To be in writing	Series added 2014-07
14.005.026	Electrical safety	Copy of electrical safety inspection retained by landlord	Date of inspection	6 years	Destroy	Statutory	Housing (Scotland) Act 2014. Section 23 Inserts Section 19B into the 2006 Act	Series added 2015-0
	Gas safety certificate						See RRS for Property, series 05.003.005	Cross reference add

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
<b>14.006</b>	<b>Managing tenancies</b>	Activities associated with the management of tenancies						
14.006.001	Tenant file	Correspondence re tenancy; Tenancy files; Council housing; Application forms and supporting material; Application for transfer of tenancy and supporting papers; Application for emergency housing or referral from another agency	Termination of tenancy	5 years	Destroy	Business requirement	These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority where there is a dispute	Amended retention period from 12 years and added to citation. Added reference. 2014-07
14.006.002	Tenant file - HomeCare Service		Termination of Service	5 years	Destroy	Business requirement	Processes involved in assessing and providing individual support or services. Includes those with Power of Attorney.	Amended retention period from 6 years. Added reference. 2014-07
14.006.003	Tenant file - Agreements (Ordinary Tenancy)	Scottish Secure Tenancy Agreement	Tenancy expires	5 years	Destroy	Business requirement Audit	Housing (Scotland) Act 2001. 2001 asp 10 Section 23	
								Removed series 2014-07
14.006.005	Tenant file - Housing needs assessment		When superseded	2 years	Destroy	Business requirement	This will be updated on regular (yearly and/or when new need is identified) basis	
14.006.007	Tenant files - Evictions		Date of last action	Current + 7 years	Destroy	Business requirement		
14.006.008	Tenant file - Housing repairs		Date of last action	Current + 2 years	Destroy	Business requirement	"golden" copy held in property file, retain tenant file copy til business use ended	
14.006.009	Tenant file - Rent arrears (Council property)		Date closed	Current + 7 years	Destroy	Business requirement		
14.006.010	Tenant file - Rent setting		Date closed	Current + 7 years	Destroy	Business requirement		

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
14.006.011	Tenant file - Right to buy		Date sold	10 years	Destroy	Business requirement		Amended retention period from 12 years 2014-07
14.006.013	Tenant file - Welfare services - disadvantaged persons		Date closed Last action plus 3 years	Current + 7 years	Destroy	Business requirement		
14.006.014	Tenant file - Welfare benefit advice		Last action Last action plus 3 years	Current + 6 years/18 months	Destroy	Business requirement		
14.006.016	Tenant file - Contents insurance for council tenants	application forms; authorisation forms	Date closed/Termination	Current + 7 years/1 year	Destroy	Business requirement		
14.006.017	Tenant Participation Strategy		Date superseded	Current + 1 year	Destroy	Business requirement	Housing (Scotland) Act 2001. 2001 asp 10 Section 53	Added reference and re-positioned from top of section 2014-07
14.006.018	Register of Tenants Organisations		Keep up to date	Keep up to date		Statutory	Housing (Scotland) Act 2001. 2001 asp 10. Section 53(3). To be open for public inspection	Added reference and re-positioned from top of section 2014-07
14.006.019	Register of abandoned property		Date landlord took possession of the property	5 years	Destroy	Statutory	The Scottish Secure Tenancies (Abandoned Property) Order 2002 SSI 2002 No 313 Regulation 8	Added reference and re-positioned from top of section 2014-07
14.006.020	Scottish Secure Tenancy Agreement		Termination	5 years	Destroy	Business requirement	Housing (Scotland) Act 2001. 2001 asp 10. S 23	Series added 2014-07
14.006.021	Application for registration		Whilst on register	5 years	Destroy	Business requirement	The Housing (Scotland) Act 2001 (Registration of Tenant Organisations) Order 2002. SSI 2002 No 416 Regulation 5 To be in writing	Series added 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
14.006.022	Removal from Register		Date of removal	3 years	Destroy	Business requirement	The Housing (Scotland) Act 2001 (Registration of Tenant Organisations) Order 2002. SSI 2002 No 416. Regulation 6. To be in writing	Series added 2014-07
14.006.023	Right to purchase - Application to purchase		Date of purchase	10 years	Destroy	Business requirement	The Right to Purchase (Application Form) (Scotland) Order 2000 SSI 2000 No 120 Regulation 2. To be in writing as per Schedule	Series added 2014-07
14.006.024	Right to purchase - Information to be submitted by landlord		Date of notice	5 years	Destroy	Business requirement	The Housing (Right to Buy) (Houses Liable to Demolition) (Scotland) Order 2002. SSI 2002 No 317. Regulation 2. To be in writing	Series added 2014-07
14.006.025	Compulsory Purchase forms		Date of issue	10 years	Destroy	Business requirement	The Compulsory Purchase of Land (Scotland) Regulations 2003. SSI 2003 No 446. Regulations 3, 4, 5 As per the Schedules	Series added 2014-07
14.006.026	Ballot papers – Crofting Community Right to buy		Date of the ballot	2 years	Destroy	Statutory	The Crofting Community Right to Buy (Ballot) (Scotland) Regulations 2004. SSI 2004 No 227. Regulation 8 To be in writing	Series added 2014-07
14.006.027	Ballot papers – Community Right to buy		Date of the ballot	2 years	Destroy	Statutory	The Community Right to Buy (Ballot) (Scotland) Regulations 2004. SSI 2004 No 228. Regulation 8 To be in writing	Series added 2014-07
14.006.028	Register of abandoned property		Date on which the landlord took possession of the house	To remain on the register until after expiry of a period of 5 years	Destroy	Statutory	The Scottish Secure Tenancies (Abandoned Property) Order 2002. SSI 2002 No 313. Regulation 8 To be in writing and available for inspection by the public	Series added 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>14</b>	<b>HOUSING</b>							
14.006.029	Notice of proceedings for recovery of possession		Date of notice	5 years	Destroy	Business requirement	The Scottish Secure Tenancies (Proceedings for Possession) Regulations 2002. SSI 2002 No 320 Regulation 2 To be in writing as per Schedule	Series added 2014-07
14.006.030	Form SSS1 (Notice under Section 34 to be served on a prospective Tenant of a short Scottish secure tenancy		Life of tenancy	5 years	Destroy	Business requirement	The Short Scottish Secure Tenancies (Notices) Regulations 2002 SSI 2002 No 315 Regulation 2 To be in writing as per schedule	Series added 2014-07
14.006.031	Tenements - Notice of potential liability for costs		Expires at the end of the 3 year period beginning with the date of registration unless renewed before that period			Statutory	Tenements (Scotland) Act 2004 asp 24 Section 13 (3) (Form shown at Schedule 2)	Series added 2014-07
Note	Tenements - Prescriptive period for costs to which Section 12 relates		5 years			Statutory	Tenements (Scotland) Act 2004 asp 24 Section 13 (3) Amends Prescription and Limitation (Scotland) Act 1973 Section 6	Series added 2014-07

Revision No.	Author	Role	Completed	Description
0-1	Claire Johnson	Author	11/03/2010	Initial version
0-2HJ	Heather Jack	Peer Reviewer		
0-2AB	Alison Brown	Peer Reviewer	23/03/2010	
0-2HL	Hazel Lauder	Peer Reviewer	29/03/2010	
0-3	Claire Johnson	Author	18/04/2010	Update to reflect review feedback
1-0	Claire Johnson	Author		Approved version for publication
Beta	Claire Johnson	Author	01/07/2010	
2_0	Frank Rankin, IG Scotland	Reviewer	13/08/2014	Amendments as described in the RRS Edit History column
2_1	Frank Rankin, IG Scotland	Reviewer	Apr-15	Added series 15.003.009. Corrected reference number errors

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



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

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

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

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

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

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

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

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



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

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

Revision No.	Author	Role	Changes	Date
Beta 1	Heather Jack	Author	Formatted approved version for Beta 1 publication	09/06/2011
2_0	Frank Rankin, IG Scotland	Reviewer	Amendments as described in the RRS Edit History	11/08/2014
2_1	Frank Rankin, IG Scotland	Reviewer	Duplicated rows deleted	29-Apr-15

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

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

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

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>16</b>	<b>ICT</b>							
16.003.002	Investigation of faults reported by users of an ICT system, and action taken to rectify problems.		Close of investigation	3 years	Destroy	Business Requirement		
16.003.003	Management of data in an ICT system, including the operation of routine data backup, archiving and deletion routines.		End of current year	1 year	Destroy	Business Requirement		
16.003.004	Maintenance of the software licence(s) for an ICT system.		Expiry/ Termination of licence	5 years	Destroy	Prescription and Limitation (Scotland) Act, 1973 and 1984		
16.003.005	Management of an ICT system - system file	handover documents, user guides, system support, technical and knowledgebase documentation	Decommissioning of system	5 years	Destroy	Business Requirement		
16.003.006	Removal / return of mobile ICT systems hardware & software from / to the Council's premises	register or log	Return of equipment	5 years	Destroy	Business Requirement		
16.003.007	Arrangements for the sanitisation and disposal of institutional ICT equipment	disposal log	Disposal of equipment	5 years	Destroy	Business Requirement	ensure record of disposals added to council asset disposal register - this will typically be held within Finance	
<b>16.004</b>	<b>ICT Systems User Training &amp; Support</b>							
16.004.001	Development of technical & application training and guidance for IT system users		superseded	1 year	Destroy	Business Requirement	for administration of training and individual staff training records see HR Retention Schedule	

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>16</b>	<b>ICT</b>							
16.004.002	Logging, investigation and resolution of user requests for technical and application support		Close of call	1 year	Review for business value	Business requirement	May be of use for future development plans and support knowledgebase	



Revision No.	Author	Role	Completed	Description
0-1	Claire Johnson	Author	12/03/2010	Initial version
0-2FW	Frances Woodrow	Peer reviewer	15/03/2010	comments added
0-2CG	Craig Geddes	Peer reviewer	15/03/2010	comments added
0-2HJ	Heather Jack	QA reviewer	28/03/2010	initial QA review
0-3	Claire Johnson	Author	12/04/2010	Updated to reflect review feedback
Beta 1	Heather Jack	Author	08/06/2010	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendments as described in the Edit History column of the RRS

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

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

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>17</b>	<b>INFORMATION MANAGEMENT</b>							
<b>17.001</b>	<b>Access to information</b>							
<b>17.001.001</b>	Data Protection - record of subject access request processing	initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	GDPR Article 15	Amended trigger from Statutory 2014-07. Updated citation 2018-11
<b>17.001.002</b>	Data Protection - record of subject access request processing <b>where appeal made to UK Information Commissioner</b>	initial request, response, appeal records, related correspondence and other supporting documentation	Outcome of appeal	6 years	Destroy	Business requirement	GDPR Article 15	Amended trigger from Statutory 2014-07. Updated citation 2018-11
<b>17.001.003</b>								Series deleted 2018-11. See 17.006
<b>17.001.004</b>								Series deleted 2018-11. See 17.006
<b>17.001.005</b>	Freedom of information (FoISA) - processing of requests for information	initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13	
<b>17.001.006</b>	Freedom of information (FoISA) - processing of requests for information <b>where appeal made to Scottish Information Commissioner</b>	initial request, response, appeal records, related correspondence and other supporting documentation	Outcome of appeal	6 years	Destroy	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13	Amended trigger from Statutory 2014-07
<b>17.001.007</b>	Council Publication Scheme		Superseded	3 years	Review for historical value	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13	

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>17</b>	<b>INFORMATION MANAGEMENT</b>							
<b>17.001.008</b>	Environment Information Regulations - processing of requests for information	initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	The Environmental Information (Scotland) Regulations 2004 SSI 2004/520	
<b>17.001.009</b>	Environment Information Regulations - processing of requests for information <b>where appeal made to Scottish Information Commissioner</b>	initial request, response, appeal records, related correspondence and other supporting documentation	Outcome of appeal	6 years	Destroy	Business requirement	The Environmental Information (Scotland) Regulations 2004 SSI 2004/520	
<b>17.001.010</b>	Re-use of Public Sector Information Regulations - processing of requests for information	Initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	Re-use of Public Sector Information Regulations 2015	Added series 2019-06
<b>17.002</b>	<b>Archives</b>							
	<b>Archives management is covered under function 19 - Leisure and culture</b>							
<b>17.003</b>	<b>Knowledge management</b>							
<b>17.003.001</b>	Contacts lists		Superseded	None	Destroy	Business requirement		
<b>17.003.002</b>	Information asset lists		Superseded	2 years	Destroy	Business requirement		
<b>17.003.003</b>	Geographic Information System (GIS)	I&R Source data for SVDLS for loading to GIS. System itself to be kept up to date	Date of survey completion	5 years	Transfer to archive	Business requirement		Amended action from "Destroy" 2014-07
<b>17.004</b>	<b>Records management</b>							

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>17</b>	<b>INFORMATION MANAGEMENT</b>							
<b>17.004.001</b>	Records surveys	Information relating to record audits	Current	2 years	Destroy	Business requirement		
<b>17.004.002</b>	Classification schemes	Classification schemes	Current	Until superseded	Review for historical value	Business requirement	Consider historical value.	
<b>17.004.003</b>	Forms development	Standard templates	Superseded	1 year	Sample for historical value	Business requirement		
<b>17.004.004</b>	Image capture		Date of scan	Nil	Destroy	Business requirement	Paper information may be destroyed immediately after the scanned image has been checked and accepted if the scanning is completed to the relevant BSI standard	Amended retention period from 2 years. Added note. 2014-07
<b>17.004.005</b>	Retention schedules		Superseded	Permanent	Retain	Business requirement	Cf. Uk National Archives guidance on Info Mgmt Records <a href="http://www.nationalarchives.gov.uk/documents/information-management/sched_info_management.pdf">http://www.nationalarchives.gov.uk/documents/information-management/sched_info_management.pdf</a>	Amended from 100 years and added note 2016-06
<b>17.004.006</b>	Lists of Records destroyed	records destruction register	Date of destruction	Permanent	Retain	Business requirement	Cf. Uk National Archives guidance on Info Mgmt Records <a href="http://www.nationalarchives.gov.uk/documents/information-management/sched_info_management.pdf">http://www.nationalarchives.gov.uk/documents/information-management/sched_info_management.pdf</a>	Amended from 20 years and added note 2016-06

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>17</b>	<b>INFORMATION MANAGEMENT</b>							
<b>17.004.007</b>	Records disposal certificated	Disposal certificates	Date of destruction	Permanent	Retain	Business requirement	Cf. Uk National Archives guidance on Info Mgmt Records <a href="http://www.nationalarchives.gov.uk/documents/information-management/sched_info_management.pdf">http://www.nationalarchives.gov.uk/documents/information-management/sched_info_management.pdf</a>	Amended from 20 years and added note 2016-06
<b>17.004.008</b>	Records retention issues log		Date of last action	6 years	Destroy	Business requirement	Consider retaining the summary statistics as a measurement of service delivery and for appraising the effectiveness of retention schedules.	
<b>17.004.009</b>	Records Management Plan	Plan and supporting evidence	Superseded	5 years	Destroy	Business requirement	Public Records (Scotland) Act 2011	Added series 2016-06
<b>17.005</b>	<b>Registration</b>							
	see appropriate function for retention details of statutory and non-statutory registers; these will all have significant archival value							

Revision No.	Author	Role	Completed	Description
Beta 1	Claire Johnson	Author	09/06/2011	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendments as described in the Edit History column of the RRS



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

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

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

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

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

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

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

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



Revision No.	Author	Role	Changes	Date
Beta 1	Heather Jack	Author	Formatted approved version for Beta 1 publication	09/06/2011
2_0	Frank Rankin, IG Scotland	Reviewer	Amendments as described in Edit History column of RRS	11/08/2014

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

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

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

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

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.001.004</b>	Processing of an application for rental of an allotment plot or to erect a structure, where the application is approved.		Termination of rental	1 year	Destroy	Business requirement		
<b>19.001.005</b>	Allotments - Claims for compensation for damage, disturbance of loss of crops	Claims, decision, response, payment record	Current financial year	6 years	Destroy	Business requirement	Allotments (Compensation) (Scotland) Regulations 2017 SSI 2017 No 457	Series added 2018-03
<b>19.002</b>	<b>Archives</b>							
<b>19.002.01</b>	Accession register			Permanent	Retain for historical value	Business requirement		
<b>19.002.02</b>	Catalogue of all archival holdings held by the Council			Permanent	Retain for historical value	Business requirement		
<b>19.002.03</b>	Depositor records	including liaison with owner on conditions of donation	End of life of deposit	5 years	Destroy	Business requirement		
<b>19.002.04</b>	Loans to third parties	loan agreement	End of loan period	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Moved citation to notes 2014-07
<b>19.002.05</b>	Loans to third parties	record of loan	End of life of deposit	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Moved citation to notes 2014-07
<b>19.002.06</b>	Loans from third parties	record of loan	End of loan period	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Moved citation to notes 2014-07
<b>19.002.07</b>	Conservation records		End of life of deposit	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Moved citation to notes 2014-07

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.002.08</b>	Register of individual visitors to the archives centre.	Visitors' Books Visitor Registration Forms user database	Current	5 years	Destroy	Business requirement	Security purposes	
<b>19.002.09</b>	Research services		End of current year	5 years	Review for re-use value	Business requirement	Used for compilation of info for future work plans, FAQs on a collection etc.. For Financial records relating to fee payment see Schedule 12: Finance	
<b>19.002.10</b>	Reprographic services provision - where no fees charged	Copying/Photographic orders, copyright forms	End of financial year	3 years	Destroy	Business requirement	Copyright Act 1988. For Financial records relating to fee payment see Schedule 12: Finance	Moved citation to notes 2014-07
<b>19.002.11</b>	Environmental monitoring	Temp/RH reading records	End of current year	5 years	Destroy	Business requirement	BS 5454	
<b>19.002.12</b>	Environmental monitoring	Report on environmental conditions		Permanent	Retain	Business requirement	BS 5454	
<b>19.002.13</b>	Production of archives	Production/Request slips	End of current year	3 years	Destroy	Business requirement		
<b>19.002.14</b>	Archival item withdrawal	Record of withdrawal	Withdrawal plus 20 years	Permanent	Retain for historical value	Business requirement		
<b>19.003</b>	<b>Arts</b>							

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.003.001</b>	Arts development programme, project or event where Council is initiator or pays keys role	bids for funding from external organisations, organisation of sponsorship, collaboration with national, regional or local arts organisations, communications with artists/performers	End of programme/event	5 years	Review for historical and business value;	Business requirement		
<b>19.003.002</b>	Artist details	Records documenting details of artists and their work.	End of calendar year	3 years	Review for ongoing value	Business requirement		
<b>19.003.003</b>	Advice and assistance given to a community arts project		End of project	3 years	Destroy	Business requirement		
<b>19.004</b>	<b>Community facilities</b>							
<b>19.004.001</b>	Business/ private hire applications	applications and booking forms	End of current year	5 years	Review	Business requirement	Prescription and limitation (Scotland) Act 1973 (as amended)	Moved citation to notes 2014-07
<b>19.004.002</b>	Subsidised rate (Category 2 forms) - Successful applications		End of financial year	5 years	Destroy	Business requirement	Prescription and limitation (Scotland) Act 1973 (as amended)	Moved citation to notes 2014-07
<b>19.004.003</b>	Subsidised rate (Category 2 forms) - Unsuccessful applications		End of financial year	1 year	Destroy	Business requirement		
<b>19.005</b>	<b>Leisure promotion</b>	<b>See Schedule 20: Management</b>						
<b>19.006</b>	<b>Libraries</b>		See Schedule 10: Education and Skills for School Library Services					
<b>19.006.001</b>	Book ordering		End of financial year	6 years	Destroy	Statutory		



Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.006.002</b>	Catalogue	On line database or paper lists	Superseded	Permanent	Retain for historical value	Business requirement		Added detail to Description and added trigger.
<b>19.006.003</b>	Fines		End of financial year	6 years	Destroy	Statutory		
<b>19.006.004</b>	Library development records	Stock plans, reader development	Superseded	3 years	Destroy	Business requirement		
<b>19.006.005</b>	Inter-library loan agreements		End of loan period	5 years	Destroy	Business requirement		
<b>19.006.006</b>	Community information files	details of local groups, community organisations etc	Superseded	1 year	destroy	Business requirement	Maintain current only, and update as required	
<b>19.006.007</b>	Membership	registration and renewals	Termination	1 year	Destroy	Business requirement	Data Protection Act 1998	
<b>19.006.008</b>	Public access IT administration	Acceptable use of IT/registration form	Termination	5 yrs	Destroy	Business requirement	Prescription & Limitation Act Data Protection Act 1998	
<b>19.007</b>	<b>Museums and Art Galleries</b>							
<b>19.007.001</b>	Depositors agreements			Permanent	Retain for historical value	Business Requirement		
<b>19.007.002</b>	Loans to third parties	loan agreement	End of loan period	5 years	Destroy	Business requirement		
<b>19.007.003</b>	Loans to third parties	record of loan	End of life of deposit	5 years	Retain	Business requirement		
<b>19.007.004</b>	Loans from third parties	record of loan	End of loan period	5 years	Retain	Business requirement		

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.007.005</b>	Museum catalogue		Superseded	Nil	Review for historical value	Business requirement		
<b>19.007.006</b>	Museum development records		Superseded or project closure	3 years	Review for historical value	Business requirement		
<b>19.007.007</b>	Accreditation - notification of registered status	working documents	Whilst relevant	3 years		Business requirement		
<b>19.007.008</b>	Accreditation.	notification of registered status		Permanent	Retain for historical value	Business requirement		
<b>19.007.009</b>	Environmental monitoring	Temp/RH reading records	End of current year	5 years	Destroy	Business requirement	required for Accreditation	
<b>19.007.010</b>	Environmental monitoring	Report on environmental conditions		Permanent	Review for historical value	Business requirement	required for Accreditation	
<b>19.007.011</b>	Gallery /museum object withdrawal			Permanent	Review for historical value	Business requirement		
<b>19.008</b>	<b>Cinemas and Theatres</b>							
	Events management & promotion	See Schedule 20 - Management						
	Contracts management e.g. with artists for performances	See Schedule 22 - Procurement						
	Financial management	See Schedule 12 - Finance						
<b>19.009</b>	<b>Parks and open spaces</b>							

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.009.001</b>	Adoption of land as a public open space or recreational facility			Permanent Until disposed of plus 20 years	Retain for business and historical value	Business requirement	Prescription and limitation (Scotland) Act 1973 (as amended)	Moved citation to notes 2014-07
<b>19.009.002</b>	Development of land as a public open space or recreational facility		Closure of amenity	5 years	Destroy	Business requirement		
<b>19.009.003</b>	Maintenance of infrastructure and facilities on public land or in a recreational facility		End of current year	5 years	Destroy	Business requirement		
<b>19.009.004</b>	Closure of a public open space or a recreational facility		Closure of amenity	20 years	Destroy	Business requirement	Prescription and limitation (Scotland) Act 1973 (as amended)	Retention period amended from 5 years - 2014-07
	Events management & promotion	See Schedule 20 - Management						
	Land & property management	See Schedule 5 - Council Property						
	Health and Safety e.g. water testing; equipment inspections e.g. children's playground equipment , accident reports etc..	See Schedule 13 Health & Safety						
<b>19.01</b>	<b>Sports</b>							
<b>19.010.001</b>	Sports coach training	the development of a training programme for sports coaches	Completion of training programme	5 years	Review for business value	Business requirement		
<b>19.010.002</b>	Sports coach training	the administration of a training programme for sports coaches	Completion of training programme	1 year	Destroy	Business requirement		

Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>19</b>	<b>LEISURE AND CULTURE</b>							
<b>19.010.003</b>	Advice and assistance given to a community sports project		End of project	3 years	Destroy	Business requirement		
<b>19.010.004</b>	Records documenting the development of a sport development programme to encourage participation and progression in sport.		Completion of development programme	5 years	Review for business value	Business requirement		
<b>19.011</b>	<b>Sports &amp; Leisure Facilities</b>							
<b>19.011.001</b>	Membership	Registration and renewals	Termination	1 year	Destroy	Business requirement	Data Protection Act 1998	Moved citation to notes 2014-07
<b>19.011.002</b>	Bookings	booking forms including equipment bookings	End of financial year	1 year	Destroy	Business requirement	Data Protection Act 1998	Moved citation to notes 2014-07
	Events management & promotion	See Schedule 20 - Management						
	Contracts management e.g. with outsourced services	See Schedule 22 - Procurement						
	Health and Safety e.g. pool test sheets; equipment testing, accident reports etc..	See Schedule 13 Health & Safety						
	Financial records - including ticket sales	See Schedule 12 - Finance						
<b>19.012</b>	<b>Tourism</b>		<b>See Schedule 09: Economic Development</b>					

Revision No.	Author	Role	Completed	Description
0-1	Heather Jack	Author	17/03/2010	Initial version
0-2RC	Rachael Cowin	Peer reviewer	18/03/2010	Comments added
0-2CJ	Claire Johnson	QA reviewer	25/03/2010	Initial QA review
0-3	Heather Jack	Author	25/04/2010	Updated to reflect review feedback
Beta 1	Heather Jack	Author	20/06/2010	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendments as described in the Edit History column of the RRS

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

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

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



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

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

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

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

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.004.005</b>	Complaints - register	Complaints Register	Current Paper-last entry Electronic-review yearly	10 years	Destroy	Business requirement		
<b>20.005</b>	<b>External audits</b>							
	Refer to retention schedule of specific function that is being audited							
<b>20.006</b>	<b>Business preparation</b>							
	For Meetings, Officer representation and Partnership and agency working see Retention Schedule 8: Democracy							
<b>20.006.001</b>	Records documenting the Council's membership of a local government organisation.		Termination of membership	3 years	Destroy	Business requirement		
<b>20.006.002</b>	Records documenting the Council's representation in the work of a local government organisation.	Records of nominations to positions in the local government organisation.	Termination of membership	5 years	Review for archival and re-use value	Business requirement		
<b>20.007</b>	<b>Project Management</b>							
<b>20.007.001</b>	Projects funded by the Council - major records	Business case and proposal, Project plan, lessons learnt report, assessments, reviews - final versions and key drafts	Project close	6 years	Review for archival and re-use value	Business requirement		Amended retention from 25 years. 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.007.002</b>	Projects funded by the Council - preparatory records	minor drafts, correspondence, copies of financial and contractual records	Project close	6 years	Review for archival and re-use value	Business requirement	For records relating to the procurement of services in relation to projects see Retention Schedule 12 - Finance	
<b>20.007.003</b>	Projects - funded through European and other external funds	All documentation relating to the project: Specifications, plans, reports, correspondence, consultations ..etc, Feasibility studies, copies of financial documents,	Closure of the European Funding Programme(s) which funded the project	3 years	Review for archival and re-use value	Statutory	Retention and Disposal depends on the length of funding programme and type of projects. Decision will be taken on a case-by-case basis. Grant offer may stipulate length of retention. Seek expert advice on European Funding.	Amended trigger, retention period and note 2014-07.
<b>20.008</b>	<b>Quality and performance</b>							
<b>20.008.001</b>	Assessments for accreditation, eg. Chartermark, IIP		Assessment completed	5 years Until superseded	Destroy	Business requirement		
<b>20.008.002</b>	Performance monitoring and review of quality, efficiency, or performance of a local authority service or unit - <b>major records</b>	Final reports - Best Value Review; Policy review; Strategic plan review; operational plan review	Approval of review report	5 years	Destroy	Business requirement		
<b>20.008.003</b>	Performance monitoring and review of quality, efficiency, or performance of a local authority service or unit - <b>preparatory records</b>	Supporting and preparatory documentation including minor drafts, correspondence, meeting records	Approval of review report	1 year	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.008.004</b>	Inspections - external inspections received in relation to corporate or service specific performance management indicators (PFI)	Inspection report	Date of inspection report	5 years	Destroy	Business requirement		
<b>20.008.005</b>	Process maps		When superseded or obsolete	3 years	Destroy	Business requirement		
<b>20.009</b>	<b>Statutory returns</b>							
<b>20.009.001</b>	Reports to government - Outputs	Final version of statutory performance data submitted	Date of return	5 years	Destroy	Business requirement		
<b>20.009.002</b>	Reports to government - preparatory records	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Current	2 years	Destroy	Business requirement		
<b>20.01</b>	<b>Strategic planning</b>							
<b>20.010.001</b>	Corporate initiatives		End of initiative	5 years	Review for re-use and archival value	Business requirement		
<b>20.010.002</b>	Records documenting the preparation of business for consideration by the Council's strategic management group/ Senior Management Team, and the record of discussion and decisions.	Agenda, reports/papers for consideration, minutes	Current year	Permanent	Retain	Business requirement		Added trigger 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.010.003</b>	Council Corporate Plan.		Superseded	Permanent	Retain	Business requirement		Added trigger 2014-07
<b>20.010.004</b>	Strategic service plan		Superseded	Permanent	Retain	Business requirement		Added trigger 2014-07
<b>20.010.005</b>	Operational service plan		Superseded	3 years	Destroy	Business requirement		
<b>20.010.006</b>	Organisational structure		Superseded	1 year	Sample for archival value	Business requirement		
<b>20.010.007</b>	Corporate policies - master records	including significant records documenting policy development	Superseded	Permanent	Retain	Business requirement	Owning function and responsible service is responsible for ensuring that a master copy is held permanently;	Added trigger 2014-07
<b>20.010.008</b>	Corporate policies - Departmental/service copies		Superseded	None	Destroy	Business requirement		
<b>20.010.009</b>	Corporate policies - preparatory records		Authorisation of policy	1 year		Business requirement		
<b>20.010.010</b>	Service specific policies and procedures		Superseded	2 years	Sample for archival value	Business requirement		
<b>20.010.011</b>	Policy consultation - major policies	The process of consulting the public and staff in the development of significant policies of the local authority	Consultation completed	5 years	Destroy	Business requirement		



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes	Edit History
<b>20</b>	<b>MANAGEMENT</b>							
<b>20.010.012</b>	Policy consultation - minor policies	The process of consulting the public and staff in the development of minor policies of the local authority	Consultation completed	1 year	Destroy	Business requirement		

Revision No.	Author	Role	Changes	Date
Beta 1	Heather Jack	Author	Formatted approved version for Beta 1 publication	09/06/2011
v 2_0	Frank Rankin, IG Scotland	Reviewer	Edits as in Edit History column	Aug-14
v 2_1	Frank Rankin, IG Scotland	Reviewer	Removed series 21.002.015	2015-04

REF	FUNCTION / Activity	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
21	PLANNING AND BUILDING STANDARDS	The function of planning and controlling the development of the built environment of the Council including assessing the impact of developments, consulting with relevant council services and organisations, processing applications and enforcing decisions.		684 - Land and property - derelict properties - public safety 754 - Land and property - reclamation - support and advice
21.001	Building standards	Documentation relating to the enforcing of building regulations, established by the Building (Scotland) Act 2003, for unauthorised works and registration and application processing for Building Warrants, Certificates of Completion and for Letters of Comfort.	UPRN, CAG address, Application Form, Applicants letter, Design Certificate, Objection Letter, Decision Notice, Completion Certificate, Approved Plans, Superseded Plans	499 - Land and property - building control 600 - Land and property - dangerous structures - public safety 880 - Energy - efficiency advice and assessment 1058 - Land and property - building warrants 602 - Land and property - demolitions - control and advice
21.002	Development management	planning applications, restrictions and maintaining public registers to enforce local strategy		515 - Planning - zoning - statutory register 608 - Planning - development control 485 - Planning - private houses 487 - Planning - business property 516 - Planning - decision notices - statutory register 511 - Planning - conservation areas 512 - Planning - conservation advice 603 - Land and property - demolitions - enforcement 1122 - Planning - high hedges 505 - Planning - tree management 508 - Planning - tree preservation orders

REF	FUNCTION / Activity	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
21	PLANNING AND BUILDING STANDARDS	The function of planning and controlling the development of the built environment of the Council including assessing the impact of developments, consulting with relevant council services and organisations, processing applications and enforcing decisions.		684 - Land and property - derelict properties - public safety 754 - Land and property - reclamation - support and advice
21.003	Forward planning	Planning future development including . . Economic regeneration . . Heritage listing . . Housing development . . Local plan . . National planning policy . . Natural environment . . Planning policy . . Planning schemes . . Regional plan . . Sustainable development . . Urban centre planning		594 - Planning - land use proposals 599 - Land and property - statutory development plans 668 - Planning - building and landscape design services 855 - Planning - consultation 823 - Community development - regeneration projects 514 - Planning - listed buildings - statutory register 494 - Planning - local plans 856 - Planning - Local Development Framework 495 - Planning - policies - environmental policies 597 - Planning - landscape character assessment 669 - Parks and open spaces - landscaping 674 - Planning - local plan - minerals 675 - Planning - local plan - waste

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
<b>N/A</b>	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business							
N/A	invoicing, budgeting etc..	See Schedule 12: Finance						
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
N/A	management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
N/A	strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
N/A	Tendering and contracts management	See Schedule 22: Procurement						
<b>21.001</b>	<b>Building standards</b>							

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.001.001	Building forms	Statutory and model forms:- Building Warrant Amendment to building Warrant Extension of period of validity of building warrant Extension of period of use of limited life building Completion Certificate – submission Completion certificate where no building warrant obtained – submission Completion certificate for local authority use Building regulations compliance notice Continuing requirement enforcement notice Building warrant enforcement notice Defective building notice Dangerous building notice Notice of intention to enter premises Authority to enter	Superseded	6 years	Destroy	Regulatory	Building (Forms) (Scotland) Regulations 2005, SSI 2005 No 172	

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.001.002	Building Warrant Records	Copies of Building Warrant Plans, specifications and documents, Completion Certificates, Design Certificates		Permanent Part Two of the Register. 25 years and thereafter for such period as the local authority having regard to any guidance issued by the Scottish Ministers considers reasonable Section 57	Retain for business and historical	Business Requirement	Data is used for business purposes (public searches/copies of documents etc.) Building (Procedure) (Scotland) Regulations 2004. SI 2004 No 428	
21.001.003	Building Warrant Application processing: Building Standards Register Part 1	Electronic applications list, details of certificates from approved certifiers, Compliance and Enforcement Notices		Permanent To be in electronic format Part One of the Register To be maintained by the local authority for all time.	Retain for business and historical value	Statutory	Building (Scotland) Act 2003, Section 24 <b>and</b> The Building (Procedure) (Scotland) Regulations 2004 Section 57 (2)(a) & Section 57(3)	

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.001.004	Building Warrant Application processing: Building Standards Register Part 2 (See also 21.002.015)	Copies of warrants and completion certificates, principal drawings and specifications , other documents submitted by verifiers for registration, copies of energy performance certificates, notices served under Building (Scotland) Act 2003	Date Building Warrant granted	25 years - minor applications; major applications - 50 years Part Two of the Register. 25 years and thereafter for such period as the local authority having regard to any guidance issued by the Scottish Ministers considers reasonable Section 57	Review for business and historical value	Statutory	The Building (Procedure) (Scotland) Regulations 2004 Section 57(2)(b) & 57(4) and Procedural Handbook 2010. Legislation requires 25 year retention, Procedural Handbook gives additional advice of documents which should be kept for longer and recommends agreement between Building Control & Archivist; (details of complex buildings should be retained for at least 50 years or until building demolished). Details of drainage layouts, contaminated land or sites requiring special founds to be retained for longer period	
21.001.005	Building Warrant pre - application discussion	Correspondence, plans and documents	(End of pre-application discussion where no submission results)	2 years	Destroy	Business requirement		
21.001.006	Alternative Compliance Views	Requests, plans, reports and decisions	Building demolished	5 years	Review for business and historical value	Business requirement	The Building (Procedure) (Scotland) Regulations 2004 , Section 57	Moved citation to notes 2014-07.
21.001.007	Building Warrant applications - no plans submitted	Building Warrant application form and documents	from date received	42 days	Return to applicant	Statutory	The Building (Procedure) (Scotland) Regulations 2004, Section 8(b)	Moved citation to notes 2014-07.



Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.001.008	Building Warrant Application processing - no response	Building Warrant Applications (pre-approval), plans, Correspondence, specifications and documents	from 1st response date	9 months	Reject application/agree further period	Statutory	Building (Scotland) Act 2003, Section 47(2).The Building (Procedure) (Scotland) Regulations 2004, Section 60(3); Data required to approve applications	Moved citation to notes 2014-07.
21.001.009	Building Warrant Application processing: - application rejected	Copies of Building Warrant Plans, specifications, documents and refusal.	Last action on case	1 year	Return to applicant	Statutory	The Building (Procedure) (Scotland) Regulations 2004, Section 56(5)Legislative requirement to returns plans to applicant 'without delay'. Destroy	Moved citation to notes 2014-07.
21.001.010	Clearance documents	Letters of Comfort; Exempt class enquiries		Retain permanently	Retain	Business requirement		
21.001.011	Building Standards Compliance & Enforcement - Dangerous/ Defective Buildings	Copies of Notices, details of decisions		Permanent	Retain for business and historical value	Statutory	The Building (Procedure) (Scotland) Regulations 2004, Section 57; Procedures regulations require particulars of notices and details of decisions for sections 28-30 to be retained in part 1 of register for all time.	Moved citation to notes 2014-07.
21.001.012	Building Standards Compliance & Enforcement - Unauthorised works	Copies of Notices, details of decisions	once administrative use has concluded	Permanent	Retain for business and historical value	Statutory	The Building (Procedure) (Scotland) Regulations 2004 Section 57; Procedures regs require particulars of notices and details of decisions for sections 25-27 to be retained in part 1 of register for all time.	Moved citation to notes 2014-07.

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.001.013	Building Standards Compliance & Enforcement - recovery of costs of works		Last action on case	6 years	Destroy	Business requirement		
21.001.014	Property and Ownership Enquiries	Correspondence	Enquiry Response date	2 years	Destroy	Business requirement		
21.001.015	Street Naming & Numbering	Street Naming & Numbering consultations and decisions		Permanent	Retain for business and historical value	Business requirement	Civic Government (Scotland) Act 1982: S97	Moved citation to notes and added authority 2014-07
21.001.016	Search Requests	Records of requests and responses	Date of decision	5yrs	Destroy	Business requirement		
21.001.017	Evacuation of building notice		Date of issue	6 years	Destroy	Business requirement	Building (Scotland) Act 2003. 2003 asp 8 Section 42. To be in writing	
<b>21.002</b>	<b>Development management</b>							
	<b><i>Planning application processing</i></b>							
21.002.001	Pre-application enquiries documentation where no submission results		Last action	2 years	Destroy	Business requirement	Where submission results, transfer records to application file	

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.002.002	Application Case Files	application form, statutory certificates, checklists, acknowledgement letters, correspondence, objections, officer reports, decision notices, appeal correspondence,	Determination of application	10 years	See 21.002.017 - Register of planning applications Part I	Business requirement	Other than requiring the provision of Registers planning legislation does not prescribe a retention policy. However in relation to appeals, access to information legislation, enforcement activity and general openness and transparency on complex procedures it is important that the authority can guarantee that this information exists and is accessible easily and quickly.	
21.002.003	Withdrawn applications		Submission date	1 year	Destroy	Business requirement	It is possible to resubmit an application within 12 months of the original application with no fee	
21.002.004	Dormant applications		Last action	5 years	Destroy	Business requirement		
21.002.005	Planning appeal files			Permanent	Retain for business and historical value			

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.002.006	Enforcement case file		Until premises demolished	Permanent	Retain for business and historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 Section 147 and Town and Country Planning (Enforcement of Control)(N02)(Scotland Regulations 1992). The need for enforcement action may last for many years and indefinitely in the case of listed buildings. All enforcement records need to be kept in perpetuity for legal reasons.	Moved citation to notes 2014-07.
21.002.007	Enforcement register	Served enforcement notices, breach of condition notices and stop notices		Permanent	Retain for business and historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 Section 147 and Town and Country Planning (Enforcement of Control)(N02)(Scotland Regulations 1992)	Moved citation to notes 2014-07.
21.002.008	Ordnance Survey Maps/ Plans - Annotated			Permanent	Retain for business and historical value	Business requirement		
21.002.009	Planning prosecution reports		Close of case	5 years	Review for business and historical value	Business requirement		Amended retention period from permanent 2014-07
21.002.010	application for conservation area consent		Determination of application	5 years	Destroy	Business requirement		
21.002.011	Tree works		Completion of work	5 years	Destroy	Business requirement		Amended trigger 2014-07

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.002.012	Tree preservation orders		While tree exists	3 years or 6 years in case of prosecution	Retain for business and historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 Section 160 and The Town and Country Planning (Tree Preservation Order and Trees in Conservation Areas)(Scotland) Regulations 1995 as amended in 1981 and 1984;	Added retention period 2014-07
21.002.013	Housing development (Social Housing)	See Schedule 14: Housing						
	<b><i>Maintaining registers</i></b>							

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.002.014	Register of planning applications (see also 21.002.003 - Planning Application case files)	Submitted applications, plans and drawings	Determination of application	10 years	Review for historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 Section 36 and The Town and Country Planning (General Development Procedure (Scotland Order 1991 (as amended) Section 10 and Schedule 5; Planning etc. (Scotland) Act 2006.	Moved citation to notes 2014-07. Removed incorrect reference to "part 1" from Record Series 2015-04.
								Removed series 21.002.015 2015-04. Reelevant to building control not planning.

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.002.016	Register of Applications for advertisement consent		Until consent lapses	Permanent	Retain for business and historical value	Business Requirement	The Town and Country Planning (Control of Advertisement Regulations) (Scotland) Regulations 1984 Regulation 31	Added trigger
21.002.017	Register of Applications for Hazardous Substances Consent and Hazardous Substances contravention notices		End of consent for site	6 years	Retain for business and historical value	Business Requirement	Planning (Hazardous Substances) (Scotland) Act 1997 ;Section 56N(1)(a) ; The Town and Country Planning (Hazardous Substances)(Scotland Regulations 1993 as amended Regulations 22 &24	Added retention period 2014-07
21.002.018	Informal Register - Details of confirmed Tree Preservation Orders (TPO)		Tree no longer in place	3 years or 6 years in case of prosecution	Retain for business and historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 Section 160 and The Town and Country Planning (Tree Preservation Order and Trees in Conservation Areas)(Scotland) Regulations 1995 as amended in 1981 and 1984	Moved citation to notes and amended retention period from Permanent. 2014-07
21.002.019	Register of Notifications of proposals to fell or lop trees in conservation areas		Tree no longer in place	3 years or 6 years in case of prosecution	Retain for business and historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 Section 172 & 175	

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.002.020	Register of Listed Building Applications and Applications for Conservation Area consent			Permanent	Retain for business and historical value	Business requirement	Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997 and Para 2.45 of the Memorandum of Guidance 1998	Moved citation to notes 2014-07.
21.002.021	Register of applications for section 51 determinations			Permanent	Retain for business and historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 c.8 section 36(1)	Moved citation to notes 2014-07.
21.002.022	Register of applications for Certificates of Lawfulness (formerly Established use Certificates)			Permanent	Retain for business and historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 c.8 section 36(1)	Moved citation to notes 2014-07.
21.002.023	Register of Telecommunications Masts		While mast is in place	3 years or 6 years in case of prosecution	Retain for business and historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 c.8 section 36(1)	Moved citation to notes and amended retention period from Permanent. 2014-07
21.002.024	Register of Wasteland/Amenity notices served		While wasteland/amenity is in place	3 years or 6 years in case of prosecution	Retain for business and historical value	Business requirement	Town and Country Planning (Scotland) Act 1997 Section 181.	Moved citation to notes and amended retention period from Permanent. 2014-07
<b>21.003</b>	<b>Forward planning</b>							
21.003.001	Employment Land GIS data		Following annual review	5 years	Review for historical value	Business requirement		



Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
21.003.002	Employment Land Survey database		Project no longer required	nil	Destroy	Business requirement		
21.003.003	Housing Land Audit report and GIS features		After issue	10 years	Review for historical value	Business requirement		
21.003.004	Housing Land Audit supporting data and documentation		After issue	3 years	Review for historical value	Business requirement		
21.003.005	SVDLS Scottish Government returns		Completion of survey	3 years	Destroy	Business requirement	Original record with Scottish Government	Retention period amended from 10 years and note added 2014-07
21.003.006	SVDLS supporting documentation	analysis, reporting, GIS	Completion of survey	3 years	Review for historical value	Business requirement		Retention period amended from 5 years 2014-07
21.003.007	Register of Development Plans		Superseded	Permanent	Retain for business and historical value		The Town and Country Planning (Structure and Local Plans) (Scotland) Regulations (SI 1983 No. 1590) Circular 32/1983 Transfer to archives	Added trigger and note 2014-07
	Action area identified in a structure plan			Prescribed period for action area in a structure plan shall be 5 years from the date on which the relevant structure plan is approved by the Secretary of State			The Town and Country Planning (Structure and Local Plans) (Scotland) Regulations (SI 1983 No. 1590) Circular 32/1983	

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History
<b>21</b>	<b>PLANNING AND BUILDING STANDARDS</b>							
	Economic regeneration	See Schedule 09: Economic Development						
21.003.008	Local and Structure plan - final version of plan			Permanent Place copy in archives	Retain for business and historical value	Business requirement		
21.003.009	Local and Structure plan - Examination	written submissions, hearings and enquiry	After plan superseded	5 years	Review for historical value	Business requirement		
21.003.010	Local and Structure plan - preparatory	drafting of plan and consultations on the drafts	Completion of subsequent planning cycle	Nil	Destroy	Business requirement		
21.003.011	Local and Structure plan - action programmes		After plan superseded	2 years	Destroy	Business requirement		
21.003.012	Natural environment - Policies re agriculture, countryside and protected sites		Superseded	Permanent	Retain for business and historical value	Business requirement	Transfer to archives	Added trigger 2014-07
21.003.013	Natural environment / maintaining developing open spaces for public amenity		Date closed	7 years	Destroy	Business requirement		
21.003.014	Planning policy - documentation in relation to specific buildings		Date closed	Permanent	Retain for business and historical value	Business requirement	Transfer to archives	
21.003.015	Planning Consultation - responding to submissions, objections and amendments		Date of decision	15 years	Destroy	Business requirement	Retain high profile schemes for historical value	
21.003.016	Regional plans - final plan	Mineral plan, waste plan,	Superseded	Permanent	Retain for business and historical value	Business requirement	Transfer to archives	Added trigger and note 2014-07
21.003.017	Regional plans - working documents	Mineral plan, waste plan,	Superseded	2 years	Destroy	Business requirement		
21.003.018	Sustainable development - biodiversity, flooding and pollution		Date closed	7 years	Destroy	Business requirement		

Revision No.	Author	Role	Completed	Description
0-1	Claire Johnson	Author	12/03/2010	Initial version
0-2HL	Hazel Lauder	Peer reviewer	08/04/2010	
0-2KW	Kevin Wilbraham	Peer reviewer	27/04/2010	
0-2HJ	Heather Jack	QA reviewer	02/05/2010	
0-3	Claire Johnson	Author	11/05/2010	Update to reflect review feedback
Beta 1	Heather Jack	QA reviewer	18/06/2010	Formatted approved version for Beta 1 publication
Beta 2	Teresa Maley	Peer reviewer	29/08/2011	The term 'approved supplier' was changed to 'contracted supplier' for clarity and to ensure that the terms used are in line with current EU procurement standards/language use
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendments as described in the Edit History column of the RRS
2_1	Frank Rankin, IG Scotland	Reviewer	01/04/2015	Series 22.002.013 added

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

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

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

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

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



Revision No.	Author	Role	Completed	Description
Beta 1	Claire Johnson	Author	10/06/2011	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendments as described in the Edit History column of the RRS
2_1	Frank Rankin, infogov.scot	Reviewer	01/11/18	New series for Civil Partnerships added to 23.001 at suggestion of East Dunbartonshire Council

REF	FUNCTION / Activity	SCOPE NOTES	ALTERNATIVE TERMS/ KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
<b>23</b>	<b>REGISTRARS</b>	The registration of births, deaths and marriages. This area also includes functions of the coroner.	<b>Registration and coroners, civil registration</b>	
23.001	Marriage services	Information relating to marriage services.		
23.002	Registration of births, marriages and deaths	Registration of significant life events.		
23.003	Treasure trove	Information on treasure trove.		
23.004	Citizenship ceremonies			

Reference	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority/ Citation	Notes	Edit History
<b>23</b>	<b>REGISTRARS</b>							
<b>23.001</b>	<b>Marriage services</b>							
23.001.001	Records documenting the registration of marriages.	Approved wedding premises	End of current year.	1 year	Destroy	Business requirement		
23.001.002	Marriage Schedule		Date of completion of examination by General Register Office for Scotland	Permanent	Transfer to General Register Office for Scotland	Business requirement		
23.001.003	Register of Corrections to Register of Marriages		Date of completion of examination by General Register Office for Scotland	Permanent	Transfer to General Register Office for Scotland	Business requirement		
23.001.004	Register of Marriages		Date of completion of examination by General Register Office for Scotland	Permanent	Transfer to General Register Office for Scotland	Business requirement		
23.001.005	Marriage Notice (Form M10)		End of current year.	3 years	Destroy	Business requirement	Records provided by an informant registering a marriage.	
23.001.006	List of intended marriages		End of current year.	3 months	Destroy	Business requirement		
23.001.007	Records documenting the development of general information about civil marriage ceremonies.		Until superseded.		Destroy	Business requirement		

23	REGISTRARS							
23.001.008	Records documenting the handling of a general enquiry about civil marriage ceremonies.		End of current year.	1 year	Destroy	Business requirement		
23.001.009	Records documenting communications with the General Register Office for Scotland about civil marriage ceremony.		End of current year.	5 years	Destroy	Business requirement		
23.001.010	Records documenting arrangements for, and the conduct of, a civil marriage ceremony.		End of current year.	3 years	Destroy	Business requirement		
23.001.011	Civil Partnership Schedule		Date of completion of examination by General Register Office for Scotland	Permanent	Transfer to General Register Office for Scotland	Business requirement		Series added 2018-11 at suggestion of East Dunbartonshire Council
23.001.012	Register of Corrections to Register of Civil Partnerships		Date of completion of examination by General Register Office for Scotland	Permanent	Transfer to General Register Office for Scotland	Business requirement		Series added 2018-11 at suggestion of East Dunbartonshire Council
23.001.013	Register of Civil Partnerships		Date of completion of examination by General Register Office for Scotland	Permanent	Transfer to General Register Office for Scotland	Business requirement		Series added 2018-11 at suggestion of East Dunbartonshire Council

23	REGISTRARS							
23.001.014	Civil Partnerships Notice (Form CP10)		End of current year.	3 years	Destroy	Business requirement		Series added 2018-11 at suggestion of East Dunbartonshire Council
23.001.015	List of intended Civil Partnership		End of current year.	3 months	Destroy	Business requirement		Series added 2018-11 at suggestion of East Dunbartonshire Council
23.001.016	Records documenting the development of general information about Civil Partnership ceremonies.		Until superseded.		Destroy	Business requirement		Series added 2018-11 at suggestion of East Dunbartonshire Council
23.001.017	Records documenting the handling of a general enquiry about Civil Partnership ceremonies.		End of current year.	1 year	Destroy	Business requirement		Series added 2018-11 at suggestion of East Dunbartonshire Council
23.001.018	Records documenting communications with the General Register Office for Scotland about Civil Partnership ceremony.		End of current year.	5 years	Destroy	Business requirement		Series added 2018-11 at suggestion of East Dunbartonshire Council
23.001.019	Records documenting arrangements for, and the conduct of, a Civil Partnership.		End of current year.	3 years	Destroy	Business requirement		Series added 2018-11 at suggestion of East Dunbartonshire Council

23	REGISTRARS							
23.002	Registration of births, marriages and deaths							
23.002.001	Communications from the General Register Office for Scotland setting out policy and guidance to Registrars.		Date superseded.	Nil	Destroy	Business requirement		
23.002.002	Communications with the General Register Office for Scotland about registration issues		End of current year.	5 years	Destroy	Business requirement		
23.002.003	Records documenting the conduct and outcomes of annual visits by the District Examiner from the General Register Office for Scotland.		End of current year.	5 years	Destroy	Business requirement		
23.002.004	Certificates	See further details below	Date of last action.	5 years	Destroy	Business requirement.		
23.002.005	Certificate copy applications		End of current year	1 year	Destroy	Business requirement.		
23.002.006	Marriage and civil partnership notices		Date of last action.	2 years	Destroy	Business requirement.		

23	REGISTRARS							
23.002.007	Registration of birth forms	<p>SCHEDULE 1 - Regulation 3</p> <p>SCHEDULE 2 - Regulation 4</p> <p>SCHEDULE 3 - Regulation 5 Form 3</p> <p>Legal requirement to register a birth notice requiring personal attendance at registration office</p> <p>SCHEDULE 4 - Regulation 6 Form 4</p> <p>legal requirement to register birth final notice</p> <p>SCHEDULE 5 - Regulation 7</p> <p>Abbreviated CERTIFICATE of BIRTH</p> <p>SCHEDULE 6 - Regulation 8 Form 6</p> <p>CERTIFICATE OF STILL-BIRTH</p> <p>Notes about Registration of a Still-Birth</p> <p>SCHEDULE 7 - Regulation 9 Form 7</p> <p>Declaration as to still birth</p>	Current Year	5 years	Destroy	Business requirement.	The Registration of Births, Still-births, Deaths and Marriages (Prescription of Forms) (Scotland) Regulations 1997 Statutory Instrument 1997 No. 2348 (S.157)	Added series 2

23	REGISTRARS							
23.002.008	Regulation 2 Form 8		Current Year	5 years	Destroy	Business requirement.	Registration of Births, Still-births, Deaths and Marriages (Prescription Forms) (Scotland) Amendment Regulations 2005 SSI 2005 No 595 Schedule 1	Added series 2014-07
23.002.009	Regulation 3 – form set out in Schedule 10 of the principle regulations		Current Year	5 years	Destroy	Business requirement.	Registration of Births, Still-births, Deaths and Marriages (Prescription Forms) (Scotland) Amendment Regulations 2005. SSI 2005 No 595 Schedule 2	Added series 2014-07
23.002.011	Regulation 4 - form set out in Schedule 17 of the principle regulations		Current Year	5 years	Destroy	Business requirement.	Registration of Births, Still-births, Deaths and Marriages (Prescription Forms) (Scotland) Amendment Regulations 2005. SSI 2005 No 595 Schedule 3	Added series 2014-07



23	REGISTRARS							
23.002.012	Regulation 3 –Marriage Notice		Current Year	5 years	Destroy	Business requirement.	Marriage (Prescription of Forms) (Scotland) Amendment Regulations 2005. SSI 2005 No 596 Schedule 1 Amends the Marriage (Prescription of Forms) (Scotland) Regulations 1997	Added series 2014-07
23.002.013	Regulation 4 Form DSR Declaration where a marriage is proposed between parties related in a degree specified		Current Year	5 years	Destroy	Business requirement.	Marriage (Prescription of Forms) (Scotland) Amendment Regulations 2005. SSI 2005 No 596. Schedule 2 Amends the Marriage (Prescription of Forms) (Scotland) Regulations 1997	Added series 2014-07
23.002.014	Regulation 6 Form M1 Certificate of no impediment		Current Year	5 years	Destroy	Business requirement.	Marriage (Prescription of Forms) (Scotland) Amendment Regulations 2005 SSI 2005 No 596. Schedule 4 Amends the Marriage (Prescription of Forms) (Scotland) Regulations 1997	Added series 2014-07

<b>23</b>	<b>REGISTRARS</b>							
<b>23.003</b>	<b>Treasure trove</b>							
23.003.001	Inquests on remains found in treasure trove	Date of last action.	2 years	Destroy		Business requirement.	TNA Retention and Disposal Guidance 13.	
<b>23.004</b>	<b>Citizenship ceremonies</b>							
23.004.001	Records documenting the development of general information about citizenship ceremonies.		Until superseded.	Nil	Destroy	Business requirement.		
23.004.002	Records documenting the handling of a general enquiry about citizenship ceremonies.		End of current year.	1 year	Destroy	Business requirement.		
23.004.003	Records documenting communications with the Home Office about on general matters relating to the conduct of citizenship ceremonies.		End of current year.	5 years	Review for ongoing value	Business requirement.		
23.004.004	Records documenting arrangements for, and the conduct of, a citizenship ceremony.		End of current year.	3 years	Destroy	Business requirement.		

Revision No.	Author	Role	Completed	Description
Beta 1	Claire Johnson	Author	10/06/2011	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendment as described in the Edit History column of the RRS

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

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

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

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

Revision No.	Author	Role	Changes	Date
Beta 1	Heather Jack	Author	Formatted approved version for Beta 1 publication	09/06/2011
2_0	Frank Rankin, IG Scotland	Reviewer	Amendments as described in the Edit History column of the RRS	11/08/2014



REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>	<b>The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people</b>		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
<b>25.001</b>	Design and construction	The activity of planning, designing, programming and constructing the Transport Infrastructure		
<b>25.002</b>	Harbours and waterways	Information relating to harbours or inland waterways. Information relating to boats and their moorings. Documentation related to port facilities. Estimated time of arrival notification documentation. Notifications related to imported goods. Documentation related to watercraft.		556 - Canals and waterways 757 - Boats - boat and trailer parking 762 - Boats - launching and recovery facilities 778 - Boats - launch service 779 - Safety - lifebelts - provision 780 - Boats - houseboats 781 - Reservoirs - management 1006 - Ports and harbours - navigation and berthing 758 - Boats - moorings 768 - Boats - mooring space - waiting lists 771 - Boats - winter storage facilities 759 - Ports and harbours - craneage 761 - Ports and harbours - fork lifts - hire 764 - Ports and harbours - pilotage - harbours 765 - Ports and harbours - information 766 - Ports and harbours - storage lockers 767 - Ports and harbours - towing for marine and waterway vessels 769 - Ports and harbours - waste reception and disposal 770 - Ports and harbours - weather data 772 - Ports of entry - animals - importation 773 - Ports of entry - notification of times of arrival 774 - Ports and harbours - marine docking beds - applications

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
25	TRANSPORT AND INFRASTRUCTURE	The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
				775 - Ports of entry - notification of consignment to be imported 777 - Ports of entry - detention 847 - Ports and harbours - rabies protection 740 - Licences - self drive boats 763 - Boats - registration
25.003	Highway development control	Responsibility for highways. Adoption of new highways. Handling of highways extents enquiries from solicitors, developers, districts etc. Extinguishment of highways. Documentation relating to notification to the public of maintenance, changes in status, and closures, etc. The process of receiving, considering and responding to submissions and objections to planning schemes and amendments. Gazetteer of highways types.	planning and development	1087 - Registers - statutory - public roads

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
25	TRANSPORT AND INFRASTRUCTURE	The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
25.004	Highway enforcement	Information to ensure highways are safe and free from obstruction. Documentation related to the control of advertising hoarding. Documentation relating to enforcement of the proper use and maintenance of transport and highways. Enforcement of parking infringement includes both on-site and off-site. Documentation related to parking fines. Documentation related to the reinstatement of roadways. Documentation related to the regulation of scaffolding and the enforcement of rules and regulations associated with this. Documentation related to speeding fines. Documentation related to the enforcement of weight limits.		536 - Roads - pavements - obstructions 550 - Roads - obstructions 551 - Roads - enforcement  472 - Roads - street parking - clamping and removal 471 - Roads - street parking - fines  571 - Roads - speed limits 552 - Roads - weight limits

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
25	TRANSPORT AND INFRASTRUCTURE	The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
25.005	Infrastructure management	<p>Documentation on managing transport infrastructure. Provision for cycle routes. Feasibility studies, desk studies, geotechnical site investigations, site and laboratory testing and contaminated land studies provided by the local authority. Documentation related to general maintenance of transportation systems. Installation of instruction and warning signs. Provision of public conveniences. Toilets. Maintenance and cleaning. Documentation relating to service providers. Documentation relating to the process of installing and maintaining street furniture: finger posts, litter bins, public seats etc. Documentation on the street naming development naming and property numbering/naming.</p> <p>Survey data relating to transport and infrastructure. Provision of designated taxi ranks.</p>		<p>637 - Transport - bus stops and shelters - positioning 906 - Transport - stations, stops and shelters 539 - Roads - markings and signage - cycle lanes and routes 595 - Environmental services - geotechnology 554 - Roads - bridge strengthening 560 - Roads - pavements - stolen slabs 563 - Roads - walls - maintenance 540 - Roads - markings and signage - road signs 1117 - Road markings and signage - tourist signs 579 - Public toilets</p> <p>559 - Roads - street furniture - provision and maintenance 581 - Refuse - litter bins 1094 - Animals - dog bins 513 - Planning - street names and numbering - statutory register 541 - Roads - markings and signage - street name plates</p> <p>786 - Transport - taxi ranks - provision</p>

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
25	TRANSPORT AND INFRASTRUCTURE	The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
25.006	Public transport	Information on public transport. Transport for members of the community. Includes schemes such as 'dial-a-ride', shopmobility, community bus and car schemes. Information regarding the transport concessions offered to the disabled. Information about future plans, public transport routes and timetable. The timetabling of public transportation system.		907 - Transport - ticketing 272 - Transport - community services 901 - Transport - demand responsive transport 221 - Disabled and older people - rail card 273 - Older people - bus passes 275 - Disabled people - taxi card 280 - Disabled people - bus passes 1041 - Children and young people - Young Scot Card  902 - Transport - journey planning 903 - Transport - real time information 904 - Transport - service changes 905 - Transport - service disruption information 908 - Transport - timetable information

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
25	TRANSPORT AND INFRASTRUCTURE	The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
25.007	Rights of way	Documentation relating to the process for creating and maintaining rights of way in the local area. Includes the Rights of Way Definitive Map. May include information relating to cycle routes. Enquiries and correspondence from the public concerning rights of way. Information, including maps defining the locations and routes of rights of way. Orders creating public rights of way. Management of the council's responses from a rights of way management perspective to planning applications and proposals. Regulation of ploughing and cropping on public rights of way. Rights of way searches carried out by the council.		613 - Planning - rights of way - advice and information 614 - Planning - rights of way - enforcement 862 - Countryside - local access forums 1118 - Countryside - Access Land 1120 - Planning - rights of way - maintenance

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
25	TRANSPORT AND INFRASTRUCTURE	The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
25.008	Road maintenance	Road maintenance. Regular inspections of bridges on highways. Keeping drains and gullies clear and provision of advice on drainage. Documentation related to emergency maintenance. Removal of hazards on the road. Including removal of dead animals, oil spills etc. Documentation relating to inspection of adopted highways. Vehicle crossovers. Documentation relating to unplanned and planned maintenance. Documentation related to scheduled maintenance. Documentation related to the maintenance of verges.		537 - Roads - pavements - maintenance 549 - Roads - maintenance - structural surveys 557 - Roads - maintenance 569 - Roads - road-works 572 - Roads - access to property 553 - Roads - bridges 555 - Roads - flooding - drains and gullies 664 - Drainage - help and advice  576 - Animals - dead - removal 591 - Roads - safety - spillages  477 - Roads - vehicle access - kerbs  574 - Roads - verges - maintenance 589 - Land and property - grass cutting

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>	<b>The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people</b>		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
<b>25.009</b>	Road safety	Information on road safety. Investigations into road traffic accidents for the purposes of improving road safety. MOT testing of vehicles by accredited council garages. Documentation relating to road safety awareness. Audits / inspections of highways from a road safety perspective. Documentation relating to school crossing patrols. Includes information on the reason for the siting of the camera, any settings etc.		545 - Roads - safety - dangerous road junctions 546 - Roads - safety - cycling and walking to school 547 - Roads - safety - cycling proficiency 548 - Roads - safety - traffic schemes 568 - Roads - safety - pedestrian crossings  869 - Council - commercial activities - MOT testing  573 - Roads - school crossing patrols 784 - Roads - safety - speed checks
<b>25.010</b>	School transport	Transport to and from school. Documentation relating to school transport services.		891 - Schools - transport



REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
25	TRANSPORT AND INFRASTRUCTURE	The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
25.011	Traffic management	<p>Management of traffic.</p> <p>Consent for moving an abnormal load.</p> <p>Keeping roads and pavements clear when weather conditions may prove hazardous.</p> <p>Includes the monitoring of highway, transport and traffic use.</p> <p>Documentation relating to parking permits, parking schemes, skips, scaffolding etc. Includes information relating to the development and management of controlled parking zones.</p> <p>Documentation relating to the specifics of parking sites.</p> <p>The activity of planning, and programming the continued safety of school routes.</p> <p>The activity of planning and programming the continued effectiveness of street-based lighting.</p> <p>The management and control of traffic calming measures.</p> <p>The activity of planning, and programming the continued flow, diversion or reduction of traffic.</p> <p>Traffic management and parking requires to be regulated by various statutory orders.</p>		<p>567 - Roads - traffic lights</p> <p>568 - Roads - safety - pedestrian crossings</p> <p>607 - Demonstrations and parades - granting of permission</p> <p>1111 - Transport - car pooling schemes</p> <p>1112 - Transport - Park and Ride Schemes</p> <p>785 - Transport - abnormal loads - notification</p> <p>561 - Roads - gritting</p> <p>562 - Roads - snow clearance</p> <p>929 - Emergencies - winter weather</p> <p>274 - Disabled people - parking bays</p> <p>473 - Roads - street parking - zones</p> <p>474 - Roads - street parking - permits</p> <p>475 - Roads - street parking - pavements</p> <p>479 - Car parks - private</p> <p>564 - Roads - street lighting</p> <p>543 - Roads - safety - speed humps</p> <p>538 - Roads - markings and signage - yellow lines</p> <p>542 - Roads - markings and signage - red routes</p> <p>570 - Roads - closures and diversions</p> <p>933 - Emergencies - severe weather warnings</p>

REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES/NATIONAL INTERNAL SERVICES LIST MAPPING
25	TRANSPORT AND INFRASTRUCTURE	The function of managing transport and the infrastructure to support it. Transportation policy and programmes ensure the safe movement of goods and people		945 - Transport - patient transport 965 - Facilities - vehicle maintenance
		Implementation of road traffic orders. The planning and investigation of road traffic orders. The effects of weather conditions on the transport system.		
25.012	Transport planning	Planning transport developments. Documentation associated with the approval of planning applications which affect this section. Development of transport strategy. The planning of transport issues. The carrying out of transport modelling projects. Traffic census data. Employer travel plans. School travel plans.		493 - Planning - transport policy

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
25	TRANSPORT AND INFRASTRUCTURE							
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
N/A	invoicing, budgeting etc..	See Schedule 12: Finance						
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
N/A	management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
N/A	strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
N/A	Tendering and contracts management	See Schedule 22: Procurement						
25.001	<b>Design and construction</b>							
25.001.001	Design and construction:- Roads and highways; Traffic management schemes; Coast Protection Structures; Flood Schemes; Harbours, Quarries, etc.	Project Management Design of Works Procurement of Works Construction Environmental assessments Public Enquiries	Completion of project	5 years	Destroy/re view for historical value	Business requirement	Quarries are subject to separate specific health and safety legislation	Note added 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.001.002</b>	Design and construction as built and supporting information.	Drawings, photographs, design calculations, ground investigations, inspection reports		Permanent	Retain for business and historical value	Business requirement		
<b>25.001.003</b>	Lighting scheme design	Bill of quantities, Design Drawings, calculations, correspondence;	End of life of asset	5 years	Destroy	Business requirement		Removed "Payment certificate and invoices" from example record types 2014-07
<b>25.001.004</b>	Lighting scheme design	Installation documentation, Health & Safety file, correspondence	End of life of asset	3 years	Destroy	Business requirement		
<b>25.001.005</b>	Provision of permanent road markings	Design documents including plans, work requests & orders, contract documents, approval and remedial actions	Once development completed	7 years	Destroy	Business requirement	The Traffic Signs Regulations and General Directions 2002	
<b>25.001.006</b>	Road construction consent	URSN, Application Form, Acknowledgement Letter, Approved Plans, Supporting Information, Committee Report, Decision Confirmation	End of life of road or date of consent if road not constructed	6 years	Review for business and historical value	Business requirement	Roads (Scotland) Act, 1984 section 21;	Amended trigger to include consents not constructed. Amended retention from permanent to 6 years with Review. 2014-07
<b>25.002</b>	<b>Harbours and waterways</b>							
<b>25.002.001</b>	Application processing for adoption of harbour/pier - application rejected		Date of last action on application	5 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.002.002</b>	Application processing for adoption of harbour/pier - application approved			Permanent	Retain for business and historical value	Business requirement		
<b>25.002.003</b>	Development of an adopted harbour/pier by the Council.			Permanent	Retain for business and historical value	Business requirement		
<b>25.002.004</b>	Inspection and assessment of an adopted harbour/pier to identify defects and priorities for maintenance.		End of current year	10 years	Review for business value	Business requirement		
<b>25.002.005</b>	Maintenance work on an adopted harbour/pier.		End of current year	10 years	Destroy	Business requirement		
<b>25.003</b>	<b>Highway development control</b>							
<b>25.003.001</b>	Recording location of highways, bridle paths, foot paths and rights of way.	Definitive map Correspondence concerning enquiries and disputes	To be kept up to date	Permanent	Retain for business and historical value	Business requirement		
<b>25.003.002</b>	Establishing planning scheme controls and providing for them to be amended and modified.	Amendments to definitive map Road adoption		Permanent	Retain for business and historical value	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.003.003</b>	The process of receiving, considering and responding to submissions and objections to planning schemes and amendments		Issue of decision	5 years	Destroy	Business requirement		
<b>25.004</b>	<b>Highway enforcement</b>							
<b>25.004.001</b>	Car Parking - excess notices		Completion of appeal	5 Years	Destroy	Business requirement	Roads (Scotland) Act 1991 and The Road Traffic Act 1991 (Special Parking Area) (Scotland) Order 2003 SSI 2003 No 508	Expanded note 2014-07
<b>25.004.002</b>	Fixed Penalty Notices served by Roads Authority		After compliance with notice	3 Years	Destroy	Business requirement	Roads (Scotland) Act 1991 and The Road Traffic Act 1991 (Special Parking Area) (Scotland) Order 2003 SSI 2003 No 508	Expanded note 2014-07
<b>25.004.003</b>	Applications and consents - builder skips, building materials, scaffolding, road opening and works related to private apparatus on or over any part of the road	Application Form, Assessment, Approval, Inspections, Enforcement	Expiry of consent	3 Years	Destroy	Business requirement	Required by Roads (Scotland) Act 1984	
<b>25.004.004</b>	Applications and consents - rejected	Application Form, Assessment, Approval, Inspections, Enforcement	Date rejected	1 year	Destroy	Business requirement	Required by Roads (Scotland) Act 1984	
<b>25.005</b>	<b>Infrastructure management</b>							

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.005.001</b>	List of public roads (LOPR)	Notification, Request, LSG, USRN, Road Schedule, Plan, Inspection, street Gazetteer		Permanent	Retain for business and historical value	Business requirement	Required by Roads (Scotland) Act 1984	
<b>25.005.002</b>	Local and national coring	SWSR extract, location List, Notification, Plans, Report, Inspections, Follow On Action, Inspection List, Symology Website	End of guarantee period of failed reinstatements	5 years	Destroy	Business requirement	to comply with the New Roads and Street Works Act(NRSWA)	
<b>25.005.003</b>	Weekly road report		End of current year	5 years	Destroy	Business requirement		
<b>25.006</b>	<b>Public transport</b>							
<b>25.006.004</b>	Demand-responsive public transport service - bookings		End of current financial year	1 year	Destroy	Business requirement	Data Protection Act 1998 c.29	
<b>25.006.005</b>	Liaison with public transport users through a representative group.		Current	5 years	Destroy	Business requirement		
<b>25.006.006</b>	Concessionary travel - application rejected		Last action on application	6 months	Destroy	Business requirement	Data Protection Act 1998 c.29	Moved statute to note 2014-07
<b>25.006.007</b>	Concessionary travel - application approved		Expiry / Withdrawal of pass	1 year	Destroy	Business requirement	Data Protection Act 1998 c.29	Moved statute to note 2014-07
<b>25.006.008</b>	Community transport scheme - development	Records documenting the Council's involvement in developing a community transport scheme.	Life of scheme	5 years	Review for business and historical value	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.006.009</b>	Community transport scheme - support	Records documenting the Council's support for a community transport scheme.	Current year	3 years	Destroy	Business requirement		
<b>25.006.010</b>	Operators license		License expiry	5 years	Return to Department of Transport	Business requirement		
<b>25.006.011</b>	Tachographs		End of current year	1 year	Destroy	Business requirement	Transport Act 1968 1968 Chapter 73. Sections 96, 98, 99, 103 EC Regulation 3821/85 Passenger and Goods Vehicles (Recording Equipment) Regulations 2005. SI 2005 No 1904	Added note 2014-07
<b>25.006.012</b>	Fuel movement reports		End of current year	1 year	Destroy	Business requirement		
	Management of the public transport vehicle fleet.	See Records Retention Schedule for Council Property						
<b>25.007</b>	<b>Rights of way</b>							
<b>25.007.001</b>	Handling of a general enquiry about Rights Of Way.		Current year	1 year	Destroy	Business requirement		
<b>25.007.002</b>	Records documenting the Council's involvement in resolving a dispute over a Rights Of Way.	Case file	Last action on case	5 years	Destroy	Business requirement		



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.007.003</b>	Records documenting legal action taken by the Council to protect, maintain, divert or extinguish a Right Of Way.	Case file		Permanent	Retain for business and historical value	Business requirement		
<b>25.007.004</b>	Definitive map/descriptions of public rights of way			Permanent	Retain for business and historical value	Business requirement		
<b>25.007.005</b>	Core Path Plans		Until superceded	Permanent	Retain for business and historical value	Business requirement	Land Reform (Scotland ) Act 2003. 2003 asp 2 Sections 17, 18, 20 To be available for sale and public inspection	Added series 2014-07
<b>25.007.006</b>	Path Orders		Until superceded	Permanent	Retain for business and historical value	Business requirement	Land Reform (Scotland ) Act 2003. 2003 asp 2 Section 22 (8) and Schedule 1 To be in writing	Added series 2014-07
<b>25.007.007</b>	Notice of proposed order		Date of notice	5 years	Destroy	Business requirement	Land Reform (Scotland ) Act 2003. 2003 asp 2 Section 22 (8) and Schedule 1 To be in writing	Added series 2014-07
<b>25.008</b>	<b>Road maintenance</b>							
<b>25.008.001</b>	Annual works programme		End of current year	10 years	Review for business value	Business requirement		
<b>25.008.002</b>	Condition assessment		End of current year	10 years	Review for business value	Business requirement		
<b>25.008.003</b>	Defect rectification		Rectification date	5 years	Destroy	Statutory		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.008.004</b>	Highway Structures Inspection Reports		Until superseded	Permanent	Retain for business and historical value	Business requirement	Required by Roads (Scotland) Act 1984	
<b>25.008.005</b>	Public Liability Enquiries		Close of enquiry	5 years	Destroy	Business requirement		
<b>25.008.006</b>	Safety Inspections		Date of inspection	5 years	Destroy	Business requirement		
<b>25.008.007</b>	Winter maintenance	Gritting Routes - Treatment Logs -	Until superseded End of current year	5 years	Destroy	Business requirement		Amended trigger to "Until superseded" for Gritting Routes 2014-07
<b>25.008.008</b>	ICE Early Warning System	Equipment and Operation	End of financial year to which records relate.	5 years	Destroy	Business requirement		
<b>25.008.009</b>	Test and inspection of street lighting	Structural Test & Inspections, Night Inspection records	superseded by next inspection and test	5 years	Destroy	Business requirement		
<b>25.008.010</b>	Street lighting Repair Sheets		End of financial year	5 years	Destroy	Business requirement		
<b>25.008.011</b>	Road closure - application processing where the application is rejected.		Last action on application	6 months	Destroy	Business requirement		
<b>25.008.012</b>	Road closure - application processing where the application is approved.		End of closure period	1 year	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.008.013</b>	Planning and management of a temporary road closure/diversion, and other traffic restrictions.	including - planning of an alternative route and facilities, the specification of temporary signs and barriers required to warn and divert traffic, installation of signs, barriers and temporary facilities, liaison with other authorities and organisations, the preparation and publication of notices of temporary road closures and diversions	End of restrictions	1 year	Destroy	Business requirement		
<b>25.009</b>	<b>Road safety</b>							
<b>25.009.001</b>	Promotion of road safety	local, regional or national campaign, partnership with a community organisation or another agency to promote road safety generally, and to specific target groups	Superseded	5 years	Destroy	Business requirement		
<b>25.009.002</b>	Road safety training programme	key records - training materials, evaluation	Programme completed	5 years	Destroy	Business requirement		
<b>25.009.003</b>	Road safety training programme	administration and working documents	Programme completed	1 year	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.009.004</b>	Analysis of road accident data to identify and prioritise improvements to locations or routes		End of current year	10 years	Destroy	Business requirement		
<b>25.009.005</b>	Investigation into a reported road safety hazard, and action taken.	case file	Last action on case	5 years	Destroy	Business requirement		
<b>25.009.006</b>	Road safety audit		Completion of next audit	5 years	Destroy	Business requirement		
<b>25.010</b>	<b>School transport</b>							
<b>25.010.001</b>	Assessment of requirements/demand for the school transport service.		End of current year	5 years	Review for ongoing value	Business requirement		
<b>25.010.002</b>	Planning and scheduling of school transport service routes.		End of current year	3 years	Review for ongoing value	Business requirement		
	Management of the school transport vehicle fleet.	See Records Retention Schedule for Council Property						
<b>25.011</b>	<b>Traffic management</b>							
<b>25.011.001</b>	Traffic orders (permanent)			Permanent	Retain for business and historical value	Business requirement		
<b>25.011.002</b>	Traffic orders (temporary)		Expiry of order	3 years	destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.011.003</b>	Traffic management schemes to manage continued flow, diversion or reduction of traffic.		End of life of scheme	5 years	destroy	Business requirement		
<b>25.011.004</b>	Measurement, monitoring and analysis of traffic volume and flow.		End of current year	5 years	Destroy	Business requirement		
<b>25.011.005</b>	Weather forecasting		End of financial year	5 years	Destroy	Business requirement		
<b>25.011.006</b>	Records documenting lobbying activities aimed at improving transport in and through the region.		End of current year	10 years	Review for ongoing and historical value	Business requirement		
<b>25.011.007</b>	Public parking area management	inspection and assessment, maintenance work,	Current	5 years	Destroy	Business requirement		
<b>25.011.008</b>	Processing complaint about a public parking area		Last action on complaint	3 years	Destroy	Business requirement		
<b>25.011.009</b>	Resident/disabled parking permit application processing - rejected application	Case file	Last action on application	6 months	Destroy	Business requirement		
<b>25.011.010</b>	Resident/disabled parking permit application processing - approved application	Case file	Expiry/withdrawal of permit	1 year	Destroy	Business requirement		
<b>25.011.011</b>	Traffic lights & pedestrian crossings - needs assessment		Superseded	5 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.011.012</b>	Traffic lights & pedestrian crossings - design & installation		Life of installation	5 years	Destroy	Business requirement		
<b>25.011.013</b>	Traffic lights & pedestrian crossings - maintenance		End of current year	5 years	Destroy	Business requirement		
<b>25.012</b>	<b>Transport planning</b>							
<b>25.012.001</b>	Records documenting the Council's involvement in the development of a major transport scheme.			Permanent	Retain for business and historical value	Business requirement		
<b>25.012.002</b>	The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the Local Authority.	Structure Plan Local transport plan		Permanent	Retain for business and historical value	Business requirement		
<b>25.012.003</b>	Public transport service planning including scheduled services, demand responsive services and "special needs" services	Assessment of requirements	Superseded	5 years	Destroy	Business requirement		
<b>25.012.004</b>	Cycle and Disability Audits		Superseded	5 years	Destroy	Business requirement		
<b>25.012.005</b>	Route Action Studies		Superseded	5 years	Destroy	Business requirement		
<b>25.012.006</b>	Traffic Reviews		Superseded	5 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>25</b>	<b>TRANSPORT AND INFRASTRUCTURE</b>							
<b>25.012.007</b>	Traffic Counts, studies and statistics		On completion of review	10 Years	Destroy	Business requirement		
<b>25.012.008</b>	Home Zones	Correspondence and options appraisal files	End of financial year	5 years	Destroy	Business requirement		

Revision No.	Author	Role	Completed	Description
Beta 1	Claire Johnson	Author	10/06/2011	Formatted approved version for Beta 1 publication
2_0	Frank Rankin, IG Scotland	Reviewer	11/08/2014	Amendments as described in the Edit History column of the RRS



REF	FUNCTION / ACTIVITY	SCOPE NOTES	ALTERNATIVE TERMS / KEY WORDS	SCOTTISH SERVICES / NATIONAL INTERNAL SERVICES LIST MAPPING
<b>26</b>	<b>WASTE MANAGEMENT</b>	<b>The management of waste in the local area. Includes collection, recycling and waste sites.</b>		
<b>26.001</b>	<b>Waste strategy</b>	Development of waste strategy initiatives.		877 - Refuse - area waste strategy
<b>26.002</b>	<b>Fly tipping</b>	Information about illegally dumped rubbish		580 - Refuse - litter - removal
				587 - Refuse - flytipping
<b>26.003</b>	<b>Street cleaning</b>	Information on street cleaning.		581 - Refuse - litter bins
				528 - Refuse - household waste - special collections for large items
<b>26.004</b>	<b>Waste collection</b>	Information on waste collection.		517 - Refuse - commercial waste - collection
				519 - Refuse - commercial waste - trade bins
				850 - Refuse - hazardous waste - collection
				524 - Refuse - household waste - collection
				526 - Refuse - household waste - domestic bins
				522 - Refuse - commercial waste - special trade collections
				854 - Refuse - household waste - assisted collection
				859 - Refuse - household waste - clinical
				530 - Refuse - household waste - garden waste
<b>26.005</b>	<b>Waste disposal</b>	Information on waste disposal sites and their management.		520 - Refuse - commercial waste - disposal sites
				523 - Refuse - commercial waste - clinical waste disposal
				518 - Refuse - commercial waste - spillage
				531 - Refuse - household waste - disposal sites
<b>26.006</b>	<b>Waste reduction</b>	Information on reducing the amount of waste.		521 - Refuse - skip permits
				689 - Refuse - skip services

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
26	<b>WASTE MANAGEMENT</b>							
N/A	<b>Cross-organisational records:</b> unless otherwise stated in this schedule, refer to the following schedules for retention policies relating to the following business activities.							
N/A	Invoicing, budgeting etc..	See Schedule 12: Finance						
N/A	Health and Safety monitoring, inspections etc..	See Schedule 13: Health and Safety						
N/A	Management and training of staff delivering or receiving ICT services within the Council	See Schedule 15: Human Resources						
N/A	Strategy, planning, Performance Policies, procedures, Meetings, Inter-agency working, communications, events mgmt, promotion. Enquiries and complaints, project management	See Schedule 20: Management						
N/A	Tendering and contracts management	See Schedule 22: Procurement						
26.001	<b>Waste Strategy</b>							
26.001.001	Partnership plans and Area Waste Plans		Until superseded	Permanent	Retain for historical value.	Business requirement		
26.001.002	Strategy development		Until superseded	5 years	Destroy/ Review for historical value.	Business requirement		Amended retention period from Permanent 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>26</b>	<b>WASTE MANAGEMENT</b>							
<b>26.002.003</b>	Integrated Waste Management Plan		Until superseded	Permanent	Transfer to archive	Business requirement	Plan required under Environmental Protection Act 1990, Section 44ZA. Local Government in Scotland Act 2003, S 34	Series added 2014-07
<b>26.002</b>	<b>Fly tipping</b>							
<b>26.002.01</b>	Fly tipping- Enquiries		End of current year.	1 year	Destroy	Business requirement		Removed "or 5 years" from retention period. 2014-07
<b>26.002.02</b>	Fly tipping - general information and advice.		Until superseded	3 years	Destroy	Business requirement		Amended retention from "1 or 5 years" 2014-07
<b>26.002.03</b>	Fly tipping - reports and action taken.		Date of last action.	3 years	Destroy	Business requirement		Amended retention from "3 or 5 years" 2014-07
<b>26.003</b>	<b>Street cleaning</b>							
<b>26.003.001</b>	Pest control- Enquiries		End of current year	1 year	Destroy	Business requirement	See also Health & Safety RRS 13.004.001 Risk assessments	Amended trigger from "Last action" and retention from "Nil". 2014-07
<b>26.003.002</b>	Pest control - general information and advice.		Superseded.	1 year	Destroy	Business requirement	See also Health & Safety RRS 13.004.001 Risk assessments	Amended trigger from "Last action/current year" 2014-07
<b>26.003.003</b>	Pest control - reports and action taken.		Date of last action.	3 years	Destroy	Business requirement	See also Health & Safety RRS 13.004.001 Risk assessments	
<b>26.003.004</b>	Road cleansing - complaints		Date of last action.	1 year	Destroy	Business requirement		Amended retention period from "Current year or 3 years" 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>26</b>	<b>WASTE MANAGEMENT</b>							
<b>26.003.005</b>	Road cleansing - enquiries		End of current year.	1 year	Destroy	Business requirement		
<b>26.003.006</b>	Road cleansing - general advice and information		Superseded.	1 year	Destroy	Business requirement		Amended trigger from "Last action/current year" 2014-07
								Removed duplicate records series 2014-07
<b>26.003.008</b>	Road cleansing - programme development		Superseded.	1 year	Destroy	Business requirement		
<b>26.003.009</b>	Road cleansing - scheduling		End of current year.	1 year	Destroy	Business requirement		
<b>26.004</b>	<b>Waste collection</b>							
<b>26.004.001</b>	Abandoned vehicles - enquiries		End of current year.	1 year	Destroy	Business requirement		Amended trigger from "Date superseded or End of current year" 2014-07
<b>26.004.002</b>	Abandoned vehicles - general information and advice		Superseded.	1 year	Destroy	Business requirement		Amended trigger from "End of current year" 2014-07
<b>26.004.003</b>	Bulk waste collection		Date of last action.	2 years	Destroy	Business requirement		Amended retention from "2 years or 5 years", 2014-07
<b>26.004.004</b>	Controlled waste collection		Date of last action.	5 years	Destroy	Business requirement		
<b>26.004.005</b>	Discarded needles - advice and general information		Date superseded.	5 years	Destroy	Business requirement		Amended retention from "Nil or 5 years", 2014-07
<b>26.004.006</b>	Discarded needles - enquiries		End of current year.	1 year	Destroy	Business requirement		Amended retention from "1 or 5 years", 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>26</b>	<b>WASTE MANAGEMENT</b>							
<b>26.004.007</b>	Discarded needles - report and removal		Date of last action.	5 years	Destroy	Business requirement		Amended retention from "3 years or 5 years", 2014-07
<b>26.004.008</b>	Domestic waste collection		Date of last action.	2 years	Destroy	Business requirement		Amended retention from "2 years or 5 years", 2014-07
<b>26.004.009</b>	Trade waste collection		Date of last action.	2 years	Destroy	Business requirement		Amended retention from "2 years or 5 years", 2014-07
<b>26.004.010</b>	Special waste collection records		Current year	3 years	Destroy	Statutory	The Special Waste Amendment (Scotland) Regulations 2004 (SSI 2004 No.112) Reg 15a	
<b>26.005</b>	<b>Waste disposal</b>							
<b>26.005.001</b>	Waste sites - enquiries		End of current year.	1 year	Destroy	Business requirement		
<b>26.005.002</b>	Waste sites - exempt activity returns		End of current year.	3 years	Destroy	Business requirement		
<b>26.005.003</b>	General information and advice about waste treatment and disposal.		Date superseded.	Nil	Destroy	Business requirement		
<b>26.005.004</b>	Management plan - Operation of a landfill waste disposal site.		End of current year.	5 years	Destroy	Scottish Environmental Protection Agency (SEPA) guidance	SSI 2003 No 235	

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>26</b>	<b>WASTE MANAGEMENT</b>							
<b>26.005.005</b>	Licensed / Permitted Waste Management Site Returns			Closure of site	Destroy	Scottish Environmental Protection Agency (SEPA) guidance		
<b>26.005.006</b>	Records documenting the testing of waste when it is accepted at the landfill site (including samples and results of any analysis).		Date of analysis	1 month	Destroy	SSI 2003 No. 235 Regulation 14(2)		
<b>26.005.007</b>	Records documenting annual reporting to SEPA of monitoring and other data.		Current year	5 years	Destroy	Business requirement	Record required by SSI 2003 No. 235 Regulation 16(5)	Amended from 1 or 5 years. 2014-07
<b>26.005.008</b>	Records of job skills and training requirements.		Until superseded.	1 year	Destroy	Business requirement		Amended from "Current or 1 year" 2014-07
<b>26.005.009</b>	Records of staff training		Termination of employment	5 years	Destroy	Business requirement	May be held on personnel file for termination of employment + 6 years. For training specific to health and safety functions, retain for relevant specific retention period.	Added note. 2014-07
<b>26.005.010</b>	Site inspection reports		Current year	3 years	Destroy	Business requirement		

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>26</b>	<b>WASTE MANAGEMENT</b>							
<b>26.005.011</b>	Records documenting the closure, restoration and aftercare of a landfill site.		Date of closure.	Permanent	Transfer to Archives	Business requirement	SSI 2003 No 235 Regulation 13 The operator of a landfill shall ensure that the charges the operator makes for the disposal of waste in its landfill covers all of the following—the estimated costs for the closure and after-care of the landfill site for a period of at least 30 years from its closure.	Added note 2014-07
<b>26.005.012</b>	Records documenting the planning and scheduling of the transportation of waste.		End of current year.	3 years	Destroy	Business requirement		Amended from 1 or 5 years. 2014-07
<b>26.005.013</b>	Waste sites development	Landfill waste disposal site development.	Date superseded.	Permanent	Transfer to Archives	Business requirement		
<b>26.005.014</b>	Permit - Obtaining and maintaining a landfill permit from the Scottish Environmental Protection Agency.		Termination of permit	5 years	Destroy	Statutory	Record required by SSI 2000 No. 323 Regulation 6	
<b>26.005.015</b>	Waste site plans (as-built) and photographs		Date file closed.	Permanent	Transfer to Archives	Business requirement		
<b>26.005.016</b>	Site Conditioning Plans	Records documenting the monitoring of groundwater, surface water, leachate and gas, including sampling results.	End of current year.	6 years	Destroy	Business requirement	Data returns to Scottish Environmental Protection Agency (SEPA)	

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>26</b>	<b>WASTE MANAGEMENT</b>							
<b>26.005.017</b>		Records documenting the collection, treatment and disposal of leachate and gas.	End of current year.	6 years	Destroy	Business requirement	Data returns to Scottish Environmental Protection Agency (SEPA)	
<b>26.005.018</b>		Site rainfall data	End of current year.	6 years	Destroy	Business requirement	Data returns to Scottish Environmental Protection Agency (SEPA)	
<b>26.005.019</b>		Water balance data	End of current year.	6 years	Destroy	Business requirement	Data returns to Scottish Environmental Protection Agency (SEPA)	
<b>26.005.020</b>		(Annual) Local Authority Waste Arisings Survey	End of current year.	6 years	Destroy/ Review for archival value	Business requirement	Data returns to Scottish Environmental Protection Agency (SEPA)	Amended Action from "Destroy or Permanent"
<b>26.005.021</b>		Licensed / Permitted Waste Management Site Returns	Date of site closure	6 years	Destroy	Business requirement	Data returns to Scottish Environmental Protection Agency (SEPA)	Removed option "Nil" from retention
<b>26.005.022</b>		Exempt Activity Returns	End of current year.	3 years+E48	Destroy	Business requirement	Data returns to Scottish Environmental Protection Agency (SEPA)	
<b>26.005.023</b>	Records documenting the movement of consignment of controlled waste.	Written description of waste	Date of transfer	2 years	Destroy	Statutory	Environmental Protection (Duty of Care) Regulations 1991 SI 1991 No 2839 Regulation 3	Amended citation to Statutory and moved reference to notes, 2014-07
<b>26.005.024</b>	Records documenting the movement of a consignment of controlled waste.	Waste Transfer Note	Date of transfer.	2 years	Destroy	Statutory	Environmental Protection (Duty of Care) Regulations 1991 SI 1991 No 2839 Regulation 3	Amended citation to Statutory and moved reference to notes, 2014-07



Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>26</b>	<b>WASTE MANAGEMENT</b>							
<b>26.005.025</b>	Records of uplift and disposal of exempt waste		Date of uplift	2 years	Destroy	Statutory	Waste Management Licensing Amendment (Scotland) Regulations 2006 Reg 18a	Series added 2014-07
<b>26.005.026</b>	Pollution prevention and control	Permits	Until transferred or surrendered to SEPA		Transfer	Statutory	Pollution Prevention and Control (Scotland) Regulations 2000. SI 2000 No 323. Reg 7	Series added 2014-07
<b>26.005.027</b>	Pollution prevention and control	Proposed changes in operation	Whilst relevant		Destroy	Statutory	Pollution Prevention and Control (Scotland) Regulations 2000. SI 2000 No 323. Reg 12	Series added 2014-07
<b>26.005.028</b>	Pollution prevention and control	Monitoring information	Entry in to register	4 years	Destroy	Statutory	Pollution Prevention and Control (Scotland) Regulations 2000. SI 2000 No 323. Sched 9-4	Series added 2014-07
<b>26.005.029</b>	Mercury storage	Acceptance certificate All documents relating to the keeping, monitoring and inspection of the mercury during storage. All records concerning destocking, dispatch, destination and intended treatment of mercury	Termination of storage of metallic mercury	3 years	Destroy	Statutory	Landfill (Scotland) Amendment Regulations 2013. SSI 2013 No 222. Regulation 7 (7)	Series added 2014-07

Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority / Citation	Notes	Edit History
<b>26</b>	<b>WASTE MANAGEMENT</b>							
<b>26.005.030</b>	Imported animal products	Products committed to a land fill. (Record kept by operator of landfill.) Records required as contained in Article 9 of Regulation (EC) No 1774/2002	Date products placed in landfill	2 years	Destroy	Business requirement	Products of Animal Origin (Third country Imports) (Scotland) Regulations 2007. SSI 2007 No 1. Regulation 31	Added series 2014-07
<b>26.006</b>	<b>Waste reduction</b>							
<b>26.006.001</b>	Quarterly Composting / Recycling Returns		End of current year.	5 years	Destroy	Business requirement	Data returns to Scottish Environmental Protection Agency (SEPA)	Amended from 3 or 6 years. 2014-07
<b>26.006.002</b>	Recycling targets and performance statistics		End of current year.	5 years	Destroy	Business requirement		
<b>26.006.003</b>	(Annual) Local Authority Waste Arisings Survey		End of current year.	5 years	Destroy/ Review for historical value	Business requirement	Consider for permanent retention	Amended from 6 years/permanent. 2014-07



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