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<b>Report To:</b>	<b>Corporate Management Team</b>	<b>Date:</b>	<b>25 March 2025</b>
<b>Report By:</b>	<b>Head of Legal, Democratic, Digital &amp; Customer Services</b>	<b>Report No:</b>	<b>LS/018/25/LB</b>
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<b>Subject:</b>	<b>Records Retention and Disposal Policy Update</b>		

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## **1.0 PURPOSE AND SUMMARY**

1.1  For Decision  For Information/Noting

1.2 The purpose of this report is to seek approval of an updated version of the Council's Records Retention and Disposal Policy.

## **2.0 RECOMMENDATIONS**

2.1 It is recommended that the Committee approves the updated Records Retention and Disposal Policy appended to this report in Appendix 2.

**Lynsey Brown**  
**Head of Legal, Democratic, Digital & Customer Services**

### 3.0 BACKGROUND AND CONTEXT

- 3.1 The Council's Records Retention and Disposal Policy (previously known as the Policy for the Retention and Disposal of Documents and Records Paper and Electronic) outlines the Council's approach to managing the retention and disposal of information in line with business requirements and legal obligations and applies to all physical and electronic information regardless of storage location.
- 3.2 The Policy and associated Retention Schedule has been developed to tell services the types of records that are required to be kept for each area of the Council, and for how long. The Policy provides guidance to assist services in implementing good records management practices. Relevant retention information from all services has been brought into one single, operational document called the Retention Schedule, which is now a separate document which lists the types of records the Council creates, receives and maintains as part of its business functions and activities. The Retention Schedule is an operational document which details how long records should be kept for and why and applies to both electronic and hardcopy records and this Policy provides guidance on how to apply the Retention Schedule. The Retention Schedule is based on the Scottish Council for Archives Record Retention Schedules (SCARRS) and has been adapted to reflect Inverclyde Council's specific arrangements.
- 3.3 The Policy helps to ensure the Council's compliance with various legislation, including the Freedom of Information (Scotland) Act 2002 (FOISA), the Data Protection Act 2018 (DPA), the UK General Data Protection Regulation (UK GDPR) and the Public Records (Scotland) Act 2011 (PRSA) as follows:
- FOISA gives the public extensive rights of access to all forms of recorded information held by public bodies and lays down stringent requirements for responding. Good records management will help to ensure that:
    - Only the right information is created in the first place;
    - Information is kept as long as is necessary and no longer;
    - Information can be located and retrieved in a timely and controlled manner; and
    - Information is secure.
- This in turn, assists the Council in complying with FOISA requests within the statutory time limits.
- DPA and the UK GDPR – the Policy ensures compliance with the storage limitation principle of the data protection legislation, whereby personal data is kept “for no longer than is necessary for the purposes for which the personal data are processed”.
  - PRSA – obliges Inverclyde Council and Inverclyde Licensing Board to prepare and implement a Records Management Plan (RMP). Section 1(2)(b)(iii) of the PRSA specifically requires a RMP to include provision about the archiving and destruction or other disposal of the public authority's public records, which is also known as Element 5. The Policy ensures the Council's compliance with Element 5 of the RMP.
- 3.4 Overall, the implementation of this Policy across the Council has been successful and has resulted in a more systematic and organised approach to records management within the Council.

## 4.0 PROPOSALS

### 4.1 Review of the Council's Records Retention and Disposal Policy

The Council's Records Retention and Disposal Policy was last updated and approved in September 2020. The Policy has been reviewed and updated. The most substantive change is the separation of the Retention Schedule (which details how long records should be kept for and why) from the Policy and so it now no longer forms part of the Policy. The Retention Schedule is over 80 pages long and it is the view of officers that it is an operational, "live", document which will be reviewed and updated on an ongoing basis by officers in accordance with the guidance stated in the Policy.

The Policy has also been updated to reflect the Council's new policy template. A table which summarises the proposed changes to the Policy is set out at Appendix 1, with the revised Policy set out at Appendix 2 for Committee's consideration.

## 5.0 IMPLICATIONS

5.1 The table below shows whether risks and implications apply if the recommendation(s) is(are) agreed:

SUBJECT	YES	NO
Financial		X
Legal/Risk	X	
Human Resources		X
Strategic (Partnership Plan/Council Plan)		X
Equalities, Fairer Scotland Duty & Children/Young People's Rights & Wellbeing		X
Environmental & Sustainability		X
Data Protection		X

### 5.2 Finance

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact	Virement From (If Applicable)	Other Comments
N/A					

### 5.3 Legal/Risk

The Council's Records Retention and Disposal Policy assist the Council in ensuring compliance with regulatory and legislative requirements as set out in Paragraph 3.3 of this report.

#### 5.4 Human Resources

There are no direct Human Resources implications arising from this report.

#### 5.5 Strategic

There are no strategic implications directly arising from this report.

#### 5.6 Equalities, Fairer Scotland Duty & Children/Young People

##### (a) Equalities

This report has been considered under the Corporate Equalities Impact Assessment (EqIA) process with the following outcome:

	YES – Assessed as relevant, an EqIA is required and is available on the Council's website.
X	NO – This report does not introduce a new policy, function or strategy or recommend a substantive change to an existing policy, function or strategy. Therefore, assessed as not relevant and no EqIA is required. This Policy does not require an Equality Impact Assessment as there is no evidence to indicate that its contents could affect individuals differently or less favourably, on the grounds of their Protected Characteristics.

##### (b) Fairer Scotland Duty

If this report affects or proposes any major strategic decision:-

Has there been active consideration of how this report's recommendations reduce inequalities of outcome?

	YES – A written statement showing how this report's recommendations reduce inequalities of outcome caused by socio-economic disadvantage has been completed.
X	NO – Assessed as not relevant under the Fairer Scotland Duty for the following reasons: Provide reasons why the report has been assessed as not relevant.

##### (c) Children and Young People

Has a Children's Rights and Wellbeing Impact Assessment been carried out?

	YES – Assessed as relevant and a CRWIA is required.
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X

NO – Assessed as not relevant as this report does not involve a new policy, function or strategy or recommends a substantive change to an existing policy, function or strategy which will have an impact on children’s rights.

## **6.0 CONSULTATION**

6.1 The Information Governance Steering Group and the Corporate Management Team have been consulted on the updated Records Retention and Disposal Policy.

## **7.0 BACKGROUND PAPERS**

7.1 None.

**SUMMARY OF PROPOSED REVISIONS TO RECORDS RETENTION AND DISPOSAL POLICY – MARCH 2025**

<b>PAGE</b>	<b>TITLE</b>	<b>SECTION</b>	<b>PROPOSED CHANGE</b>
Throughout	n/a	n/a	Use of new policy template
Throughout	n/a	n/a	Change of Policy Name from “Policy for the Retention and Disposal of Documents and Records Paper and Electronic” to “Records Retention and Disposal Policy”.
Throughout	n/a	n/a	Retention Schedule (over 80 pages long) removed from the Policy and now dealt with as a separate, operational, document.
Throughout	n/a	n/a	Changes from reference to “Information Governance Officer” to “Information Governance Team”.
5	Introduction	3.1	Minor amendment to correct reference from Scottish Ministers’ Section 60 Code of Practice to Section 61 Code of Practice on Records Management.
6	Legislative Competence	3.3	Minor amendment to update legislation to UK GDPR
7	Disposal of Records by Transfer to Archives or Destruction	3.8	Update to make it clear that records subject to litigation or information requests should not be destroyed until all processes are complete.
9	Review of Retention Schedule	3.10	Changes to reflect separation of Retention Schedule from the Policy as it is an operational document which should be reviewed on an ongoing, rolling basis.
10	Useful Contacts	3.11	Website links updated.
14	Definitions	Appendix 3	Updated to clarify that the Retention Schedule is based on the functions of the Council and not individual services.
17	Updating the Retention Schedule	Appendix 5	Updated to clarify that the Retention Schedule should be reviewed on an ongoing basis and that any amendments should be sent to the Information Governance Team for approval and implementation.

# ***Records Retention and Disposal Policy***

Version No 3.0

Produced by:

Information Governance Team  
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## DOCUMENT CONTROL

<b>Document Responsibility</b>		
<b>Policy Title</b>	<b>Corporate Group</b>	<b>Service</b>
Records Retention and Disposal Policy	Information Governance Steering Group	Legal, Democratic, Digital & Customer Services

<b>Change History</b>		
<b>Version</b>	<b>Date</b>	<b>Comments</b>
1.1	April 2015	
1.2	September 2015	Revised and Updated
2.0	August 2020	Revised and Updated
2.1	September 2020	Revised and Updated
3.0	February 2025	Updated to new policy format, change of policy name, review of policy and retention schedule

<b>Distribution</b>
Corporate Directors, Heads of Service, ICON, Information Governance Steering Group

<b>Policy Review</b>		
<b>Updating Frequency</b>	<b>Next Review Date</b>	<b>Responsible Officer</b>
4 years	March 2029	Head of Legal, Democratic, Digital & Customer Services

<b>Policy Review and Approval</b>			
<b>Name</b>	<b>Action</b>	<b>Date</b>	<b>Communication</b>
Policy & Resources Committee			Website; ICON; IGSG;



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## **1 INTRODUCTION**

### **1.1 EXECUTIVE SUMMARY**

The Records Retention and Disposal Policy outlines the Council's approach to managing the retention and disposal of information in line with business requirements and legal obligations and applies to all physical and electronic information regardless of storage location.

### **1.2 BACKGROUND**

The Policy and associated Retention Schedule has been developed to tell services the types of records that are required to be kept for each area of the Council, and for how long. The Policy provides guidance to assist services in implementing good records management practices. Relevant retention information from all services has been brought into one single, operational, document called the Retention Schedule which is a separate document which lists the types of records the Council creates, receives and maintains as part of its business functions and activities. The Retention Schedule is an operational document which details how long records should be kept for and why, and applies to both electronic and hardcopy records and this Policy provides guidance on how to apply the Retention Schedule. The Retention Schedule is based on the Scottish Council for Archives Record Retention Schedules (SCARRS) and has been adapted to reflect Inverclyde Council's specific arrangements.

### **1.3 STRATEGIC CONTEXT**

There are no strategic implications arising from this Policy.

### **1.4 LINKS TO LEGISLATION**

This Policy considers relevant legislation and regulatory requirements including the Public Records (Scotland) Act 2011, the Freedom of Information (Scotland) Act 2002, the Data Protection Act 2018 and the UK General Data Protection Regulation.

### **1.5 LINKS TO CORPORATE GROUPS**

This Policy is linked to the work of the Information Governance Steering Group.

## **2 SCOPE**

This Policy applies to all records and information which have a dedicated retention and disposal life cycle, regardless of format or storage location. All such records and information must be managed in accordance with the Retention Schedule. It is vital that all employees comply with the Policy and Retention Schedule in managing information in order to ensure good records management practice and to meet legislative requirements.

## 3 POLICY CONTENT

### 3.1 Introduction

The Policy has been issued as a guide to assist Services throughout the Council to create good records and implement good records management practices of all records created, used and retained by Services in whatever format, including records held in electronic form.

Developing a retention schedule is part of good records' management practice. The Retention Schedule complies with the Scottish Ministers' Section 61 Code of Practice on Records Management under the Freedom of Information (Scotland) Act 2002.

In addition, the Policy and Retention Schedule will assist the Council to comply in part with the obligations imposed upon it in terms of the Public Records (Scotland) Act 2011. That Act, which complements FOISA, supports better record keeping as well as good records management. It places an obligation on public authorities to prepare and implement a Records Management Plan.

It is intended for the Retention Schedule to be used as a tool to assist in determining whether a record should be preserved or destroyed once the record is no longer in active use.

The Retention Schedule reflects the legislative requirements, or best practice, as is appropriate.

The Retention Schedule has been arranged by the functions of the Council, rather than service area or department. This means that they are independent of any future changes to the organisational structure of the Council.

Each service of the Council will have appointed officer(s) to:

- ensure officers who receive, create, hold, maintain, retain, share and/or dispose of records do so in line with the obligations set out in this Policy;
- deal with the destruction or archiving of records in accordance with this Policy;
- ensure there is an effective filing system for all service records, including the destruction of those records;
- where queries arise, provide guidance to officers on the implementation of this Policy;
- implement initiatives consistent with the Council's commitment to ensuring effective records management across the Council; and
- promote good records management practice throughout their service.

With regard to the records created by an officer, line managers will ensure each officer knows which officer will carry out the above tasks in relation to the records they create.

### **3.2 Limitations of Scope**

The Retention Schedule covers most Council records, but is not an exhaustive list. Please contact the Information Governance Team if you find errors or omissions in the Retention Schedule.

The Retention Schedule does not cover ephemeral material, see section 3.9 for explanation.

### **3.3 Legislative Compliance**

- Ensure compliance with the Freedom of Information (Scotland) Act 2002
- Ensure compliance with the Data Protection Act 2018
- Ensure compliance with the UK General Data Protection Regulation
- Ensure compliance with the Public Records (Scotland) Act 2011
- Ensure compliance with Disclosure Scotland - The Disclosure Scotland Code of Practice issued by Scottish Ministers regarding the correct handling, usage, retention, storage and destroying of Disclosure information provided by Disclosure Scotland under Part V of the Police Act 1997, for the purposes of assessing applicants' suitability for positions of trust.

### **3.4 Aims of the Retention Schedule**

- Assist in identifying records that should be permanently preserved and transferred to the officer responsible for the management of records for archiving.
- Discussions about how to archive electronic records are on-going.
- Prevent the premature destruction of records that should be retained according to legislation or other best practice guidance or need to be retained to satisfy legal, financial and other requirements of public administration.
- Ensure consistency in practices in the disposal of records across the Council.
- Reduce the occurrence of duplicate records, and also the chance of the records being kept for different time periods.
- Promote the benefits of improved and consistent records management practices within the Council.

### **3.5. Benefits of Managing Records according to a Retention Schedule**

Managing records according to a retention schedule is deemed to be "normal processing" under the Data Protection Act 2018 and the Freedom of Information (Scotland) Act 2002. Provided members of staff are managing records according to an agreed Retention & Disposal Schedule they cannot be found guilty of unauthorised tampering with files once a freedom of information request or a subject access request has been made.

Officers can be confident that they are destroying information at the correct time.

Information subject to Freedom of Information and Data Protection legislation will be available when required.

Information is not being maintained and stored unnecessarily, which is costly to the Council in terms of physical storage space and server space.

The original record is the record bound by the Retention Schedule. Copies and duplicates are normally destroyed as soon as they are finished with.

### **3.6. Service Level Retention Schedules**

The Retention Schedule lists all of the records held by the Council and is therefore a very large document. The Information Governance Team can work with services to create department specific retention guidance. The Retention Schedule is presented in a clear and concise way, making it easier for staff to find relevant retention procedures for their own team. The document can be designed to include key points on improving information management relevant to the team, helping to improve information management compliance.

### **3.7. Electronic Records – Documents scanned into Electronic Document Records Management Systems**

In accordance with BIP 0008 code of practice for legal admissibility and evidential weight of information communicated electronically as revised or replaced from time to time – services need to have in place robust scanning procedures, standard operating procedures and quality control to make sure all paper documents are scanned consistently and accurately. Procedures should ensure that the electronic documents are authentic, reliable, accessible and secure. If this is done then the electronic documents should be legally admissible.

If these procedures are in place then any paper documents which are scanned into an EDRMS system may be destroyed at an agreed date after scanning, once the scanned copies have been checked and authenticated.

Legal documents and documents with an original signature (such as Contracts) or an original stamp (such as Building Plans) but excluding original letters received by the Council or internal Council memos should not be destroyed even if scanned. Please contact the officer responsible for the managing your records to discuss.

### **3.8. Disposal of Records by Transfer to Archives or Destruction**

Records may be disposed of by:-

- Transferring to the officer responsible for archiving your records – permanent preservation
- Destroying – e.g. by shredding

Records selected for permanent preservation should be transferred to the officer responsible for archiving your records – once the records are no longer of current use and are not

operationally required. Prior to transferring the records you must weed out all duplicates and pass this information to the officer responsible for the archiving of your records.

With regards to records identified in the Retention Schedule as S - 'offer to officer responsible for the management of your records to sample' - offer these records that officer to choose/ select a sample of records for permanent preservation. The remainder of the records not chosen should be destroyed in accordance with the Retention Schedule. Guidance on the appraisal of records is being developed.

Where lengthy periods have been allocated to records, staff may wish to consider converting paper records to other media to reduce physical storage space. Consideration must be given to legal admissibility and scanning procedures to ensure that any copies are faithful representations of the original paper document. Also the life span of the media chosen and the ability to migrate data should always be considered. Staff should remove duplicates etc. before transferring to storage to reduce costs.

Records selected for destruction may be destroyed in accordance with the Retention Schedule. Duplicate and/or backup copies stored on alternative media must also be destroyed at the same time, in order to ensure compliance with Data Protection and Freedom of Information legislation.

Officer(s) appointed to manage the records of a service should maintain a list of the records that have been disposed of, which should include:

- The date of destruction
- The manner of disposal either destruction or transfer to the officer responsible for the archiving of the record
- Description of records and dates
- The name of the authorising officer

This is required under the Code of Practice on Records Management – Freedom of Information (Scotland) Act 2002. Please see Appendix 2.

An Electronic Document Records Management System (EDRMS) should also be capable of maintaining an audit trail of records held and disposed of from the system.

Records identified for destruction should not be destroyed if there is any pending litigation or a request for information under Freedom of Information or Data Protection legislation has been received relating to those records. In these cases the records should be preserved until the litigation process is completed and all appeals have been exhausted, after which time they may be destroyed.

**IMPORTANT – Where there is, or there is the possibility of litigation, the records and information likely to be in scope must not be amended or destroyed until the litigation or the threat of litigation has been resolved or removed. Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.**

### 3.9. Ephemeral Material

Ephemeral material refers to information that is of short-term value, but does not have any lasting value and as such does not form part of the long-term corporate memory of the Council. This information can be destroyed as soon as possible by the creator or creating service and can be destroyed as soon as they reach the end of their current use.

The Retention Schedule does not include ephemeral material as it is up to the creating service to determine when usage has finished and to decide on an appropriate method of destruction of such material. This is normally unimportant or duplicated material, and is frequently something which has a "one time only" use. Their destruction should be a routine part of office management standard operating procedures.

Examples of such documents include:-

- Working documents, and notes taken to inform a later document
- Copies and duplicates where the original exists
- Trivial notes or emails
- Post-it notes
- Superseded distribution lists, address books, annual reports, manuals
- Delegates' copies of minutes. The agreed or signed set is the Record
- Compliments and message slips
- Electronic copies of records that have been printed off and filed
- Journals and catalogues
- Faxes once a copy has been filed
- Personal emails and documents – see Council's policy on Acceptable Use of Information Systems
- Emails not related to Council business
- Travel literature
- 'with compliments' slips
- Superseded versions of order forms, templates etc.

If in doubt whether specific material should be treated as ephemeral material or as a record, contact the officer responsible for the management of your records.

Remember to destroy emails (printed out or in electronic form) in a secure manner as they contain personal information – email addresses and names.

### 3.10. Review of Retention Schedule

The Retention Schedule is an operational document which should be reviewed on an ongoing basis to ensure that there are no gaps caused by lengthy review periods. Any requests for amendments to the Retention Schedule should be forwarded to the Information Governance

Team for review, approval and implementation. This is necessary to ensure that any amendments do not conflict with professional or statutory regulations or guidance.

### **3.11. Useful Contacts**

Information and Records Management Society  
[www.irms.org.uk](http://www.irms.org.uk)

Scottish Information Commissioner –  
<https://www.foi.scot/>

Information Commissioner's Office  
<https://ico.org.uk/>

The National Archives of Scotland  
<https://www.nrscotland.gov.uk/>

The National Archives  
<https://www.nationalarchives.gov.uk/>

## **4 ROLES AND RESPONSIBILITIES**

All employees are required to familiarise themselves with the terms of the Policy and Retention Schedule (as it applies to their specific function or service area) and ensure that they comply with the content.

## **5 IMPLEMENTATION**

### **5.1 COMMUNICATION OF THE POLICY**

This Policy, along with the associated operational Retention Schedule, will be available on ICON (the Council intranet), as well as publicly via the Council website.

## **6 RISK**

### **6.1 LEGISLATIVE RISK**

This Policy takes into account various legislative requirements, including the Public Records (Scotland) Act 2011, the Freedom of Information (Scotland) Act 2022, the Data Protection Act 2018 and the UK General Data Protection Regulation.



## **7 EQUALITIES**

### **7.1 CONSULTATION AND ENGAGEMENT**

This Policy was updated in consultation with the Corporate Management Team and the Information Governance Steering Group.

### **7.2 EQUALITY IMPACT ASSESSMENT**

This Policy does not require an Equality Impact Assessment as there is no evidence to indicate that its contents could affect individuals differently or less favourably, on the grounds of their Protected Characteristics.

## APPENDIX 1

### TRANSFER OF RECORDS TO SEMI CURRENT STORAGE

Once records are no longer required for current administrative purposes they may be transferred to semi current storage. Each service will be responsible for managing their own semi current storage areas and for the disposal of their records by transferring them to the officer(s) appointed to manage their records for archiving or by destroying them.

#### Remember

- a. The records should be kept securely with limited access to designated staff only.
- b. The records should be signed in and out if they are required from storage.
- c. Use standard size bankers or leaflet boxes which have lids and can be written on
- d. All boxes should be labelled with the contents.
- e. All boxes should have the destruction/review/archive date marked on them according to the retention schedule.
- f. Remove paper clips, elastic bands, plastic wallets, treasury tags etc. from records before boxing (this allows records to be destroyed more easily once their destruction date has been reached).
- g. Remove duplicates and ephemera from files before transferring to storage to reduce storage space and therefore costs.
- h. If material has a long retention period consider converting to another media. Remember that a copy must be a faithful representation of the original, capable of being migrated and read at a later date and faithfully reproduced and read. The records should be usable and authentic.
- i. Keep a list of what has been transferred to semi current storage. This will make compiling a destruction/disposal record easier.
- j. When the records have reached their disposal dates get a senior officer within the Service to sign off the destruction/disposal form.

**APPENDIX 2**

**DISPOSAL/DESTRUCTION OF RECORDS AUTHORISATION FORM**

The following records are due for destruction/archiving under the Inverclyde Council Record Retention and Disposal Schedule

Description of Records	Period	Date retention period ends

I hereby authorise the destruction/transfer to semi-current storage/archiving\* of the paper records, as detailed above:

Name

Designation

Signed

Date

\* please delete

I confirm that the above paper records were

- transferred to officer responsible for archiving
- transferred to semi-permanent storage area
- destroyed (shredded)

on (DATE)

Signed Designation

## APPENDIX 3

### DEFINITIONS

The Retention Schedule is not organised by service. It has been divided into sections based on the functions of the Council. The file types are arranged under the functions of activity that create/generate them. Some file types are associated with more than one function, e.g. complaints files, correspondence files and thus appear in more than one section of the Retention Schedule. This means that in your service you will likely have records that cross many functions and therefore several sections of the Retention Schedule. For example, you may be in Finance but you will likely hold records relating to staffing (HR function). You will need to search across the function that pertains to your records rather than to your service.

#### Table of Definitions

File Type	This refers to the record. It can also describe the business function, activities and processes that the record supports.
Retention Period	This entry specifies the period of time the record should be kept from closure or following the retention trigger event. Unless otherwise specified the numbers are in years
Fate	This entry specifies the action that will occur once the retention period is over
Notes	This entry provides information about the retention period or the method of destruction

#### Meaning of Symbols

A	Archive
A[E]	Records archived in electronic format
D	Destroy – use appropriate destruction method for confidential and non-confidential material
DOB	Date of Birth
[E]	Records held in electronic format
P	Permanent
R	Review
S	Offer to officer responsible for managing your records to Sample
T	Transfer

## APPENDIX 4

### GLOSSARY

**Administrative use**

Refers to the time when the record is in current use for administrative and business purposes.

**Archive**

Records which are of enduring historical value and which must be kept indefinitely. These will form part of the council archive and should, unless otherwise stated in this document, be archived by the officer appointed to manage your records and transferred to Inverclyde Archives.

Increasingly records are being archived electronically. Please seek advice from the officer appointed to manage your records and ICT concerning this.

**Closure**

A record/file is closed when it is no longer active. After closure, no new papers may be added; instead a new record/file should be created.

**Closure period**

The specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public, which may be determined by statutory requirements e.g. the Data Protection Act.

**Common practice**

The standard practice followed by local authority records managers who are members of the Information and Records Management Society and administrators.

**Copy**

A "copy" of a record usually belongs to someone other than the originator.

**Duplicate**

A "duplicate" is the originator's copy of the original record.

**Last Action**

Date of most recent amendment/addition/deletion of information.

**Original**

The document as created by a member of staff for a particular purpose or function. Any other records created from this original will be copies or duplicates. The original document should become the record of the event it was created for. The Retention Schedule refers to these documents and any versions created from it which are filed and kept as the 'Record' of the event being documented.

## **Record**

The record (original) is bound by the retention schedule. Copies and duplicates are normally destroyed as soon as they are finished with. An example of an original would be the signed copy of the minutes of a meeting or a signed agreement.

### **The definition of 'document' and 'record' <sup>1</sup>**

In records management it is important to be clear about the difference between a document and a record.

A document is any piece of written information in any form, produced or received by an organisation or person. It can include databases, website, email messages, word and excel files, letters, and memos. Some of these documents will be ephemeral or of very short-term value and should never end up in a records management system (such as invitations to lunch).

Some documents will need to be kept as evidence of business transactions, routine activities or as a result of legal obligations, such as policy documents. These should be placed into an official filing system and at this point, they become official **records**.

In other words, all records start off as documents, but not all documents will ultimately become records.

## **Permanent/Archive**

Records which are of enduring historical value and which must be kept indefinitely or permanently are called Archives and should be archived by the officer appointed to manage your records and held by the Service.

## **Semi-Current**

Records which are no longer required for day to day administrative purposes will be deemed as semi current and will be transferred to storage areas not kept in office space. They will be boxed, labelled and marked with their destruction or review dates – please see section C. Access to them should be restricted and their retrieval from storage recorded. They should not need to be referred to on a regular basis.

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<sup>1</sup> The National Records of Scotland

## **APPENDIX 5**

### **UPDATING THE RETENTION SCHEDULE**

The Retention Schedule is an operational document which should be reviewed on an ongoing basis to ensure that there are no gaps caused by lengthy review periods. Any requests for amendments to the Retention Schedule should be forwarded to the Information Governance Team for review, approval and implementation. This is necessary to ensure that any amendments do not conflict with professional or statutory regulations or guidance.

## APPENDIX 6

### HOW TO TREAT DIFFERENT TYPES OF RECORDS DURING A CLEAR OUT

Record Type	What to do?
<ul style="list-style-type: none"> <li>All Records</li> </ul>	<ul style="list-style-type: none"> <li>Refer to the Retention Schedule.</li> <li>For any records which are not listed or where statutory and regulatory retention periods do not exist, refer to retention schedules developed by the Scottish Council on Archives (SCARRS) for guidance on retention of records and their disposal. <a href="https://www.scottisharchives.org.uk/resources/scarrs/">https://www.scottisharchives.org.uk/resources/scarrs/</a></li> <li>Refer to the thought tree to assist you in identifying whether it is a record and what to do with it.</li> <li>Remember if it is not a record and has no reference purpose then it should be disposed of.</li> <li>If you are still unsure about how to treat a record contact the officer responsible for the record or your records management contact.</li> </ul>
<ul style="list-style-type: none"> <li>Active records which are still part of an on-going business process and which need to be filed (or re-filed) in the appropriate operational filing systems.</li> </ul>	<p>These records should be kept, filed in appropriate filing system, i.e. on shared drive folder (electronic records), existing storage facility for live paper records in office.</p>
<ul style="list-style-type: none"> <li>Semi-active records which are still required for business or statutory purposes but which do not need to be held in active records storage space, e.g. within the office.</li> </ul>	<p>Once records are no longer required for current administrative purposes they may be transferred to semi current storage. Each Service will be responsible for managing their own semi current storage areas and for the disposal of their records.</p> <p>Remember:</p> <ol style="list-style-type: none"> <li>The records should be kept securely with limited access to designated staff only.</li> <li>The records should be signed in and out if they are required from storage.</li> <li>Use standard size bankers or leaflet boxes which have lids and can be written on.</li> <li>All boxes should be labelled with the contents.</li> <li>All boxes should have the destruction/review/archive date marked on them according to the retention schedule.</li> <li>Remove paper clips, elastic bands, plastic wallets, treasury tags etc. from records before boxing (this allows records to be destroyed more easily once their destruction date has been reached).</li> <li>Remove duplicates and ephemera from files before transferring to storage to reduce storage space and therefore costs.</li> <li>If material has a long retention period consider converting to another media. Remember that a copy</li> </ol>



Record Type	What to do?
	<p>must be a faithful representation of the original, capable of being migrated and read at a later date and faithfully reproduced and read. The records should be usable and authentic.</p> <ul style="list-style-type: none"> <li>i. Keep a list of what has been transferred to semi current storage. This will make compiling a destruction/disposal record easier.</li> <li>j. When the records have reached their disposal dates get a senior officer within the Service to sign off the destruction/disposal form.</li> </ul>
<ul style="list-style-type: none"> <li>• Records which have reached the end of their operational/statutory retention period and can be safely destroyed.</li> </ul>	<p>These records may be destroyed in accordance with the Retention Schedule. Records containing confidential, personal or sensitive information must be disposed of securely.</p> <p>Duplicate and/or backup copies stored on alternative media must also be destroyed at the same time, in order to ensure compliance with the Data Protection and Freedom of Information legislation.</p> <p>NB – do not destroy records where there is any pending litigation or a request under the Freedom of Information or Data Protection legislation has been received to those records. In these cases the records should be preserved until the litigation process is completed and all appeals have been exhausted, after which time they may be destroyed. (if in any doubt contact your service FOI / SAR Rep or Legal Services).</p> <p><b>IMPORTANT – Where there is, or there is the possibility of litigation, the records and information likely to be in scope must not be amended or destroyed until the litigation or the threat of litigation has been resolved or removed. Where a request for information has been received, the records and information affected must not be destroyed or amended until after the request has been fulfilled.</b></p>
<ul style="list-style-type: none"> <li>• Records which have reached the end of their operational/statutory retention period and which should be offered to the archives</li> </ul>	<p>You will need to get advice from an archivist to advise about records which should be transferred to an archive for permanent preservation. Speak to the manager of the records in the first instance.</p> <p>This is only in the case where you think you may have records of historical value, e.g. it will depend on the type of records in your service.</p>

Record Type	What to do?
<ul style="list-style-type: none"> <li>Printed publications which are held elsewhere</li> </ul>	<p>These can be disposed of</p>
<ul style="list-style-type: none"> <li>Duplicate material which is not the principal copy</li> </ul>	<p>These can be disposed of</p>
<p><b><u>Ephemeral Material</u></b>            This information that is of short-term value, but does not have any lasting value and should therefore not be treated as a record.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>Working documents, and notes taken to inform a later document</li> <li>Copies and duplicates where the original exists</li> <li>Trivial notes or emails</li> <li>Post-it notes</li> <li>Superseded distribution lists, address books, annual reports, manuals</li> <li>Delegates' copies of minutes.</li> <li>Electronic copies of records that have been printed off and filed</li> <li>Journals and catalogues</li> <li>Faxes once a copy has been filed</li> <li>Personal emails and documents – see Council's policy on Acceptable Use of Information Systems</li> <li>Emails not related to Council business</li> <li>Travel literature</li> <li>'with compliments' slips</li> <li>Superseded versions of order forms, templates etc.</li> </ul>	<p>This information can be destroyed as soon as possible by the creator or creating service and can be destroyed as soon as they reach the end of their current use. Decide on appropriate method of destruction for such material.</p> <p>If in any doubt whether material should be treated as ephemeral or as a record, contact your line manager or your records management contact.</p>

**APPENDIX 7 – THOUGHT TREE TO ASSIST IDENTIFICATION OF A RECORD**



