

Retention and Disposal Schedule

Introduction

This Retention and Disposal Schedule has been produced by CHS to set out the recommended retention periods for all records created by the CHS National team and Board members, tribunal and Area Support Team (AST) members and Clerks to the ASTs in relation to the Children's Hearings System. It includes all records, regardless of their format.

Some of the retention periods are laid down by statute (which is identified in the *Rationale* column); whilst others are guidelines following best practice or in line with business need. Every effort has been made to ensure that the retention periods are compliant with the legislative framework within which CHS operates.

Disposal of information

There are generally three procedures to follow with regards to the disposal of records once they have reached the end of their recommended retention period:

1. *'Secure destruction'* – records containing confidential information¹, personal data or sensitive personal data, must be securely destroyed or deleted at the end of their retention period. If the records are held in paper form either a cross-cut shredder or a confidential waste service provider should be used to destroy the information and a record of the disposal must be retained. For records held electronically, information should be deleted from systems in a way that makes recovery impossible, and a Disposal Log of records deleted should be retained as evidence of secure destruction.
2. *'Review for historical value'* – all records that are of potential historical value should be appraised by the National Team once they have reached the end of their recommended retention period. Records that are deemed worthy of permanent preservation, will be deposited with National Records of Scotland (NRS).
3. *'Recycle'* – paper records that do not contain any confidential information, personal data or sensitive personal data should be disposed of by recycling them at the end of their retention period.

Please note: If the records are subject to a current Freedom of Information or Data Protection request, they must be retained for 12 months after the request has been fulfilled. Duplicates or convenience copies of information should be disposed of as soon as they are no longer required.

¹ If you are unsure whether or not the material you have should be considered as confidential, then a general rule is to classify any information that is not yet in the public domain, as confidential.

Information Asset Owners (IAOs)

IAOs are the Officers accountable for the management of the records in their Business Area. These correspond with the Information Asset Register, and IAOs are identified according to Business Function. IAOs should be aware of what records they are responsible for, and ensure the records are held in line with the retention schedule. IAOs will be listed in the retention schedule by their abbreviated job title:

BOGM	Business/Operations Governance Manager
CEO	Chief Executive Officer
CEL	Communications & Engagement Lead
CMO	Complaints Management Officer
CPRO	Corporate Planning & Reporting Officer
DPA	Data & Performance Analyst
DoTD/ DCE	Director of Tribunal Delivery/ Depute Chief Executive
DSDM	Digital Strategy & Delivery Manager
DBF	Director of Business & Finance
DTD	Director of Tribunal Delivery
FM	Finance Manager
IG&DPO	Information Governance & Data Protection Officer
LM	Learning Manager
NC	National Convenor
NTL	National Training Lead
PC	Participation Co-ordinator
PCM	People & Culture Manager
PMOM	PMO Manager
PPTM/ PSM	Practice & Policy Team Manager/ Practice & Standards Manager
QM	Quality Manager
RAM	Resource Allocation Manager
RRM	Recruitment & Retention Manager
RTDM	Regional Tribunal Delivery Manager
SCDM	Senior Change Delivery Manager
SLT	Senior Leadership Team

Legislative framework

Whilst most of the records created and held by CHS are retained in line with business requirements, some are retained in line with legislative and statutory recordkeeping obligations. Where these regulations are relevant to a particular record type, they will be identified in the *Rationale* column, by their abbreviated reference:

- **2020 asp 16** – Children (Scotland) Act 2020
- **2018 c. 12** - Data Protection Act 2018
- **SI 2013/1471** - The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
- **2013 VAT Notice 700/21** – Keeping VAT Records
- **SI 2012/632** – The Control of Asbestos Regulations 2012

- **2011 asp 1** – Children’s Hearings Scotland Act 2011
- **2011 asp 6** - Wildlife and Natural Environment (Scotland) Act 2011
- **2010 asp 8** – Public Services Reform (Scotland) Act 2010
- **2010 c. 15** - Equality Act 2010
- **SI 2006/2739** – The Control of Asbestos Regulations 2006
- **SI 2006/456** – The Fire Safety (Scotland) Regulations 2006
- **SI 2005/1541** - The Regulatory Reform (Fire Safety) Order 2005
- **SSI 2004/520** – The Environmental Information (Scotland) Regulations 2004
- **SI 2003/46** – The Public Contracts (Works, Services and Supply) and Utilities Contracts (Amendment) Regulations 2003
- **2002 asp 13** – Freedom of Information (Scotland) Act 2002
- **SI 2002/2677** – The Control of Substances Hazardous to Health Regulations 2002
- **SI 2002/2675** – Control of Asbestos at Work Regulations 2002
- **SI 1999/437** – The Control of Substances Hazardous to Health Regulations 1999
- **SI 1999/3242** - The Management of Health and Safety at Work Regulations 1999
- **SI 1999/584** - The National Minimum Wage Regulations 1999
- **1998 c. 18** - Audit Commission Act 1998
- **SI 1998/1833** - The Working Time Regulations 1998
- **1997 c. 50** – Police Act 1997
- **SI 1995/201** – The Public Supply Contracts Regulations 1995
- **1994 c. 23** - Value Added Tax Act 1994
- **SI 1993/744** - The Income Tax (Employments) Regulations 1993
- **SI 1993/3228** – The Public Services Contracts Regulations 1993
- **SI 1993/2113** – The Social Security (Claims and Payments) Amendment (No 3) Regulations 1993
- **SI 1992/3004** – The Workplace (Health, Safety and Welfare) Regulations 1992
- **1992 c. 5** - Social Security Administration Act 1992
- **SI 1991/2389** – The Environmental Protection (Duty of Care) Regulations 1991
- **SI 1991/2680** – The Public Works Contracts Regulations 1991
- **1988 c. 28** - Access to Medical Reports Act 1988
- **SI 1987/1968** – The Social Security (Claims and Payments) Regulations 1987
- **SI 1986/1960** – The Statutory Maternity Pay (General) Regulations 1986
- **1984 c. 45** - Prescription and Limitation Act (Scotland) Act 1984
- **SI 1979/628** - Social Security (Claims and Payments) Regulations 1979
- **1974 c. 37** - Health and Safety at Work etc. Act 1974
- **1973 c. 52** - Prescription and Limitation (Scotland) Act 1973
- **1970 c. 9** - Taxes Management Act 1970

Document Control

Title	Retention and Disposal Schedule
Author	Danielle Metcalfe, July 2023
Approved by	Information Governance & Data Protection Officer
Date of approval	31/08/2023
Version number	8.0
Review frequency	Every two years
Next review date	August 2025

Document Location	G:\CHS\Corporate Services & Strategy\Information Governance\Policy and Procedure\Approved Policies and Procedures
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Version	Date	Owner	Summary of Changes
v1.0	18/06/2013	Information Governance Lead	<ul style="list-style-type: none"> N/A
v2.0	26/08/2014		<ul style="list-style-type: none"> Final schedule approved by SMT.
v3.0	31/03/2015		<ul style="list-style-type: none"> Final Schedule approved by SMT.
v5.0	05/01/2017		<ul style="list-style-type: none"> Final changes to formatting made after CEO comments and approval.
v6.0	13/04/2018		<ul style="list-style-type: none"> Amendments to ensure GDPR compliance and recognise organisational changes
v7.0	14/07/2021		<ul style="list-style-type: none"> Changes made to align with move into new digital system, reflecting reconciliation with new ways of working, roles, and functions within CHS
v7.1	31/01/2023	IG&DPO	<ul style="list-style-type: none"> Minor edits to reflect changes in HR processes
v7.2	06/07/2023		<ul style="list-style-type: none"> Changes made in line with organisational changes
v8.0	31/08/2023		<ul style="list-style-type: none"> Final Schedule approved by IG&DPO

Approvals	IG&DPO 31/08/2023
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COMMUNICATIONS

ACTIVITIES & TRANSACTIONS	EXAMPLE RECORD TYPES	DESCRIPTION OF RECORDS	RETENTION PERIOD	DISPOSAL PROCEDURE	RATIONALE	VITAL STATUS	IAO	MARKING
Contacts								
Contacts	Contact Details	Contact details for volunteers	DESTROY - 6 years after leaving	Secure destruction	Business need	✓	RRM	OFFICIAL
		Contact details for Lived Experienced Recruiters (LERs)	DESTROY – in advance of next recruitment campaign	Secure destruction	Business need	✓	PC	OFFICIAL-SENSITIVE - Personal
		Contact details for participation group	REVIEW – every year	Secure destruction	Business need	✓	PC	OFFICIAL-SENSITIVE - Personal
		Press contacts	REVIEW – every year	Secure destruction	Business need	✓	CEL	OFFICIAL
		Contact details for individuals signed up to mailing list	REVIEW – ongoing	Secure destruction	Business need	✓	CEL	OFFICIAL
		Key HR contacts, links and passwords	REVIEW – ongoing	Secure destruction	Business need	✓	PCM	OFFICIAL - SENSITIVE
Corporate Identity								
Forms and Templates	Forms and Templates	Standard forms and templates in use	DESTROY – 1 year after superseded	Recycle / delete	Business need	✗	CEL	OFFICIAL
	Logos	Approved/final CHS logos	PERMANENT	Retain for operational / historical value	Business need	✗	CEL	OFFICIAL
Guidelines	Identity	Corporate identity guidelines, including accessibility	PERMANENT	Retain for operational / historical value	Business need	✗	CEL	OFFICIAL
	Internal Style	Internal style guidelines, including accessibility	DESTROY – 1 year after superseded	Recycle / delete	Business need	✗	CEL	OFFICIAL
Marketing	Advertising and Design	Records relating to design and layout of advertising	PERMANENT	Retain for operational / historical value	Business need	✗	CEL	OFFICIAL

		Brand Development	Documentation relating to the development of CHS brands	PERMANENT	Retain for operational / historical value	Business need	✘	CEL	OFFICIAL
Enquiries									
	General Enquiries	External Enquiries	Records relating to general external enquiries	DESTROY –1 year from last action	Secure destruction	Business need	✘	BOGM	OFFICIAL
Events									
	AST Events	Event Management	Documentation such as planning, bookings, administration decisions	REVIEW – after 3 years	Review for historical value	Business need	✘	RTDM	OFFICIAL
		Events Documentation	Material relating to execution of the event such as invites and images	REVIEW – after 3 years	Review for historical value	Business need	✘	RTDM	OFFICIAL
	CHS Events	Event Management	Documentation such as planning, bookings, administration decisions	REVIEW – after 3 years	Review for historical value	Business need	✘	BOGM	OFFICIAL
		Events Documentation	Material relating to execution of the event such as invites and images	REVIEW – after 3 years	Review for historical value	Business need	✘	BOGM	OFFICIAL
	Partner Events	Event Management	Documentation such as planning, bookings, administration decisions	REVIEW – after 3 years	Review for historical value	Business need	✘	BOGM	OFFICIAL
		Events Documentation	Material relating to execution of the event such as invites and images	REVIEW – after 3 years	Review for historical value	Business need	✘	BOGM	OFFICIAL
Images & Recordings									
	AST Recordings	Video and Audio Recordings	CHS hosted event recordings	DESTROY – after 1 month	Delete	Business need	✘	CEL	OFFICIAL
	CHS Images	Photographs	Photographs of CHS staff and Board members	REVIEW – after 3 years	Review for historical value	Business need	✘	CEL	OFFICIAL
	Continued Use CHS Recordings	Video and Audio Recordings	Individual or group planned video recordings for use or publication	REVIEW – after 3 years	Review for historical value	Business need	✘	CEL	OFFICIAL

Events Images	Photographs	Images and photographs of events	REVIEW – after 3 years	Review for historical value	Business need	✘	CEL	OFFICIAL
Graphic Design	Design Elements	Design elements for promotion	REVIEW – after 3 years	Review for operational / historical value	Business need	✘	CEL	OFFICIAL
Internal Use CHS Recordings	Video and Audio Recordings	Recordings of Meetings for note taking purposes	DESTROY – after 7 days	Delete	Business need	✘	CEL	OFFICIAL
Tribunal Member and AST Images	Photographs	Photographs of tribunal and AST members	REVIEW – after 3 years	Review for historical value	Business need	✘	CEL	OFFICIAL
Partner Images	Images	Partner photographs and images	REVIEW – after 3 years	Review for operational value	Business need	✘	CEL	OFFICIAL
Purchased Images	Images (structured by category)	Purchased photographs and images	REVIEW – after 3 years	Review for operational value	Business need	✘	CEL	OFFICIAL

Media and Public Relations

Briefings and Updates	National Convener Blog	Bi-monthly blog produced by the National Convener	PERMANENT	Archive	Historical value	✘	CEL	OFFICIAL
	Updates	Updates sent to the CHS community	PERMANENT	Archive	Historical value	✘	CEL	OFFICIAL
Case Studies	Case Study Files	Interviews or narrative case studies for media use	PERMANENT	Archive	Historical value	✘	CEL	OFFICIAL
Enquiries	Media Enquiries	Documentation relating to media enquiries and correspondence	PERMANENT	Retain for operational / historical value	Business need	✘	CEL	OFFICIAL
	Ministerial Enquiries	Documentation relating to ministerial enquiries, correspondence and letters	PERMANENT	Retain for operational / historical value	Business need	✘	CEO	OFFICIAL
	Media Tracker	Media tracker recording all enquiries	PERMANENT	Retain for operational / historical value	Business need	✘	CEL	OFFICIAL
Press Cuttings	Press Cuttings	Press cuttings relating to the Children’s Hearings System	REVIEW – after 3 years	Review for historical value	Business need	✘	CEL	OFFICIAL
Press Releases	Interviews	Interviews with members of the Children’s Hearings System	REVIEW – after 3 years	Review for historical value	Business need	✘	CEL	OFFICIAL

		Press Releases	Documentation relating to media releases	PERMANENT	Archive	Historical value	✘	CEL	OFFICIAL
	TV and Social Media	Communications	Documentation relating to TV and social media coverage of the Children's Hearing System	REVIEW – after 3 years	Review for historical value	Business need	✘	CEL	OFFICIAL
Partnership Working									
	Teams	Team and Channel content	Channel discussions, documents and images	REVIEW – ongoing (<i>subject to review</i>)	Review for operational value	Business need	✘	DSDM	OFFICIAL
		Chat content	Private discussions contained in the Chat function	DESTROY – after closure of account (<i>subject to review</i>)	Delete	Business need	✘	AUTHOR	OFFICIAL
	Groups (Internal and External)	Meetings (split by group name)	Agendas, papers and minutes from meetings with partners and groups, including CHIP	REVIEW – 3 years from date of meeting	Review for historical value	Business need	✓	CHS GROUP LEAD	OFFICIAL
	Correspondence	Internal & external correspondence	Key correspondence from and to Board Members, Chair, NC & SLT members	REVIEW – after 3 years	Review for operational / historical value	Business need	✘	AUTHOR	OFFICIAL/ OFFICIAL-SENSITIVE
	Websites	Draft content	Draft content to be uploaded to CHS websites	DESTROY – once uploaded	Recycle/delete	Business need	✘	AUTHOR	OFFICIAL
		Live content	Content uploaded to CHS owned websites	REVIEW – ongoing	Review for operational / historical value	Business need	✓	CEL	OFFICIAL
Publications									
	Articles	Articles	Articles relating to the Children's Hearings System	REVIEW – 3 years	Sample for operational / historical value	Business need	✘	CEL	OFFICIAL
	Briefing Sheets	Briefing Sheets	Information briefing sheets produced by CHS	REVIEW – 3 years	Sample for operational / historical value	Business need	✘	CEL	OFFICIAL

	Leaflets	Leaflets	Leaflets produced for the Children's Hearings System	REVIEW – 3 years	Sample for operational / historical value	Business need	✘	CEL	OFFICIAL
	Newsletters and Magazines	Magazines	Magazines published and circulated by CHS	REVIEW – 3 years	Sample for operational / historical value	Business need	✘	CEL	OFFICIAL
		Newsletters	Newsletters produced in relation to the Children's Hearings System	REVIEW – 3 years	Sample for operational / historical value	Business need	✘	CEL	OFFICIAL

GOVERNANCE

ACTIVITIES & TRANSACTIONS	EXAMPLE RECORD TYPES	DESCRIPTION OF RECORDS	RETENTION PERIOD	DISPOSAL PROCEDURE	RATIONALE	VITAL STATUS	IAO	MARKING	
Agreements									
Accountable Officer	Letters	Accountable Officer letters	DESTROY – after 5 years	Secure destruction	Business need	✘	FM	OFFICIAL	
	Agreements and Contracts	Data Access Agreements	Details of data access agreements held between CHS and third parties	DESTROY – 5 years after the terms of the agreement have expired	Secure destruction	Business need	✔	IG&DPO	OFFICIAL
		Data Processing Contracts	Documentation relating to the development and approval of data processing contracts	DESTROY – 5 years after the contract has expired	Secure destruction	Business need	✔	IG&DPO	OFFICIAL
		Information Sharing Protocols	Information sharing protocols established between CHS and partners	DESTROY – 5 years after the terms of the protocol have expired	Secure destruction	Business need	✔	IG&DPO	OFFICIAL
		Memorandum of Understanding/Framework	Initial agreements set up with external agencies and partners	DESTROY – 5 years after the terms of the agreement have expired	Secure destruction	Business need	✔	DBF	OFFICIAL / OFFICIAL-SENSITIVE - Commercial
		Partnership Agreements	Documentation relating to local authority partnership agreements	PERMANENT	Archive	Historical value	✔	DBF	OFFICIAL
			Documentation relating to internal partnership agreements	PERMANENT	Archive	Historical value	✔	DBF	OFFICIAL
		Service Level Agreements	Including stakeholder agreements	DESTROY – 5 years after the terms of the agreement have expired	Secure destruction	Business need	✔	DBF	OFFICIAL / OFFICIAL-SENSITIVE - Commercial
	Grant in Aid	Applications & Bids	Activities relating to applications for grant funding by external bodies	DESTROY – 10 years after the grant has been audited	Secure destruction	1973 c. 52 1984 c. 45 1994 c. 23 1970 c. 9	✘	FM	OFFICIAL

				or DESTROY – when administrative use is concluded if the bid was unsuccessful		1998 c. 18			
	Letters	Documentation relating to the provision and management of grant funding by external bodies		DESTROY – 10 years after the grant has been audited or DESTROY – when administrative use is concluded if the bid was unsuccessful	Secure destruction	1973 c. 52 1984 c. 45 1994 c. 23 1970 c. 9 1998 c. 18	✓	FM	OFFICIAL

Audit

	External Auditing	External Audits	Documents produced during the course of an external audit, including recommendations and final report	REVIEW – after 3 years	Review for historical value	Business need	✗	FM	OFFICIAL
	Fraud	Fraud Investigations	Details of any fraud investigations	DESTROY – 5 years after legal / disciplinary proceedings are complete	Secure destruction	1970 c. 9 1973 c. 52 1984 c. 45	✓	FM	OFFICIAL
	Internal Auditing	Internal Audit Investigations	Documents produced during the course of a routine audit, including recommendations and a final report	REVIEW – after 5 years	Review for historical value	Business need	✗	BOGM	OFFICIAL
		Internal Audit Management	Documentation relating to the provision and management of an internal audit service	REVIEW – 5 years after end of financial year	Review for historical value	1973 c. 52 1984 c. 45	✓	BOGM	OFFICIAL

Complaints, Concerns and Feedback

	Comments and Feedback	Feedback	Comments and feedback received by CHS, either positive or negative	DESTROY – 5 years from last action	Secure destruction	Business need	✘	CMO	OFFICIAL
	Complaints	CHS Complaints (split by unique complaint ref)	Complaints received by CHS and responses to them	DESTROY – 5 years from closure	Secure destruction	1973 c. 52 1984 c. 45	✘	CMO	OFFICIAL / OFFICIAL- SENSITIVE - Personal
		Complaints received by CHS for partner organisations	Initial complaint, record of referral to correct organisation	DESTROY – 1 year after referral	Secure destruction	Business need	✘	CMO	OFFICIAL/ OFFICIAL- SENSITIVE - Personal
		Complaints Register	Summary information relating to the monitoring and recording of complaints	DESTROY – 10 years after end of financial year	Secure destruction	Business need	✘	CMO	OFFICIAL
	Community Concerns	CHS Community Concerns (split by unique concern ref)	Concerns received by CHS and responses to them	DESTROY – 5 years from closure	Secure destruction	Business need	✘	CMO	OFFICIAL/ OFFICIAL – SENSITIVE - Personal
		Community Concerns register	Summary information relating to the monitoring and recording of concerns	DESTROY – 10 years from end of financial year	Secure destruction	Business need	✘	CMO	OFFICIAL

Information Governance

	Data Protection	Enquiries	Records of data protection related enquiries (including external enquiries and enquiries from the CHS community)	DESTROY – after 3 years	Recycle / delete	Business need	✘	IG&DPO	OFFICIAL
		Notification	Process of notifying the Information Commissioner on data held	DESTROY – 3 years after expiry	Recycle / delete	2018 c. 12	✓	IG&DPO	OFFICIAL
		Privacy Compliance Checks	Assessments of compliance with privacy legislation	REVIEW – after 3 years	Review for historical value	Business need	✘	IG&DPO	OFFICIAL
		Data Protection Impact Assessments	Documentation relating to the assessment, identification and	REVIEW – 3 years after processing	Review for historical value	Business need	✘	IG&DPO	OFFICIAL

		resolution of data protection concerns	ends/ is superseded						
	Privacy Notices	Statements explaining why we are collecting personal data, what we are going to use it for, who we are going to share it with, how an individual can access information held about them and how we will ensure that the information is kept securely	REVIEW – 3 years after superseded	Review for historical value	Business need	✓	IG&DPO	OFFICIAL	
Information Requests	Environmental Information Regulations Requests	Documentation relating to EIR requests received by CHS, including the initial request and response	DESTROY – 3 years from enquiry closure OR 6 years if appealed to Scottish Information Commissioner’s Office	Secure destruction	Business need	✓	IG&DPO	OFFICIAL	
	Freedom of Information Requests	Documentation relating to FOISA requests received by CHS, relating to its records and business practices, including the initial request and response	DESTROY – 3 years from enquiry closure OR 6 years if appealed to Scottish Information Commissioner’s Office	Secure destruction	Business need	✓	IG&DPO	OFFICIAL	
	Subject Access Requests	Requests for information held about an individual	DESTROY – 3 years from enquiry closure OR 6 years if appealed to Scottish Information Commissioner’s Office	Secure destruction	Business need	✓	IG&DPO	OFFICIAL	

		Data Protection requests	Requests from individuals exercising their rights under Data Protection legislation e.g. erasure requests	DESTROY – 3 years from enquiry closure OR 6 years if appealed to Scottish Information Commissioner’s Office	Secure destruction	Business need	✓	IG&DPO	OFFICIAL
		Summary Log	Summary information relating to the monitoring and recording of information requests	PERMANENT-anonymisation 3 years from enquiry closure OR 6 years if appealed to the Scottish Information Commissioner’s Office	Retain for operational value	Business need	✗	IG&DPO	OFFICIAL
	Freedom of Information	Enquiries	Records of freedom of information related enquiries (including external enquiries and enquiries from the CHS community)	REVIEW – after 3 years	Review for operational value	Business need	✗	IG&DPO	OFFICIAL
		Publication Scheme	Detailing the routine publication of certain classes of information	REVIEW – 3 years after superseded	Review for historical value	Business need	✓	IG&DPO	OFFICIAL
	Information Asset Management	Information Asset Register	Consolidated list of all information assets and identified risks	DESTROY – 2 years after superseded	Secure destruction	Business need	✓	IG&DPO	OFFICIAL
	Information Security and Assurance	Anti-Virus	Documentation relating to anti-virus software on CHS systems	DESTROY – once superseded	Secure destruction	Business need	✓	DSDM	OFFICIAL
		Audit Trail	Information generated for the purpose of recording system activity (where this relates to records)	RETAIN – for at least the same period as the information to which it refers	Secure destruction	Business need	✓	DSDM	OFFICIAL

	Incident Investigations (split by unique case ref)	Details of investigations into information security incidents, vulnerabilities and threats, including risk assessments and associated case papers	REVIEW – after 10 years <i>Investigatory datasets to be securely destroyed once an investigation is complete</i>	Review for historical value	Business need	✓	IG&DPO	OFFICIAL / OFFICIAL-SENSITIVE-Personal	
	Incident Register	Index of all incidents and vulnerabilities	PERMANENT	Retain for operational value	Business need	✓	IG&DPO	OFFICIAL	
	Penetration Tests	Reports of penetration tests carried out by CHS and systems providers	DESTROY – after 5 years	Secure destruction	Business need	✓	DSDM	OFFICIAL-SENSITIVE	
	Intellectual Property	Copyright Licences	Documentation relating to copyright licences	DESTROY – 5 years from termination of agreement	Secure destruction	1973 c. 52 1984 c. 45	✓	CEL	OFFICIAL
	Records Management	Business Classification Scheme	Detailing the functions, activities and transactions of CHS	PERMANENT	Archive	Historical value	✗	IG&DPO	OFFICIAL
		Disposals	Documentation relating to the disposal of records	PERMANENT	Retain for operational value	Business need	✗	IG&DPO	OFFICIAL
		Enquiries	Records management related enquiries (including external enquiries and enquiries from the CHS community)	REVIEW – after 3 years	Review for operational value	Business need	✗	IG&DPO	OFFICIAL
		Information Audit	Comprehensive audit carried out within CHS to examine recordkeeping systems, processes and strategies	PERMANENT	Retain for operational value	Business need	✗	IG&DPO	OFFICIAL
		Retention and Disposal Schedules	Documentation detailing recommended retention periods for records	PERMANENT	Retain for operational value	Business need	✓	IG&DPO	OFFICIAL

		Records transfer forms	Transfer forms relating to legacy Tribunal Member records from CPAC	PERMANENT	Retain for operational value	Business need	✘	IG&DPO	OFFICIAL
		Records Management Plan	Plan, supporting evidence, and other documentation concerning CHS's Records Management Plan	DESTROY – 5 years after superseded	Secure destruction	Business need	✔	IG&DPO	OFFICIAL

Meetings

	AST Meetings	Meeting Papers (split by AST)	Agendas, minutes and supporting papers from AST meetings	REVIEW – 3 years from date of meeting	Review for historical value	Business need	✘	RTDM	OFFICIAL
	Board Meetings	Meeting Papers	Agendas, minutes and supporting papers from Board meetings	PERMANENT	Archive	Historical value	✔	BOGM	OFFICIAL
	Committee Meetings	Meeting Papers	Agendas, minutes and supporting papers from Committee meetings, including the Audit and Risk Management Committee	PERMANENT	Archive	Historical value	✔	BOGM	OFFICIAL / OFFICIAL-SENSITIVE
	National Working and Reference Group Meetings	Meeting Papers (split by Group)	Agendas, minutes and supporting papers from National Working and Reference Group meetings	REVIEW – 3 years from date of meeting	Review for historical value	Business need	✔	DBF/ SLT	OFFICIAL
	SLT Meetings	Meeting Papers	Agendas, minutes and supporting papers from SLT meetings	PERMANENT	Archive	Historical value	✔	BOGM/ SLT	OFFICIAL / OFFICIAL – SENSITIVE
	Team Meetings	Meeting Papers	Agendas, minutes and supporting papers from team meetings	REVIEW – 3 years from date of meeting	Review for operational / historical value	Business need	✘	CHS Team Lead/ SLT Member	OFFICIAL

Registering Interests

	Registers of Interest	Registers of Interest	Register of Interest forms for the Chair, CHS Board, and SLT members	REVIEW – 10 years after leaving date	Review for historical value	Business need	✔	SLT/ BOGM	OFFICIAL
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Risk Management									
	Business Continuity Planning	Back Up	Documentation relating to the back up of systems and servers	PERMANENT	Retain for operational purposes	Business need	✓	DSDM/BOGM	OFFICIAL
		Business Continuity Plans	Business Continuity Plan and supporting documents	REVIEW – after 5 years	Review for historical value	Business need	✓	DBF	OFFICIAL-SENSITIVE
		Digital Disaster Recovery Plan	Digital Disaster Recovery Plan	REVIEW – after 5 years	Review for operational value	Business need	✓	DBF	OFFICIAL-SENSITIVE
	Risk Register	Risk Assessments	Documentation relating to the process of managing, recording and assessing risks	DESTROY - 5 years after superseded	Secure destruction	SI 1999/3242 1974 c. 37 SI 2005/1541 SI 1992/3004	✓	DBF	OFFICIAL / OFFICIAL-SENSITIVE
		Risk Registers	Consolidated listing and assessment of potential risks to CHS and its functions	REVIEW – 5 years after superseded	Review for operational/historical value	Business need	✓	DBF	OFFICIAL / OFFICIAL-SENSITIVE
Team Forum									
	Team Forum	Terms of Reference	Terms of Reference for the Team Forum	REVIEW – 3 years after superseded	Review for operational/historical value	Business need	✗	DBF	OFFICIAL
		Meeting/event Papers	Meeting notes, event details, presentations for Team Forum meetings & events	DESTROY – after 3 years	Secure destruction	Business need	✗	DBF	OFFICIAL

MONEY

ACTIVITIES & TRANSACTIONS	EXAMPLE RECORD TYPES	DESCRIPTION OF RECORDS	RETENTION PERIOD	DISPOSAL PROCEDURE	RATIONALE	VITAL STATUS	IAO	MARKING	
Budget									
	Accounts	Overtime Authorisations	Documentation relating to the authorisation of overtime payments	DESTROY – 6 years after the end of the financial year	Secure destruction	1970 c. 9 1973 c. 52 1984 c. 45 1994 c. 23 1998 c. 18	✗	FM	OFFICIAL
		Petty Cash	Documentation relating to the management of petty cash	DESTROY – 6 years after the end of the financial year	Secure destruction	VAT Notice 700/21	✓	FM	OFFICIAL
	Budget Monitoring	Budget Papers	Activities involved in the monitoring, review and revision of budgets	DESTROY – 6 years after the end of the financial year	Secure destruction	Business need	✓	FM	OFFICIAL
	Budget Setting	Draft Budget	Activities involved in planning the annual budget	DESTROY – 3 years after the end of the financial year	Secure destruction	Business need	✓	FM	OFFICIAL
Expenses									
	Expenses and Claims	Claims	Documentation relating to expenses claims, including travel	DESTROY – 6 years after the end of the financial year	Secure destruction	1970 c. 9 VAT Notice 700/21	✓	FM	OFFICIAL
		Enquiries	Enquiries relating to the management of expenses and claims	DESTROY – after 3 years	Recycle / delete	Business need	✗	FM	OFFICIAL
Facilities									
	Asset Management	Asset Register	Consolidated list of CHS assets	PERMANENT	Retain for operational purposes	Business need	✓	DSDM	OFFICIAL
	Building	Maintenance and decoration Files	Information relating to routine maintenance undertaken at CHS buildings, for example, cleaning	DESTROY – 5 years from completion of works	Secure destruction	Business need	✓	DBF	OFFICIAL

			and decorating (not including equipment) (below £50,000)						
			Information relating to maintenance undertaken at CHS buildings, for example, decorating (not including equipment) (above £50,000)	DESTROY – 20 years from completion of works	Secure Destruction	Business need	✓	DBF	OFFICIAL
		Office lease	lease agreement, correspondence	DESTROY – 20 years after expiry of lease	Secure destruction	1973 c. 52 s6, 7 and 8	✓	DBF	OFFICIAL
	Disposal	Disposal Notes	Disposal of waste and equipment notes	DESTROY – after 2 years	Secure destruction	SI 1991/2839 1974 c. 37	✓	BOGM	OFFICIAL
	Physical Security	Mail Logs	Records of mail/post sent from CHS	DESTROY – after 3 years	Secure destruction	Business need	✗	BOGM	OFFICIAL
	Systems Management	Design and Construction	Documentation relating to the design and construction of systems	REVIEW – 5 years after system no longer used	Secure destruction	Business need	✓	DSDM	OFFICIAL
		Specifications	Documentation relating to the identification of systems specifications	REVIEW – 3 years after system no longer used	Secure destruction	Business need	✓	DSDM	OFFICIAL
		Systems Maintenance	Documentation relating to the maintenance and support of software and systems	REVIEW – 3 years after system no longer used	Secure destruction	Business need	✗	DSDM	OFFICIAL
		Tests	Documentation relating to systems testing	DESTROY – current year plus one year	Secure destruction	Business need	✗	DSDM	OFFICIAL / OFFICIAL-SENSITIVE
		Ticket logs	Records of tickets raised with Leidos, XMA etc.	REVIEW – 1 year after ticket closure	Review for operational value	Business need	✗	DSDM	OFFICIAL / OFFICIAL-SENSITIVE
Procurement and Payables									
	Contracts	Contract Case Files	Documentation relating to the management of contracts	DESTROY – 5 years after the term of the contract has expired	Secure destruction	Business need	✓	DBF	OFFICIAL / OFFICIAL-SENSITIVE - Commercial

		Contract Register	Register of all contracts	PERMANENT	Retain for operational value	Business need	✓	DBF	OFFICIAL
		Licences	Documentation in relation to software licensing	DESTROY – 5 years after expiry/ termination of licence	Secure destruction	1973 c. 52 1984 c. 45	✓	DSDM	OFFICIAL
		Service Level Agreements	Service Level Agreements in relation to awarded contracts	DESTROY – 5 years after the term of the contract has expired	Secure destruction	Business need	✓	DBF	OFFICIAL / OFFICIAL-SENSITIVE – Commercial
		Tenders - Unsuccessful	Documentation relating to unsuccessful tenders, including quotations and rejection letters	DESTROY – 1 year after start of contract	Secure destruction	SI 1991/2680 SI 1993/3228 SI 1995/201 SI 2003/46	✓	DBF	OFFICIAL / OFFICIAL-SENSITIVE - Commercial
	Requisitioning	Invoices	Documentation relating to and including Invoices	DESTROY – 6 years after the end of the financial year	Secure destruction	1970 c. 9 VAT Notice 700/21	✗	FM	OFFICIAL
		Purchase Orders/ Requisitions	Internal documentation relating to requisitions, including authorisations from budget holders	DESTROY – 6 years after the end of the financial year	Secure destruction	VAT Notice 700/21	✓	FM	OFFICIAL
		Receipts	Documentation relating to and including receipts	DESTROY – 6 years after the end of the financial year	Secure destruction	VAT Notice 700/21	✗	FM	OFFICIAL

PEOPLE

ACTIVITIES & TRANSACTIONS	EXAMPLE RECORD TYPES	DESCRIPTION OF RECORDS	RETENTION PERIOD	DISPOSAL PROCEDURE	RATIONALE	VITAL STATUS	IAO	MARKING
Equal Opportunities								
Equalities	Employee Statistics	Records relating to equality statistics	REVIEW – after 3 years	Review for operational value	2010 c. 15	✓	PCM	OFFICIAL
	Mainstreaming Reports	Documentation relating to mainstreaming reports	REVIEW – after 3 years	Review for historical value	2010 c. 15	✓	PCM	OFFICIAL
	Equality Impact Assessments	Documentation relating to the production of Equality Impact Assessments	REVIEW – after 3 years	Review for historical value	2010 c. 15	✓	PCM	OFFICIAL
	Islands Impact Assessments	Documentation relating to the production of Islands Impact Assessments	REVIEW – after 3 years	Review for historical value	2010 c. 15	✓	PSM/ PPTM	OFFICIAL
	Children’s Rights Impact Assessments	Documentation relating to the production of Children’s Rights Impact Assessments	REVIEW – after 3 years	Review for historical value	2010 c. 15	✓	PC	OFFICIAL
Health and Safety								
Accidents and Incidents	Accident Books	Accident books detailing summary information of accidents and incidents	DESTROY – 5 years from date of last entry	Secure destruction	SI 1979/628 SI 1987/1968 SI 1992/3004 SI 1993/2113	✓	PCM	OFFICIAL
	Accident and Incident Reporting	Reports of accidents and incidents, for staff, volunteers and visitors (adults)	DESTROY – 3 years from date of accident	Secure destruction	SI 2013/1471 1973 c. 52 1984 c. 45	✓	PCM	OFFICIAL
		Reports of accidents and incidents, for staff, volunteers and visitors (children)	DESTROY – 25 years from date of birth of subject of accident	Secure destruction	SI 1979/628 SI 1987/1968 1992 c. 5 SI 1993/2113	✓	PCM	OFFICIAL

		Investigations	Activities relating to internal or external investigations into accidents	DESTROY – 7 years from date of accident <u>or</u> DESTROY – 40 years from date of accident if relating to asbestos	Secure destruction	1974 c. 37	✓	PCM	OFFICIAL
Audit, Inspection and Maintenance		Assessments	Documentation relating to assessments carried out in correspondence with health and safety regulations (including records of consultations with safety representatives and committees)	PERMANENT	Retain for operational value	Business need	✓	PCM	OFFICIAL
		Audits	Reports provided from audits carried out by independent health and safety auditors	DESTROY – 7 years after audit	Secure destruction	2010 c. 15	✓	PCM	OFFICIAL
		Equipment Inspections	Process of inspecting equipment to ensure it is safe	DESTROY – 1 year after equipment is re-inspected	Secure destruction	1973 c. 52 1984 c. 45	✓	PCM	OFFICIAL
		Equipment Maintenance	Process of maintaining equipment to ensure it is safe	DESTROY – 5 years after equipment is decommissioned <u>or</u> DESTROY – 20 years after equipment is decommissioned if there is a history of accidents concerning the equipment	Secure destruction	1973 c. 52 1984 c. 45 1974 c. 37	✓	PCM	OFFICIAL
		Fire Marshals	Records of named fire marshals and training completed	DESTROY – 10 years from end of current year	Secure destruction	SI 2006/456	✓	PCM	OFFICIAL
	Fire Safety								

Learning and Development									
	Inductions	Induction Packs	Induction Packs for new starters	DESTROY – 2 years after superseded	Recycle / delete and sample for operational / historical value	Business need	✘	NTL	OFFICIAL
	Local and National Training	Training Programmes (split by category)	Details of local and national training programmes, including core and mandatory training	PERMANENT	Retain for operational / historical value	Business need	✔	NTL	OFFICIAL
		Training Records – CHS volunteers	Individual tribunal and AST member training records, including attendance records, awards and certificates from local and national training events	DESTROY – 10 years from completion of training	Secure destruction	Business need	✔	NTL	OFFICIAL
	Personal Development Programmes	Personal Development Plans	Details of individual learning plans for CHS National team staff	DESTROY – 6 years from leaving date	Secure destruction	Business need	✘	CHS Team Lead/ SLT Member	OFFICIAL
		Training Records – CHS National team and Board members	Individual staff and Board member training records, including attendance records and awards and certificates	DESTROY – 6 years from leaving date	Secure destruction	Business need	✘	CHS Team Lead/ SLT Member	OFFICIAL
		Learning & Development programmes	Documentation relating to Learning & Development activities for the National Team, including session outlines	REVIEW – after 3 years	Review for operational value	Business need	✘	PCM	OFFICIAL
	Work Experience Programmes	Programme Documentation	Documentation relating to work experience, training secondments, placements	REVIEW – after 6 years	Review for operational value	Business need	✘	NTL	OFFICIAL
Managing People									
	Absence and Leave	Leave Records	Documentation relating to the recording and management of annual, flexi, special (including parental), floating, statutory or public leave	DESTROY – 2 years after current calendar year	Secure destruction	Business need	✘	PCM	OFFICIAL

	Sickness	Documentation relating to the recording and management of sick leave	DESTROY – 6 years from leaving date	Secure destruction	1988 c. 28	✓	PCM	OFFICIAL / OFFICIAL-SENSITIVE - Personal
	Working Hours	Records relating to hours worked (including flexi and overtime sheets)	DESTROY – after 3 years	Secure destruction	SI 1998/1833	✗	PCM	OFFICIAL
	Flexible working	Application forms for employees to apply for flexible working arrangements	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	PCM	OFFICIAL/ OFFICIAL-SENSITIVE- Personal
Activity Tracking	Tracker	Tracker for managing central HR activities	REVIEW – ongoing	Review for operational value	Business need	✓	PCM	OFFICIAL/ OFFICIAL-SENSITIVE- Personal
Conduct	Investigations	Documentation relating to investigations into staff and volunteer conduct	DESTROY – 6 years from leaving date or DESTROY – 25 years after leaving date if involving children or vulnerable people	Secure destruction	Business need	✓	PCM/ SLT	OFFICIAL-SENSITIVE - Personal
	Removals	Records relating to the recommendation to remove a tribunal or AST member, including case studies and correspondence with the Lord President	DESTROY – 6 years from leaving date or DESTROY – 25 years after leaving date if involving children or vulnerable people	Secure destruction	Business need	✓	CEO	OFFICIAL-SENSITIVE - Personal
Grievance	Grievances	Records documenting grievances raised by staff, including CHS’ response, action taken and the outcome	DESTROY – 6 years after date of leaving	Secure destruction	Business need	✓	PCM	OFFICIAL-SENSITIVE - Personal
Occupational Health	Display Screen Equipment Assessments	Completed DSE desk assessments	DESTROY – date superseded plus one year	Secure destruction	1973 c. 52 1984 c. 45	✗	PCM	OFFICIAL

		Asset Request Forms	Forms completed by staff to request new assets e.g. display screen, office chair	DESTROY – 6 years from leaving date	Secure destruction	Business need	✗	PCM	OFFICIAL
		Health and Safety Inductions	Details of Health and Safety Inductions	DESTROY – 6 years from leaving date	Secure destruction	1973 c. 52 1984 c. 45	✓	PCM	OFFICIAL
		Medical Examination Certificates	Certificates to be retained in line with the Control of Asbestos at Work Regulations	DESTROY – 4 years from date of issue	Secure destruction	SI 2002/ 2675 SI 2006/2739 SI 2012/632	✓	PCM	OFFICIAL-SENSITIVE Personal
		Occupational Health Files	Documentation relating to occupational health records, including assessments, referrals and reports	DESTROY – 40 years after last appointment or DESTROY – 75 years from DOB (Whichever is longest)	Secure destruction	SI 1999/437 SI 2002/2677 SI 2002/ 2675 SI 2006/2739 SI 2012/632	✓	PCM	OFFICIAL-SENSITIVE - Personal
	Payment of Employees	HMRC Approvals	Records of Inland revenue/HMRC approvals	PERMANENT	Retain for operational value	Business need	✓	FM	OFFICIAL
		Maternity / Paternity Pay	Records relating to entitlements and calculations of Statutory Maternity and Paternity pay	DESTROY – 3 years after the end of the financial year	Secure destruction	SI 1986/1960	✓	FM	OFFICIAL
		Pay Awards	Details of pay awards, including letters to inform employees	DESTROY – 6 years after the end of the financial year	Secure destruction	1970 c. 9 1973 c. 52 1984 c. 45 SI 1999/584	✓	FM/PCM	OFFICIAL
		Payroll Records	Records of staff payroll	DESTROY – 6 years after the end of the financial year	Secure destruction	1970 c. 9 1973 c. 52 1984 c. 45 SI 1993/744 SI 1999/584	✓	FM	OFFICIAL-SENSITIVE - Personal

	Pensions Administration	Actuarial Valuation Reports	Records of actuarial valuation reports	PERMANENT	Retain for operational purposes	Business need	✓	FM	OFFICIAL
		Agreements	Documentation relating to pensions agreements	DESTROY – 12 years after the last pension payment	Secure destruction	Business need	✓	FM	OFFICIAL
		Contributions	Records of pensions contributions	DESTROY – 12 years after the last pension payment	Secure destruction	Business need	✓	FM	OFFICIAL
		Schemes	Details of pensions schemes to which staff belong	DESTROY – 12 years after the last pension payment	Secure destruction	Business need	✓	FM	OFFICIAL
	Reappointment	Reappointments	Details of reappointments of tribunal and AST members	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	RRM	OFFICIAL
		Recommendations	Recommendations made to the National Convener for reappointment including the recommendation selection interview form	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	RRM	OFFICIAL
	Resignation	Exit Interviews	Details of exit interviews held with leaving staff or volunteers	DESTROY – 6 years from leaving date	Secure destruction	Business need	✗	PCM/ RRM	OFFICIAL
		Resignations	Documentation relating to resignations handed in by staff or volunteers	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	PCM/ RRM	OFFICIAL
	Support and Supervision	Appraisals	Documentation relating to the monitoring and assessment of performance, including probationary reviews and appraisals	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	CHS Team Lead/ SLT Member	OFFICIAL
		Observations	Documentation relating to the monitoring of tribunal members	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	QM	OFFICIAL
Recruitment									
	Advertising	Advertisements	Advertisements for a vacant position/role	RETAIN – on successful	Recycle / delete	Business need	✗	PCM	OFFICIAL

				candidate's file, DESTROY - 6 years from leaving date <u>and</u> RETAIN - copy on role's file, to be superseded by revised versions					
		Campaigns	Documentation relating to recruitment campaigns for tribunal and AST members	REVIEW – after 3 years	Review for historical value	Business need	✓	RRM	OFFICIAL
		Job Descriptions	Job descriptions for CHS staff posts	RETAIN – on successful candidate's file, DESTROY - 6 years from leaving date <u>and</u> RETAIN - copy on role's file, to be superseded by revised versions	Recycle / delete	Business need	✓	PCM	OFFICIAL
		Person Specifications	Person specifications for CHS staff posts	RETAIN – on successful candidate's file, DESTROY - 6 years from leaving date <u>and</u> RETAIN - copy on role's file, to be superseded by revised versions	Recycle / delete	Business need	✗	PCM	OFFICIAL
	Applications	Application Forms – Successful Candidates (CHS staff)	Applications for a vacant position as a member of CHS staff – successful candidates	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	PCM	OFFICIAL
		Application Forms – Successful Candidates	Applications for a vacant role as a volunteer – successful candidates	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	RRM	OFFICIAL

		(CHS volunteers)							
		Application Forms – Unsuccessful Candidates (CHS staff)	Applications for a vacant position as a member of CHS staff – unsuccessful candidates	DESTROY – 6 months after recruitment finalised	Secure destruction	2010 c. 15	✓	PCM	OFFICIAL
		Application Forms – Unsuccessful Candidates (CHS volunteers)	Applications for a vacant role as a volunteer – unsuccessful candidates	DESTROY – 6 months after campaign ends	Secure destruction	2010 c. 15	✓	RRM	OFFICIAL
		Feedback	Written feedback provided to candidates	DESTROY – 6 months after recruitment finalised	Secure destruction	2010 c. 15	✗	PCM	OFFICIAL
		References	References provided in support of an individual’s application	DESTROY – 6 months after recruitment finalised if candidate is unsuccessful or DESTROY – 6 years after close of applications if candidate is successful	Secure destruction	2010 c. 15	✗	PCM	OFFICIAL
	Authorisation & Appointment	Appointments	Details of appointments of tribunal and AST members	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	RRM	OFFICIAL
		Authorisations & Approvals of Post	Authorisations to appoint and advertise a vacancy at CHS	DESTROY – after 5 years	Secure destruction	Business need	✗	PCM	OFFICIAL
		Business Cases	Business Cases and financial papers relating to the recruitment of a post at CHS	DESTROY – after 5 years	Secure destruction	Business need	✓	SLT	OFFICIAL

		Contract	Details of contracts for CHS staff members, including terms and conditions	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	PCM	OFFICIAL
		Disclosure Certificates	Copies of completed Disclosure/PVG certificates	DESTROY – 90 days after receipt of statement from disclosure Scotland	Secure destruction	1997 c. 50 part V	✓	RRM/ PCM	OFFICIAL- SENSITIVE - Personal
		Disclosure Summaries	Summary of disclosures/PVGs undertaken	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	PPTM/ PCM	OFFICIAL
	Expressions of Interest	Expressions of Interest (CHS staff vacancies)	Details of expressions of interest in a vacant role at CHS	DESTROY – 6 months after recruitment finalised	Secure destruction	Business need	✗	PCM	OFFICIAL
		Expressions of Interest (CHS volunteer vacancies)	Details of expressions of interest received during or leading up to a recruitment campaign for an area that is recruiting	DESTROY – 6 months after campaign ends <u>unless</u> individual has requested retention of details for the next campaign in which case the data will be retained for 18 months	Secure destruction	Business need	✗	RRM	OFFICIAL
			Details of expressions of interest received during or leading up to a recruitment campaign for an area that is not recruiting	DESTROY – after 18 months	Secure destruction	Business need	✗	RRM	OFFICIAL
	Interviewing and Selection	Shortlisting	Shortlisting matrixes completed by job selection panel	DESTROY – 12 months after recruitment finalised	Secure destruction	Business need	✓	PCM	OFFICIAL
		Interview Notes & Scoring –	Notes and scoring from interviews of successful candidates for a CHS post	DESTROY – 12 months after	Secure destruction	Business need	✓	PCM	OFFICIAL

		Successful Candidates (CHS staff)		recruitment finalised					
		Interview Notes & Scoring – Successful Candidates (CHS volunteers)	Draft/supplementary notes and scoring from interviews of successful candidates for a volunteer role	DESTROY – 6 months after recruitment finalised	Secure destruction	Business need	✓	RRM	OFFICIAL
		Interview Notes & Scoring – Unsuccessful Candidates	Notes and scoring from interviews of unsuccessful candidates	DESTROY – 6 months after recruitment finalised	Secure destruction	2010 c. 15	✓	RRM/ PCM	OFFICIAL
		Invites to Interview	Details of invites to interview	DESTROY – 6 months after recruitment finalised	Secure destruction	2010 c. 15	✗	RRM/ PCM	OFFICIAL
		Psychometric Testing	Records relating to psychometric testing carried out as part of staff recruitment	DESTROY – 6 years from leaving date if successful 6 months after recruitment finalised if unsuccessful	Secure destruction	Business need	✗	PCM	OFFICIAL- SENSITIVE Personal
	Recommendations for Appointment	Recommendations	Recommendations made to the National Convener for appointment, including the recommendation selection interview form	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	RRM	OFFICIAL
	Secondments	Secondments	Details of secondments from SG, SCRA etc.	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	PCM	OFFICIAL
	Lived Experienced Recruiters (LERs)	LERs	LER recruitment records, including information pack, guidance etc.	REVIEW – every year	Review for operational value	Business need	✗	PC	OFFICIAL
			LER quotes	REVIEW – after 3 years	Review for historical value	Business need	✗	PC	OFFICIAL

Rota Management

	Hearings Rotas	Availability	Documentation relating to the availability of tribunal members to attend hearings	DESTROY – 6 months after end of rota	Secure destruction	Business need	✘	RAM	OFFICIAL
		Cancellations	Documentation relating to panel cancellations by tribunal members	DESTROY – 6 months after end of rota	Secure destruction	Business need	✘	RAM	OFFICIAL
		Non Availability	Documentation relating to the non-availability of tribunal members to attend hearings	DESTROY – 6 months after end of rota	Secure destruction	Business need	✘	RAM	OFFICIAL
		Rotas	Rotas produced for children’s hearings	DESTROY – 6 months after creation	Secure destruction	Business need	✔	RAM	OFFICIAL
	Panel Practice Observations Rotas	Rotas	Rotas produced for panel practice observations	DESTROY – 3 years after creation	Secure destruction	Business need	✔	QM	OFFICIAL

PLANNING AND PERFORMANCE

ACTIVITIES & TRANSACTIONS	EXAMPLE RECORD TYPES	DESCRIPTION OF RECORDS	RETENTION PERIOD	DISPOSAL PROCEDURE	RATIONALE	VITAL STATUS	IAO	MARKING
Corporate Planning								
Business Plans	Business Plans	Business Plans for CHS	PERMANENT	Archive	Historical value	✓	CPRO	OFFICIAL
	Development	Documentation relating to the development of CHS Business Plans	REVIEW – after 3 years	Review for historical value	Business need	✓	CPRO	OFFICIAL
Business Process Mapping	Business Process Maps	Diagrams and papers relating to the breakdown, analysis and assessment of business processes and systems	PERMANENT	Retain for operational purposes	Business need	✓	CPRO	OFFICIAL
Corporate Plans	Corporate Plans	Corporate Plans for CHS	PERMANENT	Archive	Historical value	✓	CPRO/ SLT	OFFICIAL
	Development	Documentation relating to the development of CHS Corporate Plans	REVIEW – after 3 years	Review for historical value	Business need	✓	CPRO/ SLT	OFFICIAL
Organisational Structure	Corporate Information	Documentation relating to the background and development of the Children’s Hearings System	PERMANENT	Archive	Historical value	✗	SLT	OFFICIAL
	Mission Statements	Documentation relating to CHS’ missions, values, aims and objectives	PERMANENT	Archive	Historical value	✗	SLT	OFFICIAL
	Organisational Charts	Charts and diagrams detailing the organisation’s structure	PERMANENT	Archive	Historical value	✗	PCM	OFFICIAL
Strategic Plans	Strategies	Documentation relating to corporate strategies and CHS Strategic Plans	PERMANENT	Archive	Historical value	✓	SLT	OFFICIAL
Work Plans	Work Plans	Team and corporate work plans	REVIEW – after 3 years	Review for historical value	Business need	✗	CHS Team Lead/ SLT member	OFFICIAL

Measuring Performance and Reporting

	AST Reports	AST Annual Reports	Annual reports produced by ASTs	PERMANENT	Archive	Business need	✓	RTDM/ CPRO	OFFICIAL
	CHS Annual Reports	Annual Reports & Accounts	Annual summary of reports and financial statements	PERMANENT	Archive	Business need	✓	CPRO	OFFICIAL
		CHS Impact Reports	Annual Impact Reports	PERMANENT	Archive	Historical value	✓	CPRO	OFFICIAL
	CHS Quarterly Reports	Quarterly Reports & Statistics	Including Quarterly Performance Summary Reports	PERMANENT	Archive	Historical value	✓	CPRO	OFFICIAL
	Performance Measurement	Benchmarking	Documentation relating to benchmarking	REVIEW – after 3 years	Review for historical value	Business need	✗	CPRO	OFFICIAL
		Key Performance Indicators	Documentation relating to Key Performance Indicators	REVIEW – after 3 years	Review for historical value	Business need	✗	CPRO	OFFICIAL
		Quality Assurance & Improvement	Documentation relating to quality assurance & improvement	REVIEW – after 3 years	Review for historical value	Business need	✗	QM	OFFICIAL
		Data Analysis & Reporting	Analysis & reporting of data for forecasting, planning, improvement & supporting business	REVIEW – after 3 years	Review for operational value	Business need	✓	DPA	OFFICIAL
		Power BI Reports	Reports of data taken from CSAS	DESTROY – 6 years from leaving date (automatic via CSAS)	Secure destruction	2010 c. 15	✗	DPA	OFFICIAL – SENSITIVE - Personal
	Statutory Reports	Public Services Reform Act Statements	Statements published in compliance with the Public Services Reform (Scotland) Act 2010	DESTROY – 6 years after end of financial year	Secure destruction	Business need	✓	FM	OFFICIAL
		Biodiversity Reports	Reports published in compliance with the Wildlife and Natural Environment (Scotland) Act 2011	PERMANENT	Retain for operational purposes	Business need	✓	CPRO	OFFICIAL
	Published Reports	Published reports	Reports published periodically including Children’s Rights & Inclusion Reports, and Learning Academy reports	PERMANENT	Archive	Historical value	✓	Author	OFFICIAL

Project Management

	Project Planning and Management	Project Files	Including Business Cases, Case Studies, Consultations, End of Stage Reports, Evaluations, Highlight Reports, Exception Reports, Project Initiations, Project Management Plans, Quality Control, Reports, Specifications & Plans	REVIEW – 3 years after project completion or closure	Review for historical value	Business need	✓	PMOM	OFFICIAL
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POLICY, PRACTICE AND RESEARCH

ACTIVITIES & TRANSACTIONS	EXAMPLE RECORD TYPES	DESCRIPTION OF RECORDS	RETENTION PERIOD	DISPOSAL PROCEDURE	RATIONALE	VITAL STATUS	IAO	MARKING
AST and Tribunal Member Policy and Practice								
Guidance and Manuals	Approved/Final Guidance and Manuals	General guidance provided to tribunal and AST members	REVIEW – in line with timescale identified in each policy	Review for historical value	Business need	✓	PSM/PPTM	OFFICIAL
	Draft Guidance and Manuals	Documentation relating to the drafting, implementation and development of guidance	REVIEW – after 3 years	Review for historical value	Business need	✗	PSM/PPTM	OFFICIAL
	Expired Guidance and Manuals	Expired guidance and manuals	REVIEW – after 3 years	Review for historical value	Business need	✗	PSM/PPTM	OFFICIAL
National Convener Powers	Advice to Hearings	Case files relating to requests and responses to advice for hearings	DESTROY – 6 years from closure	Secure destruction	2011 asp 1	✓	PSM/PPTM	OFFICIAL-SENSITIVE-Personal
	Breach of Implementation Authority Duties	Documentation relating to the Breach of Implementation Authority Duties	DESTROY – 6 years from closure	Secure destruction	2011 asp 1	✓	PSM/PPTM	OFFICIAL-SENSITIVE-Personal
		Reports on the implementation of compulsory supervision orders in Scotland as a whole and in each local authority (feedback loop)	PERMANENT	Archive	Historical value	✓	PSM/PPTM	OFFICIAL
	Case Information	Child case information provided to CHS by SCRA in order to enable the National Convener to meet their statutory functions under sections 8, 127, 146 and 147 of the 2011 Act	DESTROY – once process is complete	Secure destruction	2011 asp 1	✓	PSM/PPTM	OFFICIAL-SENSITIVE-Personal
	Independent Reports	Contact details of report writers	DESTROY – 6 months from leaving date	Secure destruction	Business need	✓	PSM/PPTM	OFFICIAL-SENSITIVE-Personal

			Independent Reports	DESTROY – upon closure <i>(subject to review)</i>	Secure destruction	Business need	✓	PSM/ PPTM	OFFICIAL- SENSITIVE- Personal	
			Report request log	DESTROY – 6 years from request closure	Secure destruction	Business need	✓	PSM/ PPTM	OFFICIAL- SENSITIVE- Personal	
			Correspondence relating to NC function	DESTROY - 2 years from closure OR subsequent reappointment period	Secure destruction	Business need	✓	PSM/ PPTM	OFFICIAL- SENSITIVE- Personal	
			Named Implementation Authorities	Documentation relating to Named Implementation Authorities	DESTROY – 6 years from closure	Secure destruction	2011 asp 1	✓	PSM/ PPTM	OFFICIAL- SENSITIVE- Personal
			Tribunal Member Continuity	Documentation relating to requests and responses to tribunal member continuity	DESTROY – 6 years from closure	Secure destruction	2011 asp 1	✓	PSM/ PPTM	OFFICIAL- SENSITIVE- Personal
	Policies and Procedures	Approved/Final Policies and Procedures	Approved and final policies and procedures	REVIEW – in line with timescale identified in each policy	Review for historical value	Business need	✓	CHS Team Lead/ SLT Member	OFFICIAL	
		Draft Policies and Procedures	Documentation relating to the drafting, implementation and development of policies and procedures	REVIEW – after 3 years	Review for historical value	Business need	✗	CHS Team Lead/ SLT Member	OFFICIAL	
		Expired Policies and Procedures	Expired policies and procedures	REVIEW – after 3 years	Review for historical value	Business need	✗	CHS Team Lead/ SLT Member	OFFICIAL	
		National Standards	Documentation relating to and including the National Standards	PERMANENT	Archive	Historical value	✓	SLT	OFFICIAL	
	Hearing records	Tribunal member notes	Any notes taken by tribunal members at or in preparation for a hearing	DESTROY – immediately after the hearing	Secure destruction	2011 asp 1	✗	Author	OFFICIAL – SENSITIVE - Personal	

CHS Policy and Procedure									
	Guidance and Manuals	Guidance	General guidance provided to employees	DESTROY – once superseded	Secure destruction	Business need	✘	SLT/ HRODL	OFFICIAL
	Policies and Procedures	Approved/ Final Policies and Procedures	Approved and final policies and procedures	REVIEW – in line with timescale identified in each policy/procedure	Review for historical value	Business need	✔	SLT/ Author	OFFICIAL
		Draft Policies and Procedures	Documentation relating to the drafting, implementation and development of policies and procedures	REVIEW – after 3 years	Review for historical value	Business need	✘	SLT/ Author	OFFICIAL
		Expired Policies and Procedures	Expired policies and procedures	REVIEW – after 3 years	Review for historical value	Business need	✘	SLT/ Author	OFFICIAL
		Policy and Procedure Trackers	Documentation tracking the review and management of policies and procedures	REVIEW – Ongoing	Review for operational value	Business need	✘	SLT/ Author	OFFICIAL
Research and Development									
	Consultations	Internal Consultations	Internal consultations carried out by CHS, including those relating to Advice to Hearings and Hearings Management	PERMANENT	Archive	Historical value	✘	CHS Team Lead	OFFICIAL
		Partner Consultations	Papers provided in response to partner consultations	REVIEW – after 3 years	Review for historical value	Business need	✘	CHS Team Lead	OFFICIAL
		Public Consultations	Public consultations carried out by CHS	PERMANENT	Archive	Historical value	✘	CHS Team Lead	OFFICIAL
	Information Gathering	Research	Formal research undertaken by CHS	REVIEW – after 3 years	Review for historical value	Business need	✔	PSM/ PPTM	OFFICIAL / OFFICIAL-SENSITIVE
		Research Requests	External requests to undertake research (includes research project tracker)	DESTROY – 12 months after feedback received OR after 3 years if no feedback received	Secure destruction	Business need	✘	DPA	OFFICIAL / OFFICIAL-SENSITIVE

			Research feedback	REVIEW – after 3 years (should be anonymised after 12 months)	Review for operational value	Business need	✘	DPA	OFFICIAL
	Practice & Policy Bank	Practice & Policy Bank Members	List of members of the Practice & Policy Bank	REVIEW - ongoing	Review for operational value	Business need	✘	PSM/PPTM	OFFICIAL
	Published Research	Publications	Publications relating to research undertaken by CHS and partners	PERMANENT	Archive	Historical value	✘	SLT	OFFICIAL
	Survey Management	Survey Analysis	Final analysis and reporting on survey results	PERMANENT	Archive	Historical value	✘	PSM/PPTM	OFFICIAL
		Survey Development	Development and roll-out of surveys	REVIEW – after 3 years	Review for historical value	Business need	✘	PSM/PPTM	OFFICIAL
		Survey Responses	Individual responses to surveys (<u>not</u> containing personal data)	DESTROY – 12 months from completion of final report/analysis	Secure destruction	Business need	✘	PSM/PPTM	OFFICIAL
			Individual responses to surveys (containing personal data)	DESTROY – immediately once anonymised versions have been created	Secure destruction	2018 c.12	✘	PSM/PPTM	OFFICIAL – SENSITIVE - Personal