

CORPORATE GOVERNANCE & OFFICE MANAGEMENT									
IT REF.	ACTIVITY / RECORDS SERIES	DESCRIPTION / EXAMPLES OF RECORD TYPES	TRIGGER (event that prompts start of retention)	RETENTION PERIOD	ACTION	CUSTODIAN	AUTHORITY	CITATION/NOTES	COPIES HELD
SCS CORPORATE & GENERAL BUSINESS ACTIVITIES									
Corporate Governance & Management	Annual Reports	Statutory - Ethical Standards in Public Life etc. as amended	N/A	Published Parliamentary Papers - retain for historical reasons	Retain	BM	Statutory		Published version posted to website
Corporate Governance & Management	Business Continuity Plans	Plan and records documenting responses and experiences from testing of plan	When superseded or obsolete	2 years	Review for knowledge value	ET	Business requirement		Copies held by Executive Team and Members of SCS
Corporate Governance & Management	Business Plans	Business Plans and Reports against planned activities	N/A	Permanent retention (Plan) and 1 year for reports	Retain / Destroy	ET	Statutory / Business Requirement	Reports held in SCS meetings papers	Published version posted to website
Corporate Governance & Management	Corporate / Strategic Plans	Corporate Plans & Reports against planned activities	N/A	Permanent retention (Plan) and 1 year for reports	Retain / Destroy	ED	Statutory / Business Requirement	Reports held in SCS meetings papers	Published version posted to website
Corporate Governance & Management	Risk Policy and Register	Register and report on activities and controls to mitigate risks	End of financial year	3 Years	Destroy	ET	Business requirement		
Corporate Governance & Management	Standards Commission Meetings	Minutes & Papers	N/A	Permanent retention	Retain	ET	Statutory	Record of decision making and development of Strategic and Operational Matters	Current plus 2 years published on website
Corporate Governance & Management	Standards Commission Committees	Terms of reference	When superseded or obsolete	2 Years	Destroy	BM	Business requirement		Annex 5B - Records
Corporate Governance & Management	Communications Strategy	Policy Document	When superseded or obsolete	2 years	Destroy	ED	Business requirement		
Corporate Governance & Management	Memorandum of Understanding / Service Level Agreements	Agreements for the provisions of shared services or information sharing	When superseded or obsolete	2 years	Destroy	ET	Business requirement		
FINANCE & ACCOUNTS									
Corporate Governance & Management	Annual accounts	Statutory Financial Returns		Published Parliamentary Papers - retain for historical reasons	Retain	ED	Statutory	Taxes Management Act 1970,	Published version posted to website

Corporate Governance & Management	Preparation of SCS's annual accounts	Supporting documentation	Completion of Audit	6 years	Destroy	ED	Statutory	Taxes Management Act 1970, c9; Prescription and Limitation (Scotland) Act 1973 c53 and 1984 c45; VAT Act 1994; Audit Commission Act 1998	Paper / Electronic
Corporate Governance & Management	Asset Management & Register	Fixed Asset Register	End of Financial year (on completion of audit)	6 years	Destroy	BM	Statutory	Taxes Management Act 1970, c9; Prescription and Limitation (Scotland) Act 1973 c53 and 1984 c45; VAT Act 1994; Audit Commission Act 1998	
Corporate Governance & Management	Internal Audit Reports	Final Report	Completion of Audit	6 years	Destroy	ED	Business requirement		Electronic
Corporate Governance & Management	External Audit reports	Final Report, Interim Reports and Correspondence	Completion of Audit	6 years	Destroy	ED	Business requirement		Electronic
BUDGET AND ACCOUNTS MANAGEMENT									
Corporate Governance & Management	Annual budget - setting annual budget	Annual budget report, draft budgets, estimates, correspondance	End of financial year	6 years	Destroy	ET	Business requirement		Paper/electronic
Corporate Governance & Management	Budget monitoring	Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances - Budget Monitoring Reports, Financial Reports	End of financial year	6 years	Destroy	BM	Business requirement		Paper/electronic
Corporate Governance & Management	Records documenting the receipt and payment of purchase invoices		End of financial year (on completion of audit)	6 years	Destroy	BM	Statutory	Taxes Management Act 1970; HMRC 700/21	Paper/electronic
Corporate Governance & Management	Records detailing issue of credit card and transaction reports	SCS Credit Card (issued by Scottish Parliament) issues and transaction reports		6 years	Destroy	BM	Business requirement	Taxes Management Act 1970; HMRC 700/21	Paper/electronic
INSURANCE									

Corporate Governance & Management	Policy documents and related correspondence		Termination	5 years	Destroy	BM	Statutory	Prescription and Limitation (Scotland) Acts 1973 and 1984;	Electronic
Corporate Governance & Management	Certificate of Employers Liability Insurance		Termination	40 years from the date all obligations and entitlements concluded.	Destroy	BM	Statutory	Prescription and Limitation (Scotland) Acts 1973 and 1984;	Paper/ Electronic
PROCUREMENT									
Corporate Governance & Management	Contract management	Final contract, contract extensions and amendments, reports from contractors, surveys and inspections, complaints, payment disputes, minutes and papers of meetings	After contract expires	5 years	Destroy/review	BM	Statutory	Prescription and Limitation (Scotland) Act 1973. Documentation may be used for reference when preparing future related tenders	
Corporate Governance & Management	Non-tendered procurement	Quotes, purchase orders, delivery notes and related correspondence	End of financial year (on completion of audit)	6 yrs	Destroy	BM	Statutory	Taxes Management Act 1970	
Corporate Governance & Management	Tender 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	ET	Statutory	Prescription and Limitation (Scotland) Act 1973. Keep in contract file once contract awarded	
Corporate Governance & Management	Tenders - Issue of invitations to Tender and handling of incoming tenders records	Tender receipt records, Tender opening record	Award of contract	1 year	Destroy	BM	Business requirement		
Corporate Governance & Management	Tenders - unsuccessful	Includes statements of interest, tender document, tender responses and notification records, tender evaluation	Award of contract	1 year	Destroy	BM	Business requirement		

Corporate Governance & Management	Tenders - successful	Includes tender document, tender responses and notification records, tender evaluation	End of contract	5 years	Destroy	ET	Statutory	Prescription and Limitation (Scotland) Act 1973. It is important that a record of all contracts and related transactions is kept. The files must contain a complete and accurate record of all internal and external documentation so that the stages and reasoning of the transactions are apparent.	
OFFICE PROCEDURES									
Corporate Governance & Management	Policies and procedures (non SPCB)	SCS Specific policies and procedures for example Flexible Working Hours Appraisal/Competency Annual Leave etc.	When superseded or obsolete	2 years	Destroy	ET	Business requirement		
Corporate Governance & Management	Standard forms and templates		When superseded or obsolete	None	Destroy	BM	Business requirement		
Corporate Governance & Management	Statutory Reporting	Records documenting the collection, collation and submission of statutory performance data as required by a statutory authority.	Retained to meet statutory requirements	None	Destroy	BM	Statutory Requirement		
INFORMATION MANAGEMENT									
Corporate Governance & Management	Data Protection Subject Access Requests	Subject Access Requests (and responses)	Completion of request	3 years	Destroy	BM	Statutory	Data Protection Act 1998 s.7	
Corporate Governance & Management	Data Protection policy & Data protection compliance	Files re. DP audit, general compliance, data breaches, security, training, etc.,	End of current year	3 years	Destroy	ET	Business requirement		
Corporate Governance & Management	Data Protection Notification and Changes	Data protection - Notification and changes	Year of notification	3 years	Destroy	ET	Statutory	Data Protection Act 1998 s.20.	
Corporate Governance & Management	EIR requests	EIR requests (and responses)	End of current year	3 years	Destroy	BM	Business requirement		
Corporate Governance & Management	FOISA requests	S1 FOISA requests (and responses)	Completion of request	3 years	Destroy	BM	Business requirement		

Corporate Governance & Management	FOISA SCS Publication Scheme		When superseded	3 years	Destroy	BM	Business requirement		Website
Corporate Governance & Management	FOISA/EIR reviews		Year of review completion	6 years	Destroy	ED	Business requirement		
RECORDS MANAGEMENT									
Corporate Governance & Management	Record surveys and audits - key records - destruction report		report approval	3 years	Destroy		Business requirement		
Corporate Governance & Management	Classification schemes		Until superseded	2 years	Destroy		Business requirement	Consider historical value.	
Corporate Governance & Management	Retention schedules		Until superseded	2 years	Destroy		Business requirement	Retained in line with legislation and or SCS strategic/operational requirements	
HUMAN RESOURCES, PAYROLL AND PENSION									
REF.	ACTIVITY / RECORDS SERIES	DESCRIPTION / EXAMPLES OF RECORD TYPES	TRIGGER (event that prompts start of retention)	RETENTION PERIOD	ACTION		AUTHORITY	CITATION/NOTES	COPIES HELD
PENSION									
Pensions	Pension records	All pensions related correspondence	Termination of employment	Until employee is 75	Destroy	BM	Statutory	Taxes Management Act 1970; Income and Corporation Taxes Act 1988	
PAYROLL									
Payroll	Payroll Reports & Salary Information		End of financial year (on completion of audit)	6 years	Destroy	BM	Statutory	Income Tax (Employments) Regulations 1993 / 744; National Minimum Wage Regulations 1999 S.I. 1999 / 584; Taxes Management Act 1970; Prescription and Limitation (Scotland) Acts 1973 and 1984	
Payroll	Expenses		End of financial year (on completion of audit)	6 years	Destroy	BM	Statutory	Taxes Management Act 1970	

Payroll	Occupational and Statutory Sick Pay scheme records		End of financial year (on completion of audit)	6 years from termination date	Destroy	BM	Statutory	Statutory Sick Pay (General) Regulations 1982 / 894. Access to Medical Records Report Act 1988 c28 provides the general provisions on the right of access to records created after 1 Jan 1989	
Payroll	Occupational and Statutory Maternity Pay scheme records		End of financial year (on completion	3 years	Destroy	BM	Statutory	The Statutory Maternity Pay (General) Regulations 1986 / 1960	
HUMAN RESOURCES									
Personnel	Records documenting disciplinary proceedings against the employee	Correspondence, investigation records	Case closure	5 years	Destroy	ET	Statutory	Prescription and Limitation (Scotland) Act 1973; Data Protection Act 1998	
Personnel	Employee personal details	Address, next of kin, emergency contacts	Termination of employment	25 years from termination date	Destroy	BM	Statutory	Prescription and Limitation (Scotland) Act 1973, s 6 Retain current information throughout employment. Requirement to retain record of Name, DoB, Date of Appointment, Work History Details, Titles and dates of posts held as evidence of employment and for pension purposes	
Personnel	Employment application, contract of employment, changes to terms and conditions of employment	Records documenting the employee's application for employment, terms and conditions of employment, offer letter and subsequent changes to T&C of employment with SCS, references received during recruitment process and termination of employment.	Termination of employment	5 years	Destroy	ET	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6 except information which is not relevant to the on-going employee relationship	
Corporate Governance & Management	Job Descriptions	Roles and Responsibilities of posts within SCS	Superseded	5 years	Destroy	ET	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	
Corporate Governance & Management	Leave	General staffing file	End of holiday year	1 year	Destroy	ET	Business Requirement	Retain current information throughout employment	
Personnel	Medical assessments	Staff file	Termination of employment	5 years	Destroy	ET	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	
Personnel	Equal Opportunities (EO) Forms		Once data entered	None	Destroy	BM	Statutory	Data Protection Act 1998	
Corporate Governance & Management	Register of Interests and individual declarations		Termination of contract	Current	Destroy	ET	Business Requirement		

Corporate Governance & Management	Recruitment campaigns	Advertisements and associated correspondence	Date superseded	6 months	Review for on-going value and destroy the rest	ET	Business Requirement		
Personnel	Recruitment – successful candidates	Records form part of the employee's Personnel file							
Personnel	Recruitment process	Evaluation template, interview questions / tasks, timetables	Appointment	6 months	Review for on-going value and destroy the rest	ET	Statutory	Data Protection Act 1998; Employment Equality (Age) Regulations 2006/1031 Regulations 7, 36 and 42; Employment Equality (Religion or Belief) Regulations 2003/1660 Regulations 6, 28 and 34; Employment Equality (Sexual Orientation) Regulations SI 2003/1661 Regulations 6, 28 and 34	Following conclusion of campaign files thereafter transferred to Personnel files
Personnel	Recruitment – unsuccessful candidates	Applications, evaluations, correspondence, security vetting, references	Appointment	6 months	Destroy	ET	Statutory	Data Protection Act 1998; Employment Equality (Age) Regulations 2006/1031 Regulations 7, 36 and 42; Employment Equality (Religion or Belief) Regulations 2003/1660 Regulations 6, 28 and 34; Employment Equality (Sexual Orientation) Regulations 2003/1661 Regulations 6, 28 and 34	
Personnel	References	Received during recruitment process	Following appointment	6 months after appointment	Destroy	ET	Statutory	Data Protection Act 1998	
Personnel	References provided by SCS	Request for reference by SCS	Date of provision	6 months	Destroy	ET	Business Requirement		
Salary	Statutory Maternity/paternity leave entitlement	Staff file	Completion of entitlement	6 years	Destroy	BM	Statutory	Maternity and Parental Leave etc. Regulations 1999/3312	
Personnel	Staff & Members Performance Management Records	Performance and Appraisal forms	Superseded	3 years	Destroy	ET	Business Requirement		
Salary	Sickness	Employee's absence due to sickness.	Termination of employment	40 years	Destroy	BM	Statutory	Inland Revenue CA30	
TRAINING									
Corporate Governance & Management	Members and Employee induction programme records		Completion of induction	1 year	Review for on-going value and destroy the rest	ET	Business Requirement		
Corporate Governance & Management	Individual training records	Records documenting Members and employees training and development needs or completion of job-specific statutory/regulatory training requirements for the employee.	Expiry of certification + OR Superseded	5 years	Destroy	ET	Business & Statutory		

Corporate Governance & Management	Training plan	Learning and Development Plan	End business year	5 years	Destroy	ET	Business Requirement		
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STAKEHOLDERS AND CASEWORK

REF.	ACTIVITY / RECORDS SERIES	DESCRIPTION / EXAMPLES OF RECORD TYPES	TRIGGER (event that prompts start of retention period)	RETENTION PERIOD	ACTION		AUTHORITY	CITATION/NOTES	COPIES HELD
Corporate Governance & Management / Stakeholders & Casework	Legal Advice	Advice notes relating to the Business & Personnel functions or about specific matters pertinent to Cases referred by CESPLS	N/A	Information retained until such time as legislative change impacts on the advice	Destroy	ET	Business requirement		Paper / Electronic
Stakeholders & Casework	Breach Reports and Casework Files	Breach reports submitted by CESPLS for consideration of SCS & SCS Case Files & associated Legal Advice	Last activity date	Hearings Case files are permanently deleted/destroyed after 5 years after the date of the last activity (case closure date or date of appeal by respondent)	Destroy	ET	Business	The SCS reserve the right to identify any case where the information is to be retained beyond the stated retention period where the case is a of significant public interest	Paper / Electronic
Stakeholders & Casework	Hearing Recording	The SCS sound recording of the public Hearing.	Date Hearing ends	At the end of the period for submitting a valid appeal or where an appeal is submitted to a sheriff principal following the conclusion of the appeal process	Destroy	BM	Business - Hearing Rules	The SCS reserve the right to identify any case where the information is to be retained beyond the stated retention period where the case is a of significant public interest	Recording - Recorder and Hearing Folder
Stakeholders & Casework	Hearing Panel Decisions	Written Decision of the Hearing Panel	Date of publication of Hearing Panel Decision	Permanent	N/A	ET	Business requirement	Decisions will be removed from the SCS website after 5 years, written copies of Hearing Panel decisions will be retained indefinitely	Paper / Electronic/Website
Stakeholders & Casework	Stakeholder Communications	Guidance & Dispensations, Code of Conduct, Queries & Stakeholder engagement	N/A	Permanent unless organisation no longer covered by the Ethical Standards Framework	Permanent retention whilst organisation falls within ESF. On removal of organisation from ESF destroy paperwork 1 year after date of removal.	ET	Business requirement	Core Business Activities relating to the SCS statutory activities in promoting and encouraging key stakeholders in the application of the ethical standards framework	Paper / Electronic