



# Orkney Islands Council

## Retention and Disposal Schedule

| Version. | Date.             | Owner.         |
|----------|-------------------|----------------|
| 2.0      | 27 November 2023. | Paul Kesterton |

## Document Control Sheet

### Review/Approval History

| Date.              | Name.           | Position.                       | Version Approved. |
|--------------------|-----------------|---------------------------------|-------------------|
| 22 September 2016. | George Vickers. | Information Governance Officer. | 1.7.              |
| 5 January 2017.    | George Vickers. | Information Governance Officer. | 1.8.              |
| 13 February 2018.  | George Vickers  | Information Governance Officer. | 1.9.              |
| 23 November 2021.  | George Vickers  | Information Governance Officer. | 1.9.1.            |
| 25 January 2022.   | George Vickers  | Information Governance Officer. | 1.9.2.            |
| 27 November 2023   | Paul Kesterton  | Information Governance Officer. | 2.0.              |

### Change Record Table

| Date.             | Author.         | Version. | Status. | Reason.  |
|-------------------|-----------------|----------|---------|--|
| 18 June 2015.     | George Vickers. | 1.4.     | Final.  | There was a mistake under HR – Performance – Minutes of Best Value Working Group - text included in error.   |
| 14 December 2015. | George Vickers. | 1.5.     | Final.  | General review of content by services to also include vital records. Following sections amended: HR and Performance, Asset Management and Estates, Finance.  |
| 25 January 2016.  | George Vickers. | 1.6..    | Final.  | Following review by services, sections on Planning and Regulatory Services, Strategic Development and Regeneration, Asset management and Marine Planning updated.<br>Reviewed use of Business Classification Scheme – services broadly consisted within themselves but, in advance of adoption |

|                    |                 |        |        |   |
|--------------------|-----------------|--------|--------|---|
|                    |                 |        |        | of universal EDRM, work to be done to ensure consistency across the Council.  |
| 30 May 2016.       | George Vickers. | 1.61.  | Final. | Section on engineering under D and I reviewed and updated. Retention period for all timesheets for all services set at 3 years (previously some were 6 years). Updated website address on page 7. |
| 22 September 2016. | George Vickers. | 1.7.   | Final. | Section for Change programme added, RIP(S)A and retention for record of leave agreed.   |
| 5 January 2017.    | George Vickers. | 1.8.   | Final. | Review of sections on Health and Care completed. Amended period to retain accident reports for children to DOB + 25. Added entry for Children and Families not included in any other categories.  |
| 13 February 2018.  | George Vickers. | 1.9.   | Final. | Entry for SDS Direct Payments Monitoring added under Finance at request of financial Services.  |
| 23 November 2021.  | George Vickers. | 1.9.1. | Final. | Confirmed that the 50 year retention for employee information related to posts requiring Protecting Vulnerable Groups (PVG) checks and not the usual Disclosure.                                  |
| 10 January 2022.   | George Vickers. | 1.9.2. | Final. | Clarification that Burial Application, Associated Paperwork includes general cemetery correspondence. Changes references to outdated legislation.   |
| 27 November 2023   | Paul Kesterton  | 2.0.1  | Final. | Major revision and streamlining of entries within the schedule in order to support use of EDRMS within the organisation.  |

### Status Description

Draft – These documents are for review and liable to significant change.

Final – The document is complete and is not expected to change significantly. All changes will be listed in the change record table.

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## **Introduction**

The Schedule lists the documents that the Council keeps as a record of its activities and state the length of time information should be retained for.

Orkney Islands Council plans to manage its recorded information in a cost effective, efficient and sustainable way that complies with our statutory duties. An updated and comprehensive retention schedule designed to streamline and optimise our document management practices has now been introduced. This new retention schedule serves as a strategic framework for the efficient handling, storage, and disposal of organisational records, ensuring compliance with legal requirements while fostering enhanced accessibility and information governance across all departments. Retention Schedule will help the Council achieve this aim.

The Retention Schedule will be updated in accordance with legislation, current business or administrative practices. Any additions, deletions, amendments or queries should be made to the relevant Information Liaison Officer who will consult with the Information Governance Officer.

Retention periods apply regardless of the format of the recorded information, i.e. paper, electronic or microfilm, including e-mails. When information is requested under the provision of the Freedom of Information (Scotland) Act 2002, the Data Protection Act 1998 or any other statutory process, all destruction procedures on the information concerned must cease immediately.

If members of staff need advice on how to apply this Retention Schedule they should contact their Information Liaison Officer in the first instance.

## **How to Use This Schedule**

### **The definition of 'document' and 'record'**

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.

<http://www.nrscotland.gov.uk/record-keeping/records-management>

## **Retention Period**

Most of the Council's records only need to be kept for a limited period of time before they should be destroyed or, if they are of historical value, transferred to the County Archive Service. In fact, the Data Protection Act 2018 states that organisations should destroy personal information once it is no longer needed. The main purpose of this Schedule is to set out how long a record should be retained and what should happen to it at the end of this Retention Period.

## **Copies and original records**

For each record, there should only be one original. Different services and individuals may hold copies of records, but these are only copies and not the formal record. Records Management is only concerned with these formal records although staff should be careful to destroy any copies once the Retention period for the original has passed.

## **Secure Destruction Arrangements**

### **Paper records**

For confidential records staff should use the shredders located throughout the Council offices.

Non-current paper-based records held at Hatston and Selbro that are due for destruction are being securely stored and will be destroyed once the Industrial Shredder is installed.

### **Electronic devices**

If any USB Pen drives, CDs, laptops or any electronic means for holding records need to be destroyed, the IT Helpdesk should be contacted.

## **OIC Business Classification Scheme**

The different records that the Council creates have been identified and are listed in the Retention and Disposal Schedule. The Business Classification Scheme adopted adopts the approach as the Local Government Classification Scheme (LGCS). The hierarchy is structured in three tiers, which the Council has followed:



- Level 1: Functions.
- Level 2: Activities.
- Level 3: Transactions.

For example:

- Level 1: Functions- Corporate finance.
- Level 2: Activity – Accountancy.
- Level 3: Transaction - Annual report and accounts.

## Layout of the Retention Schedule

|                                 |   |
|---------------------------------|---|
| SCARRS Reference                | A reference code specific to Scottish Council on Archives Records Retention Schedules which uniquely identifies the function, activity or record series. The codes reflect the hierarchy of the business classification scheme. The first two digits represent the functional heading, the second group of three digits after the point reflect the Activity subheading, with the final group of three digits after the second point representing the individual record series or type. |
| Activity.                       | Summary description of the functional area or business activity undertaken.   |
| Record Type.                    | Type of information with the Service's activities.  |
| Record Description and Examples | A description and examples of likely records typical of the activity or records series.   |
| Retention Period.               | Provided by services and based on legislative, best practice, business or administrative reasons. The period for which the record should be retained after the trigger event, before disposal action is carried out.  |
| Trigger.                        | The Trigger is the event that prompts the start of the retention period. It tends to be based on either a defined point in the business process it supports (for example, termination of a contract or project, closure of a service user case file) or on a calendar date, often the end of the current year to which the record relates.  |
| Action.                         | The disposal action indicates what should happen to the records when they have reached the  |

|                        |   |
|------------------------|---|
|                        | end of the retention period.  |
| Legal Basis / Citation | The statutory or regulatory guidance justifying the retention period where present. |

## 01. Adult Care Services

| SCARRS Ref                 | Activity            | Record Type   | Record Description and Examples  | Retention Period | Trigger     | Action  | Legal Basis / Citation   |
|----------------------------|---------------------|---------------|--|------------------|-------------|---------|--|
| 01.004<br>01.006<br>01.008 | Delivery of Service | Service Files | Service Files for Residential /Home Care, Supported Accommodation, Daycare, Telecare. Documents relating to: Strategy & planning, monitoring, admissions & discharges, visitor books, meetings, activity log/day books, correspondence | 6 Years          | End of Year | Destroy | Regulation of Care (Requirements as to Care Services) (Scotland) Regulations. SSI 2002 No 114. Regulation 21.                      |
|                            | Provision notes     | Service       | Service Files. Documents relating to: Strategy & planning, monitoring, admissions & discharges, visitor books, meetings, activity log/day books, correspondence  | 6 Years          | End of Year | Destroy | Regulation of Care (Requirements as to Care Services) (Scotland) Regulations. SSI 2002 No 114. Regulation 21. Employment Act 2002. |
|                            |                     | Service User  | Personal Plan details including reviews & revisions, administration of medicine, social worker correspondence, compulsory treatment order, emergency detention certificates, short term detention certificates                         | 6 Years          | File Closed | Destroy |  |
|                            |                     | Staff         | All papers in relation to managing staff from  | 6 Years          | File Closed | Review  |  |

|               |   |   |   |         |             |         |  |
|---------------|---|---|---|---------|-------------|---------|--|
|               |   |   | appointment to exit, including terms and conditions of employment, performance review, training records, development and termination, Equal pay statement for employees subject to PVG checks and anyone working with children or vulnerable adults. Fitness to practice information. Supervision records and notes, development discussions forms, performance information, workload status, |         |             |         |  |
| Notifications | Notifications sent to Disclosure Scotland                     |   |   | 6 Years | End of Year | Destroy | The Regulation of Care (Requirements as to Care services) (Scotland) SSI 2002/114 Regulations 17, 20, 21, 22, and 23 |
|               | Notifications sent to Scottish Social Services Council (SSSC) | All notifications sent to the SSSC, including death, illness & other events, absence, change of provider/manager/premises/name of individual/identity of corporate body or identity of its officers/identity of partners, appointment of a manager, unfitness, complaints |   | 6 Years | End of Year | Destroy |  |
|               | Notifications sent to Care Inspectorate                       | All notifications sent to the Care Inspectorate, including death, illness & other events, absence, change of provider/manager/premises/name of individual/identity of corporate body or identity of its   |   | 6 Years | End of Year | Destroy |  |

|                   |   |   |  |               |         |   |  |
|-------------------|---|---|--|---------------|---------|---|--|
|                   |   |   | officers/identity of partners, appointment of a manager, unfitness, complaints |               |         |   |  |
| Case Files        | Service User File - No Statutory Mental Health Measures Taken | Personal Plan details including reviews & revisions, administration of medicine, social worker correspondence, referral, transfer to another provider, assessments, reports, care plan, service user contact information, carer contact information, care reviews | 6 Years  | File Closed   | Destroy |   |  |
|                   | Service User File - Statutory Mental Health Measures Taken    | Personal Plan details including reviews & revisions, administration of medicine, social worker correspondence, compulsory treatment order, emergency detention certificates, short term detention certificates  | 26 years   | File Closed   | Destroy | Mental Health (Care and Treatment) (Scotland) Act 2003. |  |
|                   | Adult Protection  | Referrals, case notes, contact details  | 10 Years   | Last modified | Destroy |   |  |
|                   | OT, Physical or Learning Disability                           | Referral, transfer to another provider, assessments, reports, care plan, service user contact information, carer contact information, care reviews  | 6 Years  | File Closed   | Destroy |   |  |
| Power of Attorney | Power of Attorney - No Statutory Mental Health Measure Taken  | Power of attorney records, statement of resident's affairs, intervention orders, guardianship orders, management plans, inventory of estate   | 6 Years  | File Closed   | Destroy | Mental Health (Care and Treatment) (Scotland) Act 2003. |  |

|  |  |  |   |          |             |         |  |
|--|--|--|---|----------|-------------|---------|--|
|  |  | Power of Attorney - Statutory Mental Health Measures Taken | Power of attorney records, statement of resident's affairs, intervention orders, guardianship orders, management plans, inventory of estate | 26 years | File Closed | Destroy |  |
|--|--|--|---|----------|-------------|---------|--|

## 02. Children & Family Services

| SCARRS Ref                           | Activity               | Record Type                                    | Record Description and Examples  | Retention Period | Trigger     | Action  | Legal Basis / Citation   |
|--------------------------------------|------------------------|--|--|------------------|-------------|---------|--|
| 02.001<br>02.002<br>02.004<br>02.007 | Adoption and Fostering | Initial enquiry & Interview Only - No Concerns | Records where case progressed to initial inquiry or Interview only       | 1 Year           | File Closed | Destroy |  |
|                                      |                        | Initial enquiry & Interview Only - Concerns    | Concerns about Enquirer / Enquirer advised not to proceed                | 10 Years         | File Closed | Destroy |  |
|                                      |                        | Progressed to panel/agency decision            | Not approved, Approved but the carer withdraws, Approved, Kinship carers | 26 years         | File Closed | Destroy | The Looked After Children (Scotland) Regulations SI/2009 No. 210 Part 32(1) and 16(1). |
|                                      |                        | Background preparation only                    | Case progressed to preparation group/home study/reference checks only    | 10 Years         | File Closed | Destroy |  |
|                                      |                        | Approved Adopters & Fosterers                  | No adoption order  | 10 Years         | File Closed | Destroy | The Adoption Agencies (Scotland) Regulations 2009 SSI 154 Regulation 28(3) b.          |

|  |            |  |  |           |                           |         |  |
|--|------------|--|--|-----------|---------------------------|---------|--|
|  | Registers  | Child Register Records                       | Register records of 'looked after children' & children under protection  | 100 Years | Date of Birth             | Destroy |  |
|  |            | Child Minder Register Records                | Register records of child minders  | 50 Years  | Date of entry on Register | Destroy |  |
|  |            | Offender Register Records                    | Register records of schedule 1 offenders   | 100 Years | Date of entry on Register | Destroy |  |
|  | Case Files | Looked After Children                        | Children who are adopted/pre-adopted, fostered, on a Residential Supervision Requirement, on a throughcare/aftercare. Includes assessments, reviews, plans, representations. | 100 Years | Date of Birth             | Destroy | The Looked After Children (Scotland) Regulations SI/2009 No. 210 43(1).  |
|  |            | Child protection investigation - no findings | Children who are investigated, but not placed on the child protection register   | 10 years  | Last modified             | Destroy |  |
|  |            | Child protection investigation - findings    | Children who are investigated, and placed on the child protection register   | 35 years  | Last modified             | Destroy |  |
|  |            | Children with additional support needs       | Referral, transfer to another provider, assessments, reports, care plan, service user contact information, carer contact information, care reviews                           | 6 Years   | Last modified             | Destroy |  |
|  |            | Children with mental health problems         | Case files for children with mental health problems, including referrals, transfers, assessments, reports, care plans, service user contact                                  | 26 years  | Date of Birth             | Destroy | NHS Schedule: located here:<br><a href="http://www.gov.scot/Publications/2012/01/10143104/7">http://www.gov.scot/Publications/2012/01/10143104/7</a> |

|  |                 |   |  |         |               |         |  |
|--|-----------------|---|--|---------|---------------|---------|--|
|  |                 |   | information, carer contact information, carer reviews  |         |               |         |  |
|  |                 | Case file -not included in any other categories | Other Children & Families case files   | 6 Years | Last modified | Destroy |  |
|  | Service Records | Residential home, home care service             | Residential home or home care service management records - Strategy, planning, monitoring, admissions, discharges, visitor books, meetings, correspondence | 6 Years | End of Year   | Destroy | Records required by Residential Establishments – childcare (Scotland) Regulations 1996 SI 1996/3256 Regulation 5, The regulation of Care (Applications and Provision of Advice) (Scotland) Regulations 2002 SS1 2002/113(3). |
|  |                 | Care Inspectorate Notification Records          | <b>Notifications:</b> Death of service user, medication administered, appointments of management, proposed absence of manager, proposed service changes    | 6 Years | End of Year   | Destroy | The Regulation of Care (Requirements as to Care services) (Scotland) SSI 2002/114 Regulations 17, 20, 21, 22, and 23 stipulates records that should be kept.   |

### 03. Community Safety

| SCARRS Ref | Activity           | Record Type             | Record Description and Examples | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|------------|--------------------|-------------------------|---------------------------------|------------------|-------------|---------|------------------------|
| 03.002     | Emergency response | Emergency response plan | Emergency response plans        | 3 years          | End of Year | Destroy |                        |



|        |                   |                     |   |           |             |         |  |
|--------|-------------------|---------------------|---|-----------|-------------|---------|--|
| 03.003 | Health and safety | Fatal accidents     | Fatal accident investigations   | Permanent |             |         |  |
|        |                   | Register of notices | Public Register – Abstract of Health and Safety Notices Affecting Public. | 6 Years   | End of Year | Destroy |  |

## 04.Consumer Affairs

| SCARRS Ref | Activity             | Record Type                      | Record Description and Examples   | Retention Period | Trigger     | Action  | Legal Basis / Citation   |
|------------|----------------------|----------------------------------|---|------------------|-------------|---------|--|
| 04.005     | Licensing            | Licenses and permits             | Documentation relating to Alcohol, Gambling, Miscellaneous & Civic Licensing & Permits, Entertainment licensing - including applications for licenses, copies of licenses, occasional licenses, appeals | 6 years          | End of Year | Destroy | Civic Government (Scotland) Act 1982, Licensing (Scotland) Act 2005, Gambling Act 2005 |
|            |                      | Register of licenses and permits | Register of applications for licenses and permits   | Permanent        |             |         | Civic Government (Scotland) Act 1982<br>Gambling Act 2005                              |
|            | Environmental Health | Contaminated land                | Contaminated land register, asbestos samples  | Permanent        |             |         |  |
|            |                      | Environmental health case files  | Statutory notices, health and housing files, nuisances, public health, noise, inspection reports, surveys, communicable and infectious diseases   | 6 Years          | File Closed | Destroy |  |

|  |                   |  |   |           |              |         |   |
|--|-------------------|--|---|-----------|--------------|---------|---|
|  |                   | Environmental health offences          | Fixed penalty notices for environmental health offences   | 6 Years   | Date created | Destroy |   |
|  |                   | Environmental health campaigns         |   |           |              |         |   |
|  |                   | Private water supplies                 | Monitoring, departures, notices, and remedial action  | 15 Years  | File Closed  | Review  | The Water Intended for Human Consumption (Private Supplies) (Scotland) Regulations 2017 |
|  |                   | Environmental monitoring and registers | Air quality review and assessment, radiation monitoring, register of below tolerable standard houses, hygiene emergency prohibition notices   | Permanent |              |         | Environmental Protection Act 1990   |
|  | Food Safety       | Food safety investigations             | Food safety investigations case files, food alerts, inspection forms, plans   | 6 Years   | File Closed  | Destroy |   |
|  |                   | Food hazard alerts and notices         | Food hazard alerts for information (FHAi) and Food hazard alerts for action (FHAA), Food safety notices other than Hygiene Emergency Prohibition Notices, Notices that food is not to be used for human consumption | 3 years   | Date created | Destroy |   |
|  | Trading Standards | Investigation and inspection records   | Trading standard investigation files, sample and inspection records, self-verification notifications, notices, prosecution files, complaint   | 6 Years   | File Closed  | Destroy |   |

|  |         |                      |   |           |               |         |   |
|--|---------|----------------------|---|-----------|---------------|---------|---|
|  |         |                      | and advice request, animal boarding licenses  |           |               |         |   |
|  |         | Prosecution register | Trading Standards Prosecution Register.   | Permanent |               |         |   |
|  |         | Licenses             | Petroleum licenses, Nonmedicinal poisons licenses   | Permanent |               |         |   |
|  | RIP(S)A | RIP(S)A              | CCTV records from covert surveillance (including master copy of RIPSAs authorisation forms) - in cases that lead to prosecution | 6 Years   | Last modified | Destroy | Covert Surveillance and Property Interference Code of Practice. |

## 05. Council Property, Land & Fleet

| SCARRS Ref                 | Activity         | Record Type                                | Record Description and Examples  | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|----------------------------|------------------|--|--|------------------|-------------|---------|------------------------|
| 05.001<br>05.002<br>05.003 | Asset Management | Acquisition and disposal of Council assets | All papers relating to the acquisition, disposal & management of property & lands, including Transfer, Leasing, Inspection & Valuation, Repairs, Alterations, Conveyancing | 10 Years         | File Closed | Destroy |                        |
|                            |                  | Asset Management and Estates               | Corporate Asset Management Plan, Service Asset Management Plans and  | 10 Years         | Superseded  | Destroy |                        |

|  |             |                              |  |         |             |         |  |
|--|-------------|------------------------------|--|---------|-------------|---------|--|
|  |             |                              | Property Asset Management Plans.   |         |             |         |  |
|  |             | Building cleaning            | All documents relating to the cleaning of Council buildings including QMS (quality management system) documents, audit inspection reports, payroll records, job cards etc. | 6 years | End of Year | Destroy |  |
|  |             | Fleet management             | Fleet management - vehicle records, lease or purchase, repairs and maintenance, inspections  | 3 Years | File Closed | Destroy |  |
|  |             | Fleet operation              | All documents relating to the operation of Council Fleet including job cards, plant sheets, usage records, logbooks  | 3 Years | End of Year | Destroy |  |
|  |             | Catering                     | All documents relating to the operation of Council Catering services including food safety management, EHO reports, kitchen safety records, complaints                     | 6 years | End of Year | Destroy |  |
|  | Maintenance | Council Property Maintenance | All papers relating to the repairs and maintenance of properties and lands correspondence with 3rd parties, building projects  | 6 Years | End of Year | Destroy |  |
|  |             | Property management          | Maintenance management - records, lease or purchase,   | 6 Years | File Closed | Destroy |  |

|  |  |                     |   |          |             |         |  |
|--|--|---------------------|---|----------|-------------|---------|--|
|  |  |                     | repairs and maintenance, inspections  |          |             |         |  |
|  |  | Property operation  | All documents relating to the operation of Maintenance including works orders | 6 Years  | File Closed | Destroy |  |
|  |  | Building warrants   | Consultations, design and management  | 10 Years | File Closed | Review  |  |
|  |  | Grounds maintenance | Grounds maintenance files including contracts                                 | 6 Years  | File Closed | Destroy |  |

## 06.Cemeteries & Crematoria

| SCARRS Ref | Activity            | Record Type         | Record Description and Examples   | Retention Period | Trigger       | Action  | Legal Basis / Citation |
|------------|---------------------|---------------------|---|------------------|---------------|---------|------------------------|
| 06.001     | Delivery of service | Delivery of service | Operational records and correspondence associated with the delivery of service, including bookings, interment correspondence etc. | 6 Years          | Last modified | Destroy |                        |
|            | Lair Information    | Lair Information    | Lair plans, lair register   | Permanent        |               |         |                        |

## 07.Criminal Justice Service

| SCARRS Ref | Activity   | Record Type                                     | Record Description and Examples   | Retention Period | Trigger       | Action  | Legal Basis / Citation |
|------------|------------|---|---|------------------|---------------|---------|------------------------|
| 07.001     | Case Files | Found Guilty: 16-21 years old                   | Community Supervision/Payback Order: 16 - 21 Years old - Supervision/unpaid work, criminal justice social work report, supervised release order, DTTO | 10 Years         | End of Year   | Destroy |                        |
|            |            | Found guilty: over 21 years old                 | Community Supervision/Payback Order: Over 21 Years old - Supervision/unpaid work, criminal justice social work report, supervised release order, DTTO | 6 Years          | End of Year   | Destroy |                        |
|            |            | Schedule 1 / Circular 18 / Sex Offenders        | Case file of Schedule 1 / Circular 18 / Sex Offenders / Order of Lifelong Restriction   | 100 years        | Date of Birth | Destroy |                        |
|            |            | Throughcare                                     | Life license, extended sentence, non-parole license, parole license   | 50 Years         | End of Year   | Destroy |                        |
|            |            | Not Guilty, Not Proven or Conviction Overturned | Service user found Not Guilty, Not Proven or Conviction Overturned  | 7 days           | File Closed   | Destroy |                        |
|            |            | Voluntary Throughcare                           | Diversion from prosecution; fiscal work orders; criminal justice report where there is no   | 3 Years          | End of Year   | Destroy |                        |

|  |  |  |                                  |  |  |  |  |
|--|--|--|----------------------------------|--|--|--|--|
|  |  |  | further social work involvement. |  |  |  |  |
|--|--|--|----------------------------------|--|--|--|--|

## 08. Democracy

| SCARRS Ref | Activity            | Record Type                           | Record Description and Examples  | Retention Period | Trigger      | Action  | Legal Basis / Citation |
|------------|---------------------|---------------------------------------|--|------------------|--------------|---------|------------------------|
| 08.001     | Decision Making     | Council and committee meeting records | Council and committee meeting records - records, including Agendas, Minutes, reports.  | Permanent        |              |         |                        |
|            |                     | Council and committee admin.          | Audio and note taken   | 1 year           | Date created | Destroy |                        |
|            | Democratic Services | Administration                        | Diaries, external meetings, partnerships and agencies, twinning, briefing notes. Routine Communications between Councillors and Council Employees (non-service related), including induction programme, procedures. Member Declaration of interest. Gifts and hospitality. | 6 Years          | End of Year  | Review  |                        |
|            | Electoral support   | Election results                      | UK, Scottish, European Parliamentary, Local Government Elections and   | 1 Year           | End of Year  | Destroy |                        |

|  |  |                     |  |         |             |         |  |
|--|--|---------------------|--|---------|-------------|---------|--|
|  |  |                     | Referenda – public inspection of election documentation. |         |             |         |  |
|  |  | Election management | Project plans, risk register, election expenditure       | 6 years | End of Year | Destroy |  |

## 09. Economic Development

| SCARRS Ref       | Activity             | Record Type                             | Record Description and Examples  | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|------------------|----------------------|---|--|------------------|-------------|---------|------------------------|
| 09.002<br>09.003 | Grants               | Loan / Grant Applications to Council    | Loan / grant application accepted / rejected - includes EU Grant Files (European Funding Application Claim Forms). | 6 Years          | End of Year | Destroy |                        |
|                  | Regeneration         | Regeneration project files              | Correspondence re enquiries/projects/contracts, etc.   | 6 Years          | File Closed | Destroy |                        |
|                  | Economic development | Area & priority regeneration strategies | Area & priority regeneration strategies  | 6 Years          | Superseded  | Destroy |                        |



## 10. Education & Skills

| SCARRS Ref   | Activity                       | Record Type                                   | Record Description and Examples  | Retention Period | Trigger       | Action  | Legal Basis / Citation |
|--|--------------------------------|---|--|------------------|---------------|---------|------------------------|
| 10.003<br>10.004<br>10.005<br>10.006<br>10.008<br>10.010 | Advice                         | Circulars                                     | Generic information about Education and Skills provision in SLAs.  | 3 years          | Superseded    | Destroy |                        |
|  | Educational psychology service | Educational psychology files - up to 18 years | Individual service user's educational psychology files - up to the age of 18   | 26 years         | Date of Birth | Destroy |                        |
|  |                                | Educational psychology files - 18 - 25 years  | Individual service user's educational psychology files - between the ages of 18 and 25   | 6 Years          | End of Year   | Destroy |                        |
|  | Community Learning             | Lifelong learning initiatives                 | Records indicating participation in lifelong learning initiatives, Includes Basic skills development course directory, targets and coursework; field centers to deliver arts and music education | 6 Years          | Last modified | Destroy |                        |
|  |                                | Bookings & performances                       | Records of bookings and performances   | 3 years          | Last modified | Destroy |                        |
|  |                                | Performance licenses                          |  | 26 years         | Date of Birth | Destroy |                        |

|  |                                      |  |   |           |               |         |   |
|--|--------------------------------------|--|---|-----------|---------------|---------|---|
|  | Admissions, Placements & Transfers   | Admissions, Placements & Transfers           | Admission forms, admission appeals, Work experience placements, placing request applications & appeals, workplace training for pupils   | 6 Years   | End of Year   | Destroy |   |
|  | School Transport                     | School Transport                             | ASL (Additional Support for Learning) transport & vehicle hire requests, school transport - eligibility & contracts   | 6 Years   | End of Year   | Destroy |   |
|  | School management and administration | Admission                                    | Admission and enrolment registers   | Permanent |               |         |   |
|  |                                      | Development of Curriculum & Course Materials | Development of curriculum & Course Materials: school's curriculum, support guidelines, monitoring / assessment reports & course materials.  | 6 Years   | Last modified | Destroy |   |
|  |                                      | Teaching Staff                               | Teacher development plans - support for education and learning, mentoring; General documentation relating to teaching staff and development, ERD  | 6 Years   | File Closed   | Destroy |   |
|  |                                      | Pupil records                                | Pupil records, attainment results, report cards, careers advice, guidance records, additional support needs records - including support service (sight/hearing etc.), correspondence between the school and students, exclusion records, educational plans, physical intervention reports | 26 years  | Date of Birth | Destroy | Schools General (Scotland) Regulations 1975 SI 1135/176 regulation 10(2) - pupil progress record; The Pupils' Educational Records (Scotland) Regulations 2003 SSI 2003/581, regulation 4. |

|  |                                     |                                  |   |           |               |         |                                    |
|--|-------------------------------------|----------------------------------|---|-----------|---------------|---------|------------------------------------|
|  |                                     | Adult learner records            | Pupil records, attainment results, report cards, careers advice, guidance records, additional support needs records - including support service (sight/hearing etc.), correspondence between the school and students, exclusion records, educational plans, physical intervention reports | 6 Years   | File Closed   | Destroy |                                    |
|  |                                     | School inspections               | HMI school inspection reports   | Permanent |               |         |                                    |
|  |                                     | Reporting and strategic planning | School improvement plans and strategies. School census returns, standards and quality reports.  | 10 Years  | End of Year   | Destroy |                                    |
|  |                                     | School administration            | Guidance, policies, and documentation in support of managing an educational institution   | 10 Years  | End of Year   | Destroy |                                    |
|  | Parents Councils                    | Parent Council minutes           | Agenda and minutes of Parent Council meetings   | 6 Years   | End of Year   | Destroy |                                    |
|  |                                     | Parent Council administration    | Management and administration of Parent Councils including correspondence and accounts  | 6 Years   | End of Year   | Destroy |                                    |
|  | Education and skills administration | Accidents to Staff               | Reports on accidents to staff   | 3 Years   | End of Year   | Destroy | UK health and Safety work Act 1947 |
|  |                                     | Accidents to Children            | Reports on accidents to pupils  | 26 years  | Date of Birth | Destroy |                                    |

## 11.Environmental Protection

| SCARRS Ref | Activity                 | Record Type                     | Record Description and Examples  | Retention Period | Trigger     | Action | Legal Basis / Citation  |
|------------|--------------------------|---------------------------------|--|------------------|-------------|--------|---|
| 11.002     | Environmental Protection | Conservation                    | Conservation including archaeological, countryside, heritage, nature, urban, coastal and woodland management   | 6 Years          | File Closed | Review |   |
|            |                          | EIA's                           | Completed Environmental Impact Assessments   | 1 Year           | Superseded  | Review |   |
|            |                          | Environmental Impact Assessment | Reports and environmental statements, screening and scoping opinions and requests for same; adopted screening or scoping opinion, regulation 30 notice Directions, | 10 Years         | End of Year | Review | Environmental Impact Assessment (Scotland) Regulations 2017 SSI 2017 No 102 |

## 12.Finance

| SCARRS Ref | Activity | Record Type | Record Description and Examples | Retention Period | Trigger | Action | Legal Basis / Citation |
|------------|----------|-------------|---------------------------------|------------------|---------|--------|------------------------|
|------------|----------|-------------|---------------------------------|------------------|---------|--------|------------------------|

|  |                                  |                         |  |           |             |         |  |
|--|----------------------------------|-------------------------|--|-----------|-------------|---------|--|
| 12.001<br>12.003<br>12.004<br>12.005<br>12.007 | Financial Transaction Management | Income and Expenditure  | All ledger activities - Cheque requests, creditors control reconciliations, invoices, purchase card transactions, daily income vouchers, sundry debtor invoices/credit notes, BACS mandates. General cash records, general income records, general payment records, records documenting deposits, transfer of funds etc. | 7 years   | End of Year | Destroy |  |
|  | Financial Reports                | Financial reporting     | Preparation and working papers for the annual report, abstract, charity accounts & common good fund accounts. Periodic reporting Albacs, report for BACS payments, bank reconciliation, bank statements, conservation & heritage grants  | 7 Years   | End of Year | Destroy |  |
|  |                                  | Annual accounts - Final | Published copy of consolidated annual accounts and financial statements  | Permanent |             |         |  |
|  | Financial Provisions             | Council Budgets         | Preparation of the Council's annual capital and revenue budgets: consolidated budget, capital monitoring, non-government grant funding - bid approved, management of the institution's financial investment portfolio.   | 6 Years   | End of Year | Destroy |  |

|  |                         |                                       |  |         |             |         |  |
|--|-------------------------|---------------------------------------|--|---------|-------------|---------|--|
|  |                         | Financial support                     | Grants, Loans, Emergency Financial Support - grants to organisations/ private sector, Housing Loans, Section 12, Section 27 Payments   | 6 Years | End of Year | Destroy |  |
|  | Benefits Administration | Council Tax & Benefits Administration | Documentation relating to housing benefit, council tax benefit, council tax reduction & Scottish welfare fund applications, payments & refunds, write off records, direct debits & standing orders, property records relating to liability of council tax/non-domestic rates/rents - including death intimations | 6 Years | End of Year | Destroy |  |
|  | Council Taxation        | OIC Tax Returns Administration        | Construction industry authenticated VAT receipts, VAT returns and working papers, landfill tax returns & credits   | 6 Years | End of Year | Destroy |  |
|  |                         | Statutory reporting and submissions   | Records documenting the preparation and submission of the Council's tax returns. Statutory sick pay scheme records, NI records and submissions   | 6 Years | End of Year | Destroy |  |

|  |                |                               |   |           |             |         |  |
|--|----------------|-------------------------------|---|-----------|-------------|---------|--|
|  | Pension        | Pension scheme reports        | Fund Information - Accounts, Returns, Valuation and Other Reports.  | Permanent |             |         | Taxes Management Act 1970. Income and Corporation Taxes Act 1988 |
|  |                | Administration and management | Records documenting the overall management of the institution's financial investment portfolio. Employer contribution returns, pension increase notifications, pension opt out forms etc. | 6 Years   | End of Year | Destroy |  |
|  |                | Staff Pension Files           | Individual staff pension files  | Permanent |             |         |  |
|  | Payroll        | Payroll                       | Staff payroll records, including timesheets, leave taken etc.   | 6 Years   | File Closed | Destroy |  |
|  | Internal Audit | Internal Audit                | Internal audit files, working papers, plans, records, reports and grant claim verification files  | 6 years   | End of Year | Review  |  |

### 13. Health and Safety

| SCARRS Ref       | Activity                      | Record Type                                | Record Description and Examples   | Retention Period | Trigger       | Action  | Legal Basis / Citation                                   |
|------------------|-------------------------------|--|---|------------------|---------------|---------|--|
| 13.003<br>13.004 | Risk Monitoring & Management  | Risk assessments and monitoring            | H&S Risk Assessments e.g.: Pregnant Workers, Young Persons & Fire, personal Inspections e.g.: Equipment, LOLER, COSHH<br>Training Records & Certificates: e.g.: First Aid & IOSH<br>Incident Monitoring Forms | 6 Years          | Last modified | Destroy |  |
|                  |                               | Risk assessments and monitoring            | H&S risk assessments and monitoring, handling and disposal of hazardous substances, including Radon, Asbestos etc.  | 50 Years         | End of Year   | Review  | The Ionizing Radiations Regulations 1999 (SI 1999/3232). |
|                  | Accident & Incident Reporting | Incidents and accidents involving adults   | H and S Accident/Incident book, forms, including investigation and conclusions involving adults   | 3 Years          | Date created  | Destroy |  |
|                  |                               | Incidents and accidents involving children | H and S Accident/Incident book, forms, including investigation and conclusions involving children   | 26 years         | Date created  | Review  |  |
|                  |                               | Accident involving Hazardous Substances    | Accidents involving Radon, Asbestos or Hazardous Substances   | 50 Years         | Date created  | Review  |  |



|  |               |               |   |          |               |         |  |
|--|---------------|---------------|---|----------|---------------|---------|--|
|  | H&S committee | H&S committee | Agendas, minutes and supporting papers and reports presented to the H&S Committee and Forum | 10 Years | Last modified | Destroy |  |
|--|---------------|---------------|---|----------|---------------|---------|--|

## 14.Housing

| SCARRS Ref                 | Activity            | Record Type                             | Record Description and Examples   | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|----------------------------|---------------------|---|---|------------------|-------------|---------|------------------------|
| 14.004<br>14.005<br>14.006 | Housing Management  | Housing Provision<br>Managing Tenancies | Housing Application Correspondence, Housing Allocations Offer, Temporary/Sheltered accommodation documentation, Leasing Agreements (windows and heating), Tenant Files, Agreements & Participation Records, ASBO case notes & Correspondence, Sheltered Housing Case Files. | 6 Years          | File Closed | Destroy |                        |
|                            |                     | Registers                               | Anti-social behaviour registers, housing register, asbestos registers, surveys and findings   | Permanent        |             |         |                        |
|                            | Property management | Property Case Files                     | Abandonment Correspondence, Register record of abandoned property, Repairs Alteration/Improvement Application & Grant   | 6 Years          | File Closed | Destroy |                        |

|  |                       |                        |  |          |             |         |  |
|--|-----------------------|------------------------|--|----------|-------------|---------|--|
|  |                       |                        | documentation, Care & repair files, Kitchen Replacement Surveys, electrical certificates, and checks.                  |          |             |         |  |
|  |                       | Disposal of properties | Records documenting the disposal of properties by sale, transfer, or donation - both successful and unsuccessful sales | 35 Years | File Closed | Destroy |  |
|  |                       | Improvement grants     | Improvement / repair grant files - successful and expired, refused or cancelled  | 10 Years | File Closed | Destroy |  |
|  | Strategy and planning | Strategy and planning  | Housing capital programme, planned or capital repairs, Scottish Executive funded projects                              | 6 Years  | Superseded  | Destroy |  |

## 15.Human Resources

| SCARRS Ref       | Activity    | Record Type                 | Record Description and Examples  | Retention Period | Trigger      | Action  | Legal Basis / Citation |
|------------------|-------------|-----------------------------|--|------------------|--------------|---------|------------------------|
| 15.002<br>15.003 | Recruitment | Recruitment                 | All papers in relation to selection of individual for established position, including authorisation, recruitment process | 1 Year           | File Closed  | Destroy | <b>VIEW</b>            |
|                  |             | Disclosure Scotland records | All papers in support of applying for and receiving Disclosure Scotland reports  | 90 days          | Date created | Destroy | <b>VIEW</b>            |

|  |  |  |  |          |             |         |             |
|--|--|--|--|----------|-------------|---------|-------------|
|  | Administering Employees                | Employee files   | All papers in relation to managing staff from appointment to exit, including:<br>- terms and conditions of employment<br>- performance review (ERDs)<br>- development (training records)<br>- termination<br>- Equal pay statement   | 6 years  | File Closed | Destroy |             |
|  |  | Employee files for posts subject to Protecting Vulnerable Groups (PVG) | All papers in relation to managing staff from appointment to exit, including:<br>- terms and conditions of employment<br>- performance review<br>- development and termination<br>- Equal pay statement for employees subject to PVG checks and anyone working with children or vulnerable adults. | 50 years | File Closed | Destroy |             |
|  | Disciplinary, Grievance and Capability | Disciplinary matters including Tribunals                               | Individual case files relating to:<br>- discipline<br>- grievance and capability of employees (where the conduct did not involve children or vulnerable adults) (for employees in posts not subject to disclosure/PVG checks)<br>- Employment Tribunals.   | 6 years  | File Closed | Destroy | <b>VIEW</b> |

|  |  |   |  |          |             |         |             |
|--|--|---|--|----------|-------------|---------|-------------|
|  |  |   | This includes correspondence to professional / other bodies where the Council has a duty to refer these matters.   |          |             |         |             |
|  |  | Disciplinary matters - PVG                                    | Individual case files relating to:<br>- discipline<br>- grievance and capability of employees (where the conduct did not involve children or vulnerable adults) (for employees in posts subject to disclosure/PVG checks and anyone working with children or vulnerable adults).<br>This includes correspondence to professional / other bodies where the Council has a duty to refer these matters. | 50 years | File Closed | Destroy | <b>VIEW</b> |
|  |  | Disciplinary warnings - oral, written, and final - all staff  | Documentation supporting:<br>- employee disciplinary<br>- grievance and capability warnings including oral, written, and final written warnings.   | 2 years  | File Closed | Destroy | <b>VIEW</b> |
|  |  | Disciplinary warnings - oral, written, and final - SNCT staff | Documentation supporting employee disciplinary, grievance and capability warnings including oral, written, and final written warnings.   | 1 Year   | File Closed | Destroy | <b>VIEW</b> |

|                        |                              |  |   |             |             |         |             |
|------------------------|------------------------------|--|---|-------------|-------------|---------|-------------|
|                        |                              | Disciplinary warnings<br>- oral, written, and<br>final - PVG staff   | Documentation supporting:<br>- employee disciplinary<br>- grievance and capability<br>warnings including oral,<br>written, and final written<br>warnings. | 50 years    | File Closed | Destroy | <b>VIEW</b> |
|                        |                              | No formal sanctions<br>or action taken   | No disciplinary warning,<br>sanction or other formal action<br>taken.   | Immediate   | File Closed | Destroy |             |
|                        |                              | Log of disciplinary,<br>grievance or<br>capabilities   | HR Log relating to discipline,<br>grievance or capability of<br>employees (all employees).  | Permanent   |             | Retain  |             |
| TUPE                   | TUPE terms and<br>conditions | All working documents in<br>relation to TUPE transfers<br>(note these are documents<br>that are not held in individual<br>personnel files) | 8 years   | File Closed | Destroy     |         |             |
| Volunteers             | Volunteer files              | All papers in relation to the<br>recruitment, retention, and<br>termination of any volunteers  | 6 Years   | File Closed | Destroy     |         |             |
| Equal<br>Opportunities | Equal opportunities          | Including equality impact<br>assessment, monitoring and<br>reporting, equal pay status<br>reporting  | 6 Years   | End of Year | Destroy     |         |             |

|  |                     |   |   |           |             |         |  |
|--|---------------------|---|---|-----------|-------------|---------|--|
|  | Occupational Health | Sickness monitoring                               | Includes Personal risk assessments  | 6 Years   | File Closed | Destroy | The Access to Medical Reports Act 1988 C28 provides the general provisions on the right of access to records created after 01.01.1989. |
|  |                     | Sickness monitoring - PVG                         | Includes Personal risk assessments  | 50 Years  | File Closed | Destroy | Access to Medical Reports Act 1988 C28 provides the general provisions on the right of access to records created after 01.01.1989.     |
|  |                     | Occupational Health (separate from employee file) | Occupational health case files including any associated training                  | 50 years  | End of Year | Destroy |  |
|  | Employee Relations  | Trade Union Liaison                               | Trade Union liaison and negotiation including strategy and routine documentation. | Permanent |             | Retain  |  |

## 16. ICT

| SCARRS Ref                 | Activity             | Record Type   | Record Description and Examples   | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|----------------------------|----------------------|---|---|------------------|-------------|---------|------------------------|
| 16.002<br>16.003<br>16.004 | Information Security | Security Management   | Information security management including acceptable user guidance, security protocols, breach and incident monitoring and investigations         | 3 Years          | End of Year | Destroy |                        |
|                            |                      | User acceptance policy  | User acceptance policies  | 3 Years          | File Closed | Destroy |                        |
|                            | Equipment            | Provision to/Return from Services & Disposal of ICT Equipment | Records of all ICT equipment allocated to services, returned and items disposed of  | 6 Years          | End of Year | Destroy |                        |
|                            | IT Management        | IT processes  | Logging, investigation, and resolution of user requests for technical and application support.<br>User support, opening and closing user accounts | 1 Year           | End of Year | Destroy |                        |
|                            |                      | Backups   | Management of backups, routines, archiving and deletions  | 1 Year           | End of Year | Destroy |                        |
|                            | Software             | Orders for services   | Documentation regarding orders  | 1 year           | End of Year | Destroy |                        |
|                            |                      | Software licenses and contracts                               | Software licensing and contract details   | 10 years         | Superseded  | Destroy |                        |

## 17. Information Management

| SCARRS Ref                 | Activity              | Record Type  | Record Description and Examples   | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|----------------------------|-----------------------|--|---|------------------|-------------|---------|------------------------|
| 17.001<br>17.003<br>17.004 | Records Management    | Management of records                                | Records surveys, classification schemes, issues, improvements, reporting and monitoring,  | 6 Years          | End of Year | Destroy |                        |
|                            |                       | Support and guidance                                 | Retention schedule, information asset register  | Superseded       |             |         |                        |
|                            |                       | Destruction of records                               | Lists of records destroyed, their approvals and certificates of destruction   | 26 years         | End of Year | Destroy |                        |
|                            | Access to Information | Information access requests                          | General Access to Information, processing of Information Requests<br>General compliance records, notifications & changes, council publication scheme, subject access requests, environmental information regulation requests, freedom of information requests | 6 Years          | End of Year | Destroy |                        |
|                            |                       | Appeals made to UK/Scottish Information Commissioner | Subject access requests, environmental information regulation requests, freedom of information requests   | 6 Years          | End of Year | Destroy |                        |



## 18. Legal Services

| SCARRS Ref   | Activity                     | Record Type                     | Record Description and Examples   | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|--|------------------------------|---------------------------------|---|------------------|-------------|---------|------------------------|
| 18.001<br>18.002<br>18.004<br>18.005<br>18.006<br>18.007 | Advice and litigation        | Public advice                   | Correspondence & Actions relating to Members of the Public - general & legal advice to public   | 6 Years          | File Closed | Destroy |                        |
|  |                              | Legal and Litigation case files | Mental Health, Employment, Civil Action, Housing actions, debt recovery, sequestration, charging orders, byelaw enforcement, Anti-social behaviour cases, employment tribunal (All papers), evictions, criminal actions, recovery of possession notices, notices of court proceedings and judicial reviews and tribunals. | 10 Years         | File Closed | Destroy |                        |
|  | Property, Lands and Highways | Legal activities                | Land tribunals, land charges, land sale or disposal, burdens, servitudes & wayleaves, certificate of lawful use or development, Purchase (open market) correspondence, tax certificates, missives & letters of obligation, charging orders, housing loans, lease of premises, government circulars.                       | 10 Years         | File Closed | Destroy |                        |

|  |          |                          |   |           |             |         |   |
|--|----------|--------------------------|---|-----------|-------------|---------|---|
|  |          | Land charges             | Land charges - Searches   | 12 Years  | File Closed | Destroy | Prescription and Limitation (Scotland) Act 1973 and 1984. |
|  |          | Acquisition and disposal | All records relating to the acquisition and disposal of property, lands and highways- Contracts, Deeds, Compulsory Purchase, Precedent Cases, Title deeds, servitudes & wayleaves, compulsory purchase correspondence, authorisations, deeds etc., tree preservation orders | Permanent |             |         |   |
|  | Bylaws   | Enactment                | Records and data in support of the development and enactment of local Bylaws  | Permanent |             |         |   |
|  |          | Enforcement              | Records and data in support of the enforcement of local Bylaws  | 6 Years   | End of Year | Destroy |   |
|  | Planning | Appeal files             | Planning appeal files   | 6 Years   | File Closed | Destroy |   |
|  |          | Enforcement              | Planning enforcement files  | 10 years  | File Closed | Destroy |   |
|  |          | Public enquiries         | Planning public enquiries   | 26 years  | File Closed | Review  | Historical interest                                       |
|  |          | Applications             | Applications for planning permission and development including Certificate of Lawful Use or Development/Certificate.  | 26 years  | File Closed | Review  | Prescription and Limitation (Scotland) Act 1973 and 1984. |

## 19. Leisure & Culture

| SCARRS Ref       | Activity                | Record Type                   | Record Description and Examples   | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|------------------|-------------------------|-------------------------------|---|------------------|-------------|---------|------------------------|
| 19.002<br>19.007 | Library and Archive     | Community information files   | Details of local groups, community organisations etc.   | 1 Year           | Superseded  | Destroy |                        |
|                  |                         | Catalogue                     | Accession Register, including withdrawals, depositors' agreement  | Permanent        |             |         |                        |
|                  |                         | Deposits, loans, and Services | Loans to/from third parties, reprographic services, reader development, library and archive bookings  | 3 Years          | File Closed | Destroy |                        |
|                  |                         | Management and services       | Book ordering, inter-library loan agreements, library and archive development records, community engagement, Library development records, Stock plans | 6 Years          | End of Year | Review  |                        |
|                  |                         | Membership                    | Details of library membership   | 1 Year           | File Closed | Destroy |                        |
|                  | Museums & Art Galleries | Accreditation                 | Working documents, notification of registered status, Environmental monitoring  | Permanent        |             |         |                        |
|                  |                         | Accession register            | Register of all artifacts and art collected, including withdrawals  | Permanent        |             |         |                        |
|                  |                         | Deposits and loans            | Depositors' agreements, Loans to/from third parties   | Permanent        |             |         |                        |
|                  |                         | Visitor information           | Visitor data, entry forms   | Permanent        |             |         |                        |

|  |                             |  |  |         |             |         |  |
|--|-----------------------------|--|--|---------|-------------|---------|--|
|  |                             | Arts development programmes                  | Arts development programme, project or event where Council is initiator or plays a key role. Bids for funding from external organisations, organisation of sponsorship, collaboration with national, regional or local arts organisations, communications with artists/performers. | 6 Years | File Closed | Destroy |  |
|  |                             | Management and administration                | Environmental monitoring, museum development records & catalogues, details of artists and their work, partnerships, communication and collaboration with other organisations, conservation activities  | 6 Years | File Closed | Destroy |  |
|  | Sports & Leisure Facilities | Memberships                                  | Memberships details  | 1 Year  | File Closed | Destroy |  |
|  |                             | Bookings                                     | Sports and leisure facilities bookings, including sports coaching and training, Ness Campsite bookings from customers.   | 1 Year  | End of Year | Destroy |  |
|  |                             | Sports and leisure facilities establishment  | Establishment, development and closure of sites - allotments, public spaces, recreational spaces and facilities  | 6 Years | File Closed | Destroy |  |
|  |                             | Maintenance of sports and leisure facilities | Maintenance of infrastructure and facilities at allotments, public spaces, recreational spaces and facilities  | 6 Years | End of Year | Destroy |  |

|  |  |  |  |         |             |         |  |
|--|--|--|--|---------|-------------|---------|--|
|  |  | Allotment plot applications - rejected | Processing of an application for rental of an allotment plot or to erect a structure, where the application is rejected.   | 1 Year  | End of Year | Destroy |  |
|  |  | Allotment plot applications - approved | Processing of an application for rental of an allotment plot or to erect a structure, where the application is approved  | 1 Year  | File Closed | Destroy |  |
|  |  | Management and administration          | Advice and assistance given to community sports projects, development of sports and leisure programmes, encouragement of participation in sports and leisure activities. Business/private hire applications. | 6 Years | End of Year | Destroy |  |

## 20. Management

| SCARRS Ref                           | Activity              | Record Type   | Record Description and Examples   | Retention Period | Trigger       | Action | Legal Basis / Citation |
|--------------------------------------|-----------------------|---|---|------------------|---------------|--------|------------------------|
| 20.001<br>20.002<br>20.007<br>20.010 | Ceremonial activities | Management of ceremonial events; The activities involved in planning and coordinating civic events. | 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 | 10 years         | Last modified | Review |                        |

|   |   |  |                                    |               |         |  |  |
|---|---|--|------------------------------------|---------------|---------|--|--|
|   |   |  | those which the Council organises. |               |         |  |  |
| Administrative and Operational activities | Internal Meetings                                     | Agendas, minutes, action logs and papers associated with all meetings apart from those specifically listed under a Function Area   | 6 Years                            | Last modified | Destroy |  |  |
|   | Correspondence and diaries                            | Incoming and outgoing not placed into a specific case file; to or from members of the public, commercial entities, government, and any other organisation; includes any log of correspondence created, including correspondence between council staff and members. General emails sitting within Outlook. Other general notes and working files. | 3 years                            | Last modified | Destroy |  |  |
|   | Executive Correspondence, elected members and diaries | Enquiries – General correspondence to and from MPs/MSPs/MEPs and Scottish Government to Executive staff, their diaries, other general correspondence.  | 6 Years                            | Last modified | Destroy |  |  |
|   | Reports and associated papers                         | Reports, appendices, annexes and working papers in production of same held by teams themselves (does not   | 3 years                            | Last modified | Destroy |  |  |

|                                |   |  |  |           |               |         |  |
|--------------------------------|---|--|--|-----------|---------------|---------|--|
|                                |   |  | include final versions of formal committee papers)   |           |               |         |  |
|                                | Local operational and administration                  |  | All documents associated with the day-to-day operational management and administration of teams and services, including resource management, planning etc. | 3 Years   | Last modified | Destroy |  |
| Projects and change management | Projects and change management                        |  | All documents associated with a specific project including community council projects, plans, products, meeting papers, research, and reports.             | 6 years   | File Closed   | Destroy |  |
| Policies and procedures        | Corporate Policies                                    |  | All corporate policies - setting out how the Council governs itself  | 10 Years  | Superseded    | Destroy |  |
|                                | Procedures and guidance                               |  | All procedures, guidance documents, administrative and operational information, codes of practice and similar  | 3 years   | Superseded    | Destroy |  |
| Strategy                       | Strategies  |  | Strategies, programmes, and initiatives  | Permanent |               |         |  |
| Community Planning             | Community plans and Single outcome agreements - FINAL |  | Agenda and minutes of the OCPP steering group, Community plans and single outcome agreements, annual performance reports on single outcome agreements      | Permanent |               |         |  |

|  |                |   |  |          |               |         |  |
|--|----------------|---|--|----------|---------------|---------|--|
|  |                | Community plans and Single outcome agreements - DRAFT | All working papers drafting community plan and single outcome agreement; OCPP strategies, agenda and minutes of the Partnership Liaison group  | 6 Years  | Last modified | Destroy |  |
|  | Performance    | Performance reporting, including Best Value - FINAL   | Performance monitoring and review of quality, efficiency, or performance of a local authority service or unit, Best Value working group, reports to government, self-assessment on Council performance | 10 Years | Last modified | Destroy |  |
|  |                | Performance reporting, including Best Value - DRAFTS  | Working papers supporting the performance monitoring and review of quality, efficiency and performance of the council, including working papers of Council committees and working groups associated    | 3 Years  | Last modified | Destroy |  |
|  | Communications | Press releases and responses                          | All press releases and media responses to enquiries - final drafts   | 6 Years  | Last modified | Destroy |  |
|  |                | Images - 1 year                                       | Photos, videos, other media types of images  | 1 Years  | Last modified | Destroy |  |
|  |                | Images - 6 years                                      | Photos, videos, other media types of images that have limited use  | 6 Years  | Last modified | Destroy |  |
|  |                | Images - 26 years                                     | Photos, videos, other media types of images - images with  | 26 Years | Last modified | Destroy |  |



|                       |                                    |   |  |               |             |         |  |
|-----------------------|------------------------------------|---|--|---------------|-------------|---------|--|
|                       |                                    |   | no personally identifiable information             |               |             |         |  |
| Consultations         | Public consultations - FINAL       | Final document, project plans relating to Council consultations put to the public     | Permanent  |               |             |         |  |
|                       | Public consultations - DRAFT       | Drafts and working papers in support of Council consultations put to the public       | 6 Years  | Last modified | Destroy     |         |  |
|                       | Council responses to consultations | Council responses to Government and agency consultations                              | 6 Years  | Last modified | Destroy     |         |  |
|                       | User Surveys - FINAL               | Service user surveys and responses and feedback - final reports anonymised data       | 6 Years  | Last modified | Destroy     |         |  |
|                       | User Surveys - DRAFT               | Service user surveys and responses and feedback - draft reports and replies           | 1 Year   | Last modified | Destroy     |         |  |
|                       | Complaints                         | Complaints register   | Register of all complaints received by the Council | 10 Years      | End of Year | Destroy |  |
| Complaints case files |                                    | Complaints case files and analysis of complaints received                             | 6 Years  | Last modified | Destroy     |         |  |
| Customer services     | Customer services support          | All customer service activities such as Blue Badge applications, radar key lists etc. | 1 Year   | File Closed   | Destroy     |         |  |

## 21. Planning & Building Standards

| SCARRS Ref       | Activity     | Record Type            | Record Description and Examples  | Retention Period | Trigger       | Action  | Legal Basis / Citation |
|------------------|--------------|------------------------|--|------------------|---------------|---------|------------------------|
| 21.001<br>21.003 | Applications | Application Case Files | Application form, statutory certificates, checklists, acknowledgement letters, correspondence, objections, officer reports, decision notices, discharge of conditions, appeal correspondence.  | 10 years         | File Closed   | Destroy |                        |
|                  |              | Withdrawn application  |  | 1 year           | Last modified | Destroy |                        |
|                  |              | Planning appeal        |  | Permanent        |               |         |                        |
|                  |              | Ordnance Survey map    | Annotated plans  | Permanent        |               |         |                        |
|                  |              | Register               | Applications for advertisement consent, Listed Building Applications and Applications for Conservation Area consent, applications for section 51 determinations, applications for Certificates of Lawfulness (formerly Established use Certificates), Applications for street and property naming. | Permanent        |               |         |                        |

|  |                        |                                    |  |           |  |  |   |
|--|------------------------|------------------------------------|--|-----------|--|--|---|
|  | Building Standards     | Building Standards Register Part 1 | Economic regeneration, Heritage listing, Housing development, Local plan, National planning policy, Natural environment, Planning policy, Planning schemes, regional plan, Sustainable development, Urban centre planning.                   | Permanent |  |  |   |
|  |                        | Building Standards Register Part 2 | 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 | Permanent |  |  |   |
|  |                        | Street Naming and Numbering        |  | Permanent |  |  |   |
|  | Development Management | Enforcement                        | Case files, planning prosecution reports, register, served enforcement notices, breach of condition notices and stop notices   | Permanent |  |  | Town and Country Planning (Scotland) Act 1997 Section 147 and Town and Country Planning (Enforcement of Control) (N02) (Scotland Regulations 1992). |
|  |                        | Planning applications              | Register of planning applications, Discharge of conditions; Legal Agreements (mainly under S75 of the  | Permanent |  |  |   |

|  |                                 |                              |  |           |             |         |  |
|--|---------------------------------|------------------------------|--|-----------|-------------|---------|--|
|  |                                 |                              | Planning Act); Environmental Statements following Environmental Impact Assessments; Statutory Design and Access Statements; and Pre-Application Consultation Reports accompanying applications for Major or National developments. |           |             |         |  |
|  |                                 | Planning prosecution reports |  | 5 years   | File Closed | Destroy |  |
|  |                                 | Conversation area consent    |  | 5 years   | File Closed | Destroy |  |
|  |                                 | Tree works                   |  | 5 years   | File Closed | Destroy |  |
|  |                                 | Tree preservation order      |  | 5 years   | File Closed | Destroy |  |
|  | Development and marine planning | Development plans            | Plans for biodiversity, open strategy, local structure, conservation area management; conservation area appraisals; Development Management guidance related to the Historic Environment; core paths                                | Permanent |             |         |  |

## 22. Procurement

| SCARRS Ref       | Activity                  | Record Type                                   | Record Description and Examples   | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|------------------|---------------------------|---|---|------------------|-------------|---------|------------------------|
| 22.001<br>22.003 | Contracting and Tendering | Contracts for goods and services - successful | Preparation for and completion of Tendering including Product Evaluation & Information, Authorisation, Invitations, Tender handling, Approval Correspondence  | 6 Years          | File Closed | Destroy |                        |
|                  |                           | Procurement of goods and services             | Preparation for and completion of Tendering including Product Evaluation & Information, Authorisation, Invitations, Tender handling, Approval & Rejection Correspondence, unsuccessful applications | 1 Year           | End of Year | Destroy |                        |
|                  |                           | Supplier lists                                | Lists & Databases of Suppliers, Contracts register  | Superseded       |             |         |                        |
|                  |                           | Management and administration of contracts    | Documents supporting the ongoing management and administration of contracts for goods and services, including reports, correspondence   | 6 Years          | File Closed | Destroy |                        |

## 23. Registrars

| SCARRS Ref | Activity               | Record Type              | Record Description and Examples   | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|------------|------------------------|--------------------------|---|------------------|-------------|---------|------------------------|
| 23.004     | Registration           | Registers                | Registers of marriages, births, deaths, civil partnerships, still births                                | Permanent        |             |         |                        |
|            |                        | Forms and correspondence | Marriage forms (M10), correspondence regarding marriages, registration of birth, death, change of names | 3 Years          | End of Year | Destroy |                        |
|            | Citizenship Ceremonies | Citizenship Ceremonies   | Advice Regarding & Delivery of Citizenship Ceremonies, enquiries, arrangements, conduct records.        | 3 Years          | End of Year | Destroy |                        |

## 24. Risk Management & Insurance

| SCARRS Ref | Activity         | Record Type                  | Record Description and Examples   | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|------------|------------------|------------------------------|---|------------------|-------------|---------|------------------------|
| 24.001     | Insurance Policy | Claims Processing & Renewal  | Combined liability & council buildings insurance claims, insurance tender/contract information/policy documents, motor fleet claims, insurance claim working documents. | 6 Years          | End of Year | Destroy |                        |
|            |                  | Employer Liability Insurance | Employers Liability Certificate of Insurance  | 50 years         | End of Year | Destroy |                        |

|  |                              |                                |   |          |             |         |  |
|--|------------------------------|--------------------------------|---|----------|-------------|---------|--|
|  | Business continuity planning | Business continuity planning   | Business continuity planning, including assessment of the risk of emergency occurring which would affect the Council to carry out its functions | 6 years  | End of Year | Destroy |  |
|  | Risk Management              | Risk management reporting      | All files associated with capturing, recording and assessing corporate risk in the Council  | 10 Years | End of Year | Destroy |  |
|  |                              | Risk management working papers | All draft files and papers associated with capturing, recording and assessing corporate risk in the Council                                     | 3 years  | End of Year | Destroy |  |

## 25. Transport Infrastructure

| SCARRS Ref                           | Activity                               | Record Type                               | Record Description and Examples  | Retention Period | Trigger     | Action | Legal Basis / Citation |
|--------------------------------------|--|---|--|------------------|-------------|--------|------------------------|
| 25.001<br>25.002<br>25.003<br>25.004 | Engineering and construction projects. | Engineering and construction projects     | Council led engineering and construction project files, including procurement and contractual delivery | 26 years         | File Closed | Review |                        |
| 25.005<br>25.006<br>25.007<br>25.008 |  | Engineering and construction projects H&S | Engineering and construction projects H&S files - all assessments and reporting                        | Permanent        |             |        |                        |

|                                      |                     |                           |  |           |               |         |  |
|--------------------------------------|---------------------|---------------------------|--|-----------|---------------|---------|--|
| 25.009<br>25.010<br>25.011<br>25.012 | Transport Strategy  | Transport projects        | Drawings, SUDS, project files, health and safety incident reports, traffic orders, inspections   | Permanent |               |         |  |
|                                      |                     | Strategy                  | The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the Local Authority. Transport Committee and MOWG reports, HITRANS. Assessments. | 10 Years  | End of Year   | Review  |  |
|                                      |                     | Public transport services | Scheduled services, timetabling, demand responsive services and "special needs" services, travel centre administration - building, information services, bus station.                                | 3 Years   | Last modified | Destroy |  |
|                                      |                     | Transport support         | Transport support – EDRTI, subsidies, community transport, green transport, concessionary travel, electric vehicles and green transport - grants, funding, technology                                | 10 Years  | End of Year   | Destroy |  |
|                                      | Road Infrastructure | Road's operations         | Management and administration of roads operations including gritter status reports, winter maintenance, highway inspection reports, street lighting repairs, plant sheets, job cards, provision of   | 6 Years   | End of Year   | Destroy |  |



|  |             |  |  |           |             |         |  |
|--|-------------|--|--|-----------|-------------|---------|--|
|  |             |  | permanent road markings,<br>duty officer logs  |           |             |         |  |
|  |             | Road's support and maintenance             | Construction consents, parking management, traffic orders (temporary and permanent), traffic regulation orders, street lighting  | 6 Years   | End of Year | Destroy |  |
|  |             | Permits and Applications                   | Permits  | 6 Years   | End of Year | Destroy |  |
|  |             | Inspection Records                         | Inspection records   | 10 Years  | End of Year | Review  |  |
|  |             | Health and Safety                          | Management of measures to ensure a healthy and safe workplace.   | Permanent |             |         |  |
|  |             | Structures including Local Transport Plans | Bridges contract drawings, lighting scheme design, watercourses & drainage - assessments & reports, accessibility, Highway structures inspection reports, transport & facility planning, analysis & planning based on road accident data, disabled transport, and facilities for people of limited mobility. | Permanent |             |         |  |
|  | Quarries    | Quarry operations                          | All documents relating to the operation of quarries including job cards, plant sheets, usage records, logbooks   | 6 Years   | End of Year | Destroy |  |
|  |             | Records of blasting                        | Records of blasting  | 6 Years   | End of Year | Destroy |  |
|  | Road Safety | Road Safety management                     | Road safety training programme, promotion of road  | 10 Years  | End of Year | Destroy |  |

|                       |                                   |   |   |            |             |         |  |
|-----------------------|-----------------------------------|---|---|------------|-------------|---------|--|
|                       |                                   |   | safety, road safety forum, traffic counts   |            |             |         |  |
|                       |                                   | Training records  | Training records, road safety, Junior Road Safety Officers (JRSO)   | 3 years    |             |         |  |
|                       |                                   | Road Safety Audit   |   | 26 years   | End of Year | Destroy |  |
|                       |                                   | Junior road safety  | Junior Road Safety Officer (JRSO) Training Records.   | 6 Years    | End of Year | Destroy |  |
| Flood risk management | Flood risk management plans       | Flood risk management plans   | Flood risk management plans   | Permanent  |             |         |  |
|                       | Flood risk management files       | Flood risk management files and studies   | Flood risk management files and studies   | 26 years   | End of Year | Destroy |  |
| Airfields             | Airfields manuals                 | Airfields manuals   | Airfields manuals   | Superseded |             |         |  |
|                       | Airfields incidents and accidents | Airfields incidents and investigations.   | Airfields incidents and investigations.   | Permanent  |             |         |  |
|                       | Airfield files                    | Airfield files, logbooks, routine inspections of property and other administrative activities   | Airfield files, logbooks, routine inspections of property and other administrative activities   | 10 Years   | End of Year | Destroy |  |
| Marine Services       | Business Development              | Includes Cruise, Oil and Gas including bunkering and shore facilities, Renewables including ERDF and 3 port strategy, Aquaculture and fishing including processing and landing, Tourism and leisure including marinas, Links to Economic Development. | Includes Cruise, Oil and Gas including bunkering and shore facilities, Renewables including ERDF and 3 port strategy, Aquaculture and fishing including processing and landing, Tourism and leisure including marinas, Links to Economic Development. | 6 Years    | End of Year | Destroy |  |
|                       | Scapa Flow Development            | Scapa Flow Development excluding Flotta.  | Scapa Flow Development excluding Flotta.  | 6 Years    | End of Year | Review  |  |

|  |                 |                                 |   |           |             |         |               |
|--|-----------------|---------------------------------|---|-----------|-------------|---------|---------------|
|  |                 | Vessel maintenance              | Ferries and Tugs classification society records, defect reports, improvement requests, Refit specifications and records, replacement, standards and certification | 3 Years   | File Closed | Destroy |               |
|  |                 | Port Strategy                   | Port strategy, governance and legislation, committee reports, annual performance report and by laws   | Permanent |             |         |               |
|  |                 | Marine environment              | Environment surveys, species records  | Permanent |             |         |               |
|  |                 | Marine environmental monitoring | Water tests and surveys, weather records, ballast water surveys   | 6 Years   | End of Year | Destroy |               |
|  |                 | Oil pollution                   | Pollution response plans, audit, oil transfer license, incident records and investigations  | Permanent |             |         |               |
|  |                 | Pilots                          | Legislation, authority and governance, investigations.  | 10 Years  | File Closed | Destroy | Pilotage Act. |
|  |                 | Pilotage directions             | Pilotage directions   | Permanent |             |         | Pilotage Act. |
|  | Port Operations | Safety management               | Lifesaving equipment, safety management system, health and safety, personal protective equipment  | 10 Years  | End of Year | Destroy |               |
|  |                 | Port administration             | Port administration, harbour dues including setting and collection, stakeholders and customers, berthing plans, gangways and bollards, port                       | 6 Years   | End of Year | Destroy |               |

|                 |  |                                  |   |           |             |         |  |
|-----------------|--|----------------------------------|---|-----------|-------------|---------|--|
|                 |  |                                  | security, conservancy and dredging, navigation, pier operations   |           |             |         |  |
|                 |  | Safety audits and surveys        | Hydrography and survey, Port Marine Safety Code including audit, risk assessment  | Permanent |             |         |  |
| Orkney Ferries  |  | Ferry operation and vessel audit | Operational and vessel audit, safety management system  | Permanent |             |         |  |
|                 |  | Ferry operation admin.           | Fares, ticketing, all operational tasks associated with Orkney Ferries  | 6 Years   | End of Year | Destroy |  |
|                 |  | Vessel management                | Vessel standard and certification, vessel replacement   | 3 Years   | File Closed | Destroy |  |
| Towage Services |  | Towage operations                | Towage Operations – routines, procedures and methods. Routes and service levels, equipment, towage and tug capabilities. Towage fees and charges. | 6 Years   | End of Year | Destroy |  |
|                 |  | Towage vessel management         | Vessel standard and certification, vessel replacement   | 3 Years   | File Closed | Destroy |  |
|                 |  | Stakeholder management           | Board papers and reports, customers and stakeholders  | 6 Years   | End of Year | Destroy |  |

## 26.Waste Management

| SCARRS Ref                           | Activity                        | Record Type                             | Record Description and Examples  | Retention Period | Trigger     | Action  | Legal Basis / Citation |
|--------------------------------------|---------------------------------|---|--|------------------|-------------|---------|------------------------|
| 26.002<br>26.003<br>26.004<br>26.005 | Strategy and awareness          | Waste strategy and initiatives          | Waste Minimisation Initiatives – Home Composting/Nappies/Office Recycling etc.<br>Partnership plans and area waste plans | 6 Years          | End of Year | Destroy |                        |
|                                      | Fly tipping, abandoned vehicles | Reports and actions - No Action Taken   | Recorded instances and actions taken   | 3 years          | End of Year | Destroy |                        |
|                                      |                                 | Reports and actions - Enforcement taken | Recorded instances and actions taken   | 6 Years          | End of Year | Destroy |                        |
|                                      | Waste collection                | Trade and bulk waste                    | Completed forms signing up to the service for collection of commercial waste and/or recycling                            | 6 Years          | End of Year | Destroy |                        |
|                                      | Waste administration            | Waste admin                             | All documents relating to the operation of Council waste including job cards, plant sheets, usage records, logbooks      | 6 Years          | End of Year | Destroy |                        |
|                                      | Waste Disposal                  | Waste management site licenses          | Licensed/Permitted waste management site returns   | 6 Years          | File Closed | Destroy | SEPA guidance          |
|                                      |                                 | Leachate and gas                        | Records documenting the collection, treatment and disposal of leachate and gas   | Permanent        |             |         |                        |

|  |  |                   |  |         |             |         |  |
|--|--|-------------------|--|---------|-------------|---------|--|
|  |  | Service operation | Records documenting the movement of a consignment of controlled waste; includes waste transfer notes, weighbridge tickets, trade waste enquiries | 6 Years | End of Year | Destroy |  |
|--|--|-------------------|--|---------|-------------|---------|--|