

CORPORATE GOVERNANCE & OFFICE MANAGEMENT

FOLDER REFERENCE	RECORDS SERIES	DESCRIPTION / EXAMPLES OF RECORD TYPES	TRIGGER (event that prompts start of retention period)	RETENTION PERIOD	DISPOSAL ACTION	CUSTODIAN	AUTHORITY	CITATION/NOTES	Personal Data / Publication Type
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SCS CORPORATE & GENERAL BUSINESS ACTIVITIES

Corporate Governance & Management	Annual Reports	Statutory - Ethical Standards in Public Life etc. as amended Paper / Electronic versions	N/A	Published Standards Commission papers - retain for historical reasons	Retain	BM	Statutory		No / Public
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& Management	Business Continuity Plans	Plan and records documenting responses and experiences from testing of plan	When superseded or obsolete	2 years	Review for knowledge value	ET	Business requirement		No / Internal policy
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	No / Public
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	No / Public
Corporate Governance & Management	Risk Policy	SCS Policy for Risk Management	When superseded or obsolete	3 Years	Destroy	ET	Business requirement		No / Internal
Corporate Governance & Management	Risk Register	Register and report on activities and controls to mitigate risks	When superseded	3 years	Destroy	ET	Business requirement		No / Internal
Corporate Governance & Management	Standards Commission Meetings	Papers	N/A	N/A	Destroy	ET	Statutory	Record of decision making and development of Strategic and Operational Matters	Yes / Corporate internal
Corporate Governance & Management	Standards Commission Meetings	Minutes	N/A	N/A	Destroy	ET	Statutory	Record of decision making and development of Strategic and Operational Matters	Yes / Public
Corporate Governance & Management	Standards Commission Committees	Terms of reference	When superseded or obsolete	2 Years	Destroy	BM	Business requirement		No / Internal
Corporate Governance & Management	Communications Strategy	Policy Document	When superseded or obsolete	2 years	Destroy	ED	Business requirement		No / Internal
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		No / Internal

FINANCE, ACCOUNTS & AUDIT

Corporate Governance & Management	Annual Accounts	Statutory Financial Returns	Publication of Accounts	Published Parliamentary Papers - retain for historical reasons	Retain	ED	Statutory	Final Accounts sent to the Auditor General in accordance with the Public Finance and Accountability (Scotland) Act 2000. Laid copy retained by Standards Commission.	Yes / Public
Corporate Governance & Management	Annual Accounts (Papers)	Statutory Financial Returns	End of Financial Year	6 years	Destroy	BM	Business requirement	Records documenting the preparation of the Standards Commission's Annual Accounts	Yes / Internal
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	Yes / Salary and Remuneraton / Public
Corporate Governance & Management	Asset Management Register & Disposal	Fixed / Capital Asset Register Record recording decision to dispose of capital assets	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	No / internal

Corporate Governance & Management	Annual Reports to Accountable Officer/Business Manager	Internal Audit - Letter of Assurance to the Standards Commission External Audit - Annual Report on annual audit	Completion of Accounts	3 years	Destroy	BM	Business requirement		No / internal
Corporate Governance & Management	Internal Audit Reports	Final Report, Interim Report and Correspondence	Completion of review by A&R Committee	3 years	Destroy	ED	Business requirement		No / internal
Corporate Governance & Management	External Audit reports	Final Report, Interim Reports and Correspondence	Completion of Audit	3 years	Destroy	ED	Business requirement		Yes / internal
Corporate Governance & Management	Minutes of Meetings Audit and Risk Committee	Approval of Minute	Final agreement by the ARC. End of operational year	3 years	Destroy	ED	Business requirement		Yes / Internal
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		Yes / Internal
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		Yes / Internal
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	No / internal
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	Yes / internal
INSURANCE									
Corporate Government & Management	Policy documents and related correspondence		Termination	5 years	Destroy	BM	Statutory	Prescription and Limitation (Scotland) Acts 1973 and 1984;	No / Internal
Corporate Government & 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;	No / Internal
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, contract performance	End of financial year - contract end date	5 years	Destroy/review	BM	Statutory	Prescription and Limitation (Scotland) Act 1973. Documentation may be used for reference when preparing future related tenders	No / Internal
Corporate Governance & Management	Non competitive action	Quotes, purchase orders, delivery notes and related correspondence	End of financial year (on completion of audit)	6 years	Destroy	BM	Statutory	Taxes Management Act 1970	No / Internal

Corporate Governance & Management	Tender - Initial proposal	Agreed Specification, 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 financial year - contract end date	5 years	Destroy	ET	Statutory	Prescription and Limitation (Scotland) Act 1973. Keep in contract file once contract awarded	No / Internal
Corporate Governance & Management	Tenders - Issue of invitations to Tender and handling of incoming tenders records	Tender receipt records, Tender opening record	End of financial year - contract end date	5 years	Destroy	BM	Business requirement		No / Internal
Corporate Governance & Management	Tenders - unsuccessful	Includes statements of interest, tender document, tender responses and notification records, tender evaluation	End of financial year - contract awarded	1 year	Destroy	BM	Business requirement		No / Internal
Corporate Governance & Management	Tenders - successful	Award notification, signed contract tender document, tender responses and notification records, tender evaluation	End of financial year - contract end date	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.	No / Internal
Corporate Governance & Management	Complaints / Enquiries	General enquiries about procurement processes	End of financial year - contract end date	5 years	Destroy	BM	Business requirement		No / Internal
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		No / Internal
Corporate Governance & Management	Standard forms and templates		When superseded or obsolete	None	Destroy	BM	Business requirement		No / Internal
CG&M Complaints	Complaints made about service	Complaints about dissatisfaction with SCS service delivery and SCS response	Completion of response	End of the Business Year following the Business Year the complaint was made.	Destroy	BM	Business requirement		Yes / Internal
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		No / Internal
INFORMATION MANAGEMENT									
Corporate Governance & Management	Data Protection Subject Access Requests	Subject Access Requests (and responses)	Completion of request	5 years	Destroy	BM	Statutory	Correspondence and associated papers relating to the receipt and processing of Subject Access Requests made under the provisions of the Data Protection Act 1998 s.7	Yes / Internal
Corporate Governance & Management	Data Protection policy & Data protection compliance	Files re. DP audit, general compliance, data breaches, security, training, etc.,	End of current year	5 years	Destroy	ET	Business requirement		No / Internal
Corporate Governance & Management	Data Protection Notification and Changes	Data protection - Notification and changes	Notification Expiration	5 years	Destroy	ET	Statutory	Records documenting the Standards Commission's notification of data controller details to the office of the Information Commissioner	No / Internal
Corporate Governance & Management	EIR requests	EIR requests (and responses)	Completion of request	1 year	Destroy	BM	Business requirement		No / Internal
Corporate Governance & Management	FOISA requests & disclosure log	FOISA requests (and responses)	Completion of request	3 years	Destroy	BM	Business requirement		Yes / Internal

Corporate Governance & Management	FOISA SCS Publication Scheme		When superseded	3 years	Destroy	BM	Business requirement		No / Internal
Corporate Governance & Management	FOISA/EIR reviews		Year of review completion	1 Year	Destroy	ED	Business requirement		Yes / Internal
RECORDS MANAGEMENT									
Corporate Governance & Management	Record surveys and audits - key records - destruction report		report approval	3 years	Destroy		Business requirement		No / internal
Corporate Governance & Management	Classification schemes		Until superseded	2 years	Destroy		Business requirement	Consider historical value.	No / internal
Corporate Governance & Management	Retention schedules		Until superseded	2 years	Destroy		Business requirement	Retained in line with legislation and or SCS strategic/operational requirements	No / internal
HUMAN RESOURCES, PAYROLL AND PENSION									
	ACTIVITY / RECORDS SERIES	DESCRIPTION / EXAMPLES OF RECORD TYPES	TRIGGER (event that prompts start of retention period)	RETENTION PERIOD	ACTION		AUTHORITY	CITATION/NOTES	
PENSION									
Pensions	Pension records	All pensions related correspondence	Termination of employment	Until employee is 100	Destroy	BM	Statutory	Taxes Management Act 1970; Income and Corporation Taxes Act 1988	Yes/ MyCSP
Pension	Accounting Officer Certificate	Annual Return to Cabinet Officer and supplementary Evidence	Completion of annual return covering the Report for the following year	3 Years	Destroy paper copies following submission and retain electronic version for 3 years	BM	Business Requirement		No / MyCSP
PAYROLL									
Personnel / Payroll	Employee Details for pensions purposes	Includes: Name, date of birth and NiNo Pensionable Pay at leaving Reckonable service for pension purposes (and actual service where this is different, together with reasons for difference) Reasons for leaving and new employers name (where known) Amount and destination of any transfer value paid Amount of any refund of PCSPS contributions Amount and date of any Contributions Equilant Premium paid All other papers relating to pensionability of other employment; extension of service papers; papers about widow's, widower's, children's and other dependant's pensions, correspondence with othe bodies and pension administrators, or the office and his/her representatives about pension matters * or 5 years after last action if later.		Until age 100*	Destroy				Yes / My CSP, SSCL

Personnel / Payroll	Payroll Reports & Salary Information	Salary Rate, Personnel for payroll, Variable input including expenses paid through payroll	End of financial year (on completion of audit)	Paper file - current plus previous year paper Electronic file - 6 years prior to current year	Destroy	BM	Statutory & Business Requirement	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	Yes / My CSP, SSCL
Personnel / Payroll	Expenses (not paid through payroll)	Hotel and accommodation costs	End of financial year (on completion of audit)	Paper file - current plus previous year paper Electronic file - 6 years prior to current year	Destroy	BM	Statutory	Taxes Management Act 1970	Yes / Accounts processing
Personnel / Payroll	Occupational and Statutory Sick Pay scheme records	Contractual and Statutory Sick Pay & Leave	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	Yes / Payroll
Personnel / Payroll	Occupational and Statutory Maternity Pay scheme records	Contractual and Statutory Maternity Leave & Pay	End of financial year (on completion of audit)	3 years	Destroy	BM	Statutory	The Statutory Maternity Pay (General) Regulations 1986 / 1960	Yes / Payroll
HUMAN RESOURCES									
Personnel / HR	Annual Performance Review	Report and Objectives	End of Reporting year	5 years	Destroy	BM	Business Requirements		Yes. Internal
Personnel / HR	Records documenting disciplinary proceedings against the employee	Correspondence, investigation records	Case closure	6 years	Destroy	ET	Statutory	Prescription and Limitation (Scotland) Act 1973; Data Protection Act 1998	Yes, Internal
Personnel / HR	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	Yes, HR Files, Internal
Personnel / HR	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	6 years	Destroy	ET	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6 except information which is not relevant to the on-going employee relationship	Yes, HR Files, Internal
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	No
Corporate Governance & Management	Leave and attendance	Annual leave, jury service, study leave, special and personal leave	End of leave year	2 years	Destroy	ET	Business Requirement	Retain current information throughout employment	Yes, HR Files, Internal
Personnel	Medical assessments	Staff file	Termination of employment	5 years	Destroy	ET	Statutory	Prescription and Limitation (Scotland) Act 1973 s 6	Yes, HR Files, OCPAS
Personnel	Equal Opportunities (EO) Forms		Once data entered	None	Destroy	BM	Statutory	Data Protection Act 1998	Currently not held
Corporate Governance & Management	Register of Interests and individual declarations		Termination of contract	Current	Destroy	ET	Business Requirement		Published on SCS website
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		No
Personnel	Recruitment – successful candidates	Records form part of the employee's Personnel file							Yes, Successful candidate only HR 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	HR Files
Personnel	Recruitment – unsuccessful candidates	Applications, evaluations, correspondence, security vetting, references	Completion of recruitment process	3 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	Recruitment files
Personnel	References	Received during recruitment process	Following appointment	6 months after appointment	Destroy	ET	Statutory	Data Protection Act 1998	Recruitment files
Personnel	References provided by SCS	Request for reference by SCS	Date of provision	6 months	Destroy	ET	Business Requirement		Currently not held
Salary	Statutory Maternity/paternity leave entitlement	Staff file	End of calendar year	6 years	Destroy	BM	Statutory	Maternity and Parental Leave etc. Regulations 1999/3312	Currently not held
Personnel	Staff & Members Performance Management Records	Performance and Appraisal forms	Superseded	3 years	Destroy	ET	Business Requirement		HR Files
Salary	Sick Leave Records	Employee's absence due to sickness.	Termination of employment	40 years	Destroy	BM	Statutory	Inland Revenue CA30	HR and payroll files
Personnel	Statutory Sick Pay			Last 6 years	Destroy	BM			
Personnel	Unpaid Leave Periods	Includes parental leave and time off for dependants. * or 5 years after the last action if later.		Until age 100*	Destroy	BM			HR and payroll files
MEMBERS									
Corporate Governance & Management	Standards Commission: Members Code of Conduct	When superseded	N/A	1 year	Destroy	BM	Business Requirement		No, Website
Corporate Governance & Management	Standards Commission: Members Register of Interests	Last amendment to Members' entry	End of tenure	1 year	Destroy	BM	Business Requirement		Personal (Current version published on website)
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		Not retained
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		Yes, HR & training records
Corporate Governance & Management	Training plan	Learning and Development Plan	End business year	5 years	Destroy	ET	Business Requirement		Yes, HR and training records

STAKEHOLDERS AND CASEWORK									
	ACTIVITY / RECORDS SERIES	DESCRIPTION / EXAMPLES OF RECORD TYPES	TRIGGER (event that prompts start of retention period)	RETENTION PERIOD	ACTION		AUTHORITY	CITATION/NOTES	

Stakeholders & Casework	CES 3 month notification letters	CESPLS 3 mth Notification letters	Case file or not pursued notification	None	Record details on SCS spreadsheet and destroy notification letter	ET	Business		Not retained
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 Standards Commission's written decision. End of Month following decision of SCS	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	Yes, retained as per Case Files retention policy
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	Yes, however, information no longer held.
Stakeholders & Casework	Hearing Panel Decisions	Written Decision of the Hearing Panel	Date of publication of Hearing Panel Decision	Decisions are deleted 7 years from the date of the written decision	Destroy	ET	Business requirement	Decisions will be removed from the SCS website after 5 years, electronic and written copies of Hearing Panel decisions will be retained indefinitely	Yes, limited details, published on website.
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		Yes, legal privilege informaiton not publised
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	Contact details held - work related
Stakeholders & Casework	Consultation Responses	Responses from Key Stakeholders to request for feedback on SCS documents							Contact details held - work related