

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, panel and 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 special categories of 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.
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 special categories of 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. The rights of Data Subjects under the General Data Protection Regulation may influence the duration of storage of individual documents. Please contact a member of the Information Governance team if this occurs.

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.

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:

- **General Data Protection Regulation**
- **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
- **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

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- **1973 c. 52** - Prescription and Limitation (Scotland) Act 1973
- **1970 c. 9** - Taxes Management Act 1970

Document Control

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Author	Ava Wieclawska, March 2015
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Status Control

Version	Date	Status	Author	Amendments to policy
1.0	18 June 2013	Final	Ava Wieclawska	N/A
1.1	27 February 2014	Draft	Ava Wieclawska	New markings to reflect changes in the Government Security Classifications Policy to be introduced on 02 April 2014.
1.2	16 April 2014	Draft	Ava Wieclawska	Minor retention policy changes.
1.3	30 May 2014	Draft	Ava Wieclawska	Minor retention policy changes.
1.4	03 June 2014	Draft	Ava Wieclawska	Changes to retention policies following comments from DoPAS, ITM, P&PO and EA comments. Review period extended from 6 months to 2 years.
2.0	26 August 2014	Final	Ava Wieclawska	Final schedule approved by SMT.
2.1	23 March 2015	Draft	Ava Wieclawska	Review of retention policies in line with SCARRS and CIPD guidance
2.2	27 March 2015	Draft	Ava Wieclawska	Amendments to policy following review by SCRA
3.0	31 March 2015	Final	Ava Wieclawska	Final schedule approved by SMT.
3.1	07 April 2016	Draft	Callum Morrison	Amendments made to recruitment retention periods
4.1	13/07/2016	Draft	Callum Morrison	Updates made to IAO titles, retention periods reviewed in line with SCARRS v2.2, addition of categories for 'Community Concerns' and panel member notes
4.2	12/12/2016	Draft	Callum Morrison	Minor changes to language and addition of concerns over fitness to practice retention period
5.2	13/04/2018	Draft	Katie Crone Barber	Amendments to ensure GDPR compliance and recognise organisational changes

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CHS Policy and Procedure

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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	✓	DA	OFFICIAL
			Contact details for applicants	DESTROY – 6 months after end of recruitment cycle*	Secure destruction	Business need	✓	DA	OFFICIAL
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 closure	Secure destruction	Business need	✗	GL/SA	OFFICIAL
Events									

	AST Events	Events Files	Documentation relating to events held by ASTs	REVIEW – at receipt of documentation	Review for historical value	Business need	✘	DCE	OFFICIAL
	CHS Events	Events Files	Documentation relating to national events held by CHS	REVIEW – after 3 years	Review for historical value	Business need	✘	GL	OFFICIAL
	Panel Member Recognition Events	Events Files	Documentation relating to panel member recognition events	REVIEW – after 3 years	Review for historical value	Business need	✘	GL	OFFICIAL
	Partner Events	Events Files	Documentation relating to events held by CHS’ partners – including panel and AST member, CHS National team and Board member contributions to such events	REVIEW – after 3 years	Review for historical value	Business need	✘	GL	OFFICIAL

Images

	CHS Images	Photographs	Photographs of CHS staff and Board members	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
	Panel and AST Images	Photographs	Photographs of panel 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	Transfer to NRS	Historical value	✘	CEL	OFFICIAL
		Updates	Updates sent to the CHS community	PERMANENT	Transfer to NRS	Historical value	✘	CEL	OFFICIAL
	Case Studies	Case Files	Documentation relating to panel and AST case studies,	PERMANENT	Transfer to NRS	Historical value	✘	CEL	OFFICIAL

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			experiences, oral histories etc.						
Media	Enquiries	Documentation relating to media enquiries and correspondence	PERMANENT	Retain for operational / historical value	Business need	✗	CEL	OFFICIAL	
	Ministerial	Documentation relating to ministerial enquiries, correspondence and letters	PERMANENT	Retain for operational / historical value	Business need	✗	CEL	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	DESTROY – after 28 days	Recycle / delete	Agency terms	✗	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	Transfer to NRS	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									
CHIRP	Draft content	Draft content to be uploaded to CHIRP	DESTROY – once uploaded	Recycle/delete	Business need	✗	AUTHOR	OFFICIAL	
	Live content	Content uploaded to CHIRP	REVIEW – ongoing	Review for operational / historical value	Business need	✓	CEL	OFFICIAL	
Groups	Meetings (split by group name)	Agendas, papers and minutes from (internal and external) meetings with partners and groups, including CHIP	REVIEW – 3 years from date of meeting	Review for historical value	Business need	✓	CHS GROUP LEAD	OFFICIAL	
Websites	Draft content	Draft content to be uploaded to CHS websites	DESTROY – once uploaded	Recycle/delete	Business need	✗	AUTHOR	OFFICIAL	

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		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 – ongoing	Review for operational / historical value	Business need	✗	CEL	OFFICIAL
	Briefing Sheets	Briefing Sheets	Information briefing sheets produced by CHS	REVIEW – ongoing	Review for operational / historical value	Business need	✗	CEL	OFFICIAL
	Leaflets	Leaflets	Leaflets produced for the Children’s Hearings System	REVIEW – ongoing	Review for operational / historical value	Business need	✗	CEL	OFFICIAL
	Newsletters and Magazines	Magazines	Magazines published and circulated by CHS	REVIEW – ongoing	Review for operational / historical value	Business need	✗	CEL	OFFICIAL
		Newsletters	Newsletters produced in relation to the Children’s Hearings System	REVIEW – ongoing	Review for operational / historical value	Business need	✗	CEL	OFFICIAL
	Published Research	Publications	Publications relating to research undertaken by CHS and partners	PERMANENT	Transfer to NRS	Historical value	✗	SMT	OFFICIAL

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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	✘	FD	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	✔	IGL	OFFICIAL
		Data Processing Contracts	Documentation relating to the development and approval of data processing contracts	DESTROY – 10 years after the contract has expired	Secure destruction	1973 c. 52 1984 c. 45	✔	IGL	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	✔	IGL	OFFICIAL
		Memorandum of Understanding	Initial agreements set up with external agencies and partners	DESTROY – 10 years after the terms of the agreement have expired	Secure destruction	1973 c. 52 1984 c. 45	✔	DCE	OFFICIAL / OFFICIAL- SENSITIVE - Commercial
		Partnership Agreements	Documentation relating to local authority partnership agreements	PERMANENT	Transfer to NRS	Historical value	✔	DCE	OFFICIAL
			Documentation relating to internal partnership agreements	PERMANENT	Transfer to NRS	Historical value	✔	DCE	OFFICIAL
		Service Level Agreements	Including stakeholder agreements	DESTROY – 5 years after the terms of the agreement have expired	Secure destruction	1973 c. 52 1984 c. 45	✔	DCE	OFFICIAL / OFFICIAL- SENSITIVE - Commercial
	Grant in Aid	Applications & Bids	Activities relating to applications for grant funding	DESTROY – 10 years after the grant has	Secure destruction	1973 c. 52 1984 c. 45	✘	FD	OFFICIAL

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			by external bodies	been audited or DESTROY – when administrative use is concluded if the bid was unsuccessful		1994 c. 23 1970 c. 9 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	✓	FD	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	✗	FD	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	✓	FD	OFFICIAL
	Internal Auditing	Internal Audit Investigations	Documents produced during the course of a routine audit, including recommendations and a final report	REVIEW – after 3 years	Review for historical value	Business need	✗	FD	OFFICIAL
		Internal Audit Management	Documentation relating to the provision and management of an internal audit service	DESTROY – 5 years after the terms of the service have expired	Secure destruction	1973 c. 52 1984 c. 45	✓	FD	OFFICIAL

Complaints, Concerns and Feedback

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	Comments and Feedback	Feedback	Comments and feedback received by CHS, either positive or negative	DESTROY –5 years from closure	Secure destruction	Business need	✘	FD	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	✘	IGL	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	✘	IGL	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	✘	IGL	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	✘	IGL	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	✘	IGL	OFFICIAL
	Panel member fitness to practice concerns	Record of fitness to practice concern	Information provided to CHS by a third party with concerns over the fitness of a panel member (e.g. due to allegations of criminal behaviour)	DESTROY –1 year after receipt of concern	Secure destruction	Business need	✘	IGL	OFFICIAL/ OFFICIAL- SENSITIVE - Personal
		Log of concerns received	A log detailing that a concern was received but not containing any details of the concern in question.	DESTROY – 10 years after receipt of concern***	Secure destruction	Business need	✘	IGL	OFFICIAL/ OFFICIAL- SENSITIVE - Personal
Information Governance									
	Data Protection	Enquiries	Records of data protection related enquiries (including external enquiries and enquiries	REVIEW – after 3 years	Review for operational value	Business need	✘	IGL	OFFICIAL

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			from the CHS community)						
		Notification	Process of notifying the Information Commissioner on data held	DESTROY – 3 years after expiry	Recycle / delete	GDPR	✓	IGL	OFFICIAL
		Privacy Compliance Checks	Assessments of compliance with privacy legislation	REVIEW – after 3 years	Review for historical value	Business need	✗	IGL	OFFICIAL
		Privacy Impact Assessments	Documentation relating to the assessment, identification and resolution of privacy concerns	RETAIN – for as long as project documentation is retained	Review for historical value	Business need	✗	IGL	OFFICIAL
		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	PERMANENT	Retain for operational value	Business need	✓	IGL	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	SSI 2004/520	✓	IGL	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	2002 asp 13	✓	IGL	OFFICIAL

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	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	GDPR	✓	IGL	OFFICIAL
	Summary Log	Summary information relating to the monitoring and recording of information requests	PERMANENT	Retain for operational value	Business need	✗	IGL	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	✗	IGL	OFFICIAL
	Publication Scheme	Detailing the routine publication of certain classes of information	DESTROY – 3 years after superseded	Recycle/delete	2002 asp 13	✓	IGL	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	✓	IGL	OFFICIAL
Information Security and Assurance	Anti-Virus	Documentation relating to anti-virus software on CHS systems	DESTROY – once superseded	Secure destruction	Business need	✓	DSL	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	✓	DSL	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>Case papers to be securely destroyed once an investigation is complete</i>	Review for historical value	Business need	✓	IGL	OFFICIAL / OFFICIAL-SENSITIVE- Personal

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		Incident Register	Index of all incidents and vulnerabilities	PERMANENT	Retain for operational value	Business need	✓	IGL	OFFICIAL
		Penetration Tests	Reports of penetration tests carried out by CHS and systems providers	DESTROY – after 5 years	Secure destruction	Business need	✓	ITL	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	✓	CEO	OFFICIAL
	Records Management	Business Classification Scheme	Detailing the functions, activities and transactions of CHS	PERMANENT	Transfer to NRS	Historical value	✗	IGL	OFFICIAL
		Disposals	Documentation relating to the disposal of records	DESTROY – 100 years from last action	Secure destruction	1973 c. 52 1984 c. 45	✗	IGL	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	✗	IGL	OFFICIAL
		Information Audit	Comprehensive audit carried out within CHS to examine recordkeeping systems, processes and strategies	PERMANENT	Retain for operational value	Business need	✗	IGL	OFFICIAL
		Retention and Disposal Schedules	Documentation detailing recommended retention periods for records	DESTROY – 20 years after superseded	Recycle/Delete	Business need	✓	IGL	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	✗	CSL	OFFICIAL
	Board Meetings	Meeting Papers	Agendas, minutes and supporting papers from Board meetings	PERMANENT	Transfer to NRS	Historical value	✓	GL	OFFICIAL

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	Committee Meetings	Meeting Papers	Agendas, minutes and supporting papers from Committee meetings, including the Audit and Risk Management Committee	PERMANENT	Transfer to NRS	Historical value	✓	GL	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	✓	DCE	OFFICIAL
	SMT Meetings	Meeting Papers	Agendas, minutes and supporting papers from SMT meetings	REVIEW – 3 years from date of meeting	Review for historical value	Business need	✓	GL	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	✗	GL	OFFICIAL

Risk Management

	Business Continuity Planning	Back Up	Documentation relating to the back up of systems and servers	PERMANENT	Retain for operational purposes	Business need	✓	DSL	OFFICIAL
		Business Continuity Plans	Business Continuity Plan and supporting documents	DESTROY 5 years after superseded	Secure destruction	Business need	✓	GL	OFFICIAL-SENSITIVE
	Risk Register	Risk Assessments	Documentation relating to the process of managing, recording and assessing risks	DESTROY - 5 years after superceded	Secure destruction	SI 1999/3242 1974 c. 37 SI 2005/1541 SI 1992/3004	✓	GL	OFFICIAL / OFFICIAL-SENSITIVE
		Risk Registers	Consolidated listing and assessment of potential risks to CHS and its functions	REVIEW – 5 years after superceded	Review for operational/ historical value	Business need	✓	GL	OFFICIAL / OFFICIAL-SENSITIVE

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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	✗	FD	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	✓	FD	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	✓	FD	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	✓	FD	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	VAT Notice 700/21	✓	FSA	OFFICIAL
		Enquiries	Enquiries relating to the management of expenses and claims	REVIEW – after 3 years	Review for operational value	Business need	✗	FSA	OFFICIAL
Facilities									
	Asset Management	Asset Register	Consolidated list of CHS assets	PERMANENT	Retain for operational purposes	Business need	✓	FSA	OFFICIAL

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	Building	Maintenance and decoration Files	Information relating to routine maintenance undertaken at CHS buildings, for example, cleaning and decorating (not including equipment) (below £50,000)	DESTROY – 5 years from completion of works	Secure destruction	1973 c. 52 s6, 7 and 8	✓	FSA	OFFICIAL
			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	1973 c. 52 s6, 7 and 8	✓	FSA	OFFICIAL
		Office lease	lease agreement, correspondence	DESTROY – 20 years after expiry of lease	Secure destruction	1973 c. 52 s6, 7 and 8	✓	FSA	OFFICIAL
	Disposal	Disposal Notes	Disposal of waste and equipment notes	DESTROY – after 2 years	Secure destruction	SI 1991/2839 1974 c. 37	✓	FSA	OFFICIAL
	Physical Security	Mail Logs	Records of mail/post sent from CHS	DESTROY – after 3 years	Secure destruction	Business need	✗	FSA	OFFICIAL
	Systems Management	Design and Construction	Documentation relating to the design and construction of systems	REVIEW – 3 years after system no longer used	Secure destruction	Business need	✓	DSL	OFFICIAL
		Specifications	Documentation relating to the identification of systems specifications	REVIEW – 3 years after system no longer used	Secure destruction	Business need	✓	DSL	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	✗	DSL	OFFICIAL
		Tests	Documentation relating to systems testing	DESTROY – after 5 years	Secure destruction	Business need	✗	DSL	OFFICIAL / OFFICIAL-SENSITIVE
Procurement and Payables									
	Contracts	Contract Case Files	Documentation relating to the management of contracts	DESTROY – 10 years after the term of the contract has expired	Secure destruction	1973 c. 52 1984 c. 45	✓	DCE	OFFICIAL / OFFICIAL-SENSITIVE - Commercial

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	Contract Register	Register of all contracts	PERMANENT**	Retain for operational value	Business need	✓	DCE	OFFICIAL
	Licences	Documentation in relation to software licensing	REVIEW – 3 years after system no longer used	Secure destruction	Business need	✓	DSL	OFFICIAL
	Service Level Agreements	Service Level Agreements in relation to awarded contracts	DESTROY – 10 years after the term of the contract has expired	Secure destruction	1973 c. 52 1984 c. 45	✓	DCE	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	✓	DCE	OFFICIAL / OFFICIAL-SENSITIVE - Commercial
Requisitioning	Invoices	Documentation relating to and including Invoices	DESTROY – 6 years after the end of the financial year	Secure destruction	VAT Notice 700/21	✗	FSA	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	✓	FSA	OFFICIAL
	Receipts	Documentation relating to and including receipts	DESTROY – 6 years after the end of the financial year	Secure destruction	VAT Notice 700/21	✗	FSA	OFFICIAL

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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	✓	NC	OFFICIAL
	Mainstreaming Reports	Documentation relating to mainstreaming reports	REVIEW – after 3 years	Review for historical value	2010 c. 15	✓	NC	OFFICIAL
	Equality Impact Assessments	Documentation relating to the production of Equality Impact Assessments	REVIEW – after 3 years	Review for historical value	2010 c. 15	✓	NC	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	✓	FSA	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	✓	DCE	OFFICIAL
		Reports of accidents and incidents, for staff, volunteers and visitors (children)	DESTROY – 25 years from date of birth	Secure destruction	SI 1979/628 SI 1987/1968 1992 c. 5 SI 1993/2113	✓	DCE	OFFICIAL
	Investigations	Activities relating to internal or external investigations into accidents	DESTROY – 7 years from date of accident or DESTROY – 40 years from date of accident if relating	Secure destruction	1974 c. 37	✓	DCE	OFFICIAL

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				to asbestos					
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	✓	DCE	OFFICIAL	
	Audits	Reports provided from audits carried out by independent health and safety auditors	DESTROY – 7 years after audit	Secure destruction	2010 c. 15	✓	DCE	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	✓	DCE	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	✓	DCE	OFFICIAL	
Fire Safety	Fire Marshals	Records of named fire marshals and training completed	DESTROY – 10 years from end of current year	Secure destruction	SI 2006/456	✓	DCE	OFFICIAL	
Learning and Development									
	Inductions	Induction Packs	Induction Packs for new starters	DESTROY – 2 years after completion	Recycle / delete	Business need	✗	NTL	OFFICIAL

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	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 panel and AST member training records, including attendance records, awards and certificates from local and national training events	DESTROY – 25 years from leaving date	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	✗	SMT	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	✗	SMT	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	✗	HR/ODL	OFFICIAL
		Sickness	Documentation relating to the recording and management of sick leave	DESTROY – 6 years from leaving date	Secure destruction	1988 c. 28	✓	HR/ODL	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	✗	SMT	OFFICIAL
	Conduct	Investigations	Documentation relating to investigations into staff and	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	HR/ODL/ SMT	OFFICIAL-SENSITIVE -

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		volunteer conduct	or DESTROY – 25 years after leaving date if involving children or vulnerable people					Personal
	Removals	Records relating to the recommendation to remove a panel 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	✓	NC	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	✓	HR/ODL	OFFICIAL- SENSITIVE - Personal
Occupational Health	Display Screen Equipment Assessments	Completed DSE desk assessments	DESTROY – date superseded plus one yeat	Secure destruction	1973 c. 52 1984 c. 45	✗	FSA	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	✓	FSA	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	✓	HR/ODL	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	✓	HR/ODL	OFFICIAL- SENSITIVE - Personal

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Payment of Employees	HMRC Approvals	Records of Inland revenue/HMRC approvals	PERMANENT	Retain for operational value	Business need	✓	FD	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	✓	FD	OFFICIAL
	Pay Awards	Details of pay awards	DESTROY – 6 years after the end of the financial year	Secure destruction	1970 c. 9 1973 c. 52 1984 c. 45	✓	FD	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	✓	FD	OFFICIAL-SENSITIVE - Personal
Pensions Administration	Actuarial Valuation Reports	Records of actuarial valuation reports	PERMANENT	Retain for operational purposes	Business need	✓	HR/ODL	OFFICIAL
	Agreements	Documentation relating to pensions agreements	DESTROY – 12 years after the last pension payment	Secure destruction	Business need	✓	HR/ODL	OFFICIAL
	Contributions	Records of pensions contributions	DESTROY – 12 years after the last pension payment	Secure destruction	Business need	✓	HR/ODL	OFFICIAL
	Schemes	Details of pensions schemes to which staff belong	DESTROY – 12 years after the last pension payment	Secure destruction	Business need	✓	HR/ODL	OFFICIAL
Reappointment	Reappointments	Details of reappointments of panel and AST members	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	DCE	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	✓	DCE	OFFICIAL

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	Resignation	Exit Interviews	Details of exit interviews held with leaving staff or volunteers	DESTROY – 6 years from leaving date	Secure destruction	Business need	✘	SMT	OFFICIAL
		Resignations	Documentation relating to resignations handed in by staff or volunteers	DESTROY – 6 years from leaving date	Secure destruction	Business need	✔	SMT	OFFICIAL
	Support and Supervision	Appraisals	Documentation relating to the monitoring and assessment of performance, including reviews and appraisals	DESTROY – 6 years from leaving date	Secure destruction	Business need	✔	SMT	OFFICIAL
		Observations	Documentation relating to the monitoring of panel members	DESTROY – 6 years from leaving date	Secure destruction	Business need	✔	DCE	OFFICIAL

Recruitment

	Advertising	Advertisements	Advertisements for a vacant position/role	RETAIN – one copy on successful candidates file <u>and</u> DESTROY – copies 6 months after recruitment campaign	Recycle / delete	Business need	✘	SMT	OFFICIAL
		Campaigns	Documentation relating to recruitment campaigns for panel and AST members	REVIEW – after 3 years	Review for historical value	Business need	✔	DCE	OFFICIAL
		Job Descriptions	Job descriptions for CHS staff posts	RETAIN – one copy on successful candidates file <u>and</u> DESTROY – copies 6 months after superseded	Recycle / delete	Business need	✔	SMT	OFFICIAL
		Person Specifications	Person specifications for CHS staff posts	RETAIN – one copy on successful candidates file	Recycle / delete	Business need	✘	SMT	OFFICIAL

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				and DESTROY – copies 6 months after superseded					
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	✓	SMT	OFFICIAL	
	Application Forms – Successful Candidates (CHS volunteers) Record on CHIRP	Applications for a vacant role as a volunteer – successful candidates	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	DCE	OFFICIAL	
	Application Forms – Successful Candidates (CHS volunteers) Record on Umbraco (Brightwire) system	Applications for a vacant role as a volunteer – successful candidates	DESTROY from Umbraco (Brightwire) systems– 28 days after transfer to CHIRP	Secure destruction	Business need	✓	DCE	OFFICIAL	
	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	✓	SMT	OFFICIAL	
	Application Forms – Unsuccessful Candidates (CHS volunteers) Recorded on CHIRP	Applications for a vacant role as a volunteer – unsuccessful candidates	DESTROY – 6 months after campaign ends	Secure destruction	2010 c. 15	✓	DCE	OFFICIAL	
	Application Forms – Unsuccessful Candidates (CHS volunteers) Record on Umbraco	Applications for a vacant role as a volunteer – unsuccessful candidates	DESTROY from Umbraco (Brightwire) systems– 28 days after transfer to CHIRP or close of	Secure destruction	2010 c. 15	✓	DCE	OFFICIAL	

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	(Brightwire) system		applications if not submitted						
	Feedback	Written feedback provided to candidates	DESTROY – 6 months after recruitment finalised	Secure destruction	2010 c. 15	✗	SMT	OFFICIAL	
	References	References provided in support of an individual's application	DESTROY – 6 months after recruitment finalised if candidate is unsuccessful <u>or</u> DESTROY – 12 months after close of applications if candidate is successful	Secure destruction	2010 c. 15	✗	SMT	OFFICIAL	
Authorisation & Appointment	Appointments	Details of appointments of panel and AST members	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	DCE	OFFICIAL	
	Authorisations & Approvals of Post	Authorisations to appoint and advertise a vacancy at CHS	DESTROY – after 5 years	Secure destruction	Business need	✗	SMT	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	✓	SMT	OFFICIAL	
	Contract	Details of contracts for CHS staff members, including terms and conditions	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	HR/ODL	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	✓	SMT	OFFICIAL-SENSITIVE - Personal	
	Disclosure Summaries	Summary of disclosures/PVGs undertaken	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	SMT	OFFICIAL	

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	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	✘	SMT	OFFICIAL
		Expressions of Interest (CHS volunteer vacancies) Recorded on CHIRP	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	✘	DCE	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	✘	DCE	OFFICIAL
		Expressions of Interest (CHS volunteer vacancies) Recorded in Umbraco (Brightwire) system	Details of expressions of interest received during or leading up to a recruitment campaign	DESTROY from Umbraco (Brightwire) systems– 28 days after transfer to CHIRP or within 28 days if not submitted	Secure destruction	Business need	✘	DCE	OFFICIAL
	Interviewing and Selection	Interview Notes & Scoring – Successful Candidates (CHS staff)	Notes and scoring from interviews of successful candidates for a CHS post	DESTROY – 6 years from leaving date	Secure destruction	Business need	✔	SMT	OFFICIAL
Interview Notes & Scoring –		Draft/supplementary notes and scoring from interviews of	DESTROY – 6 months after	Secure destruction	Business need	✔	DCE	OFFICIAL	

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		Successful Candidates (CHS volunteers)	successful candidates for a volunteer role	recruitment finalised					
		Interview Notes & Scoring – Unsuccessful Candidates	Notes and scoring from interviews of unsuccessful candidates	DESTROY – 6 months after recruitment finalised	Secure destruction	2010 c. 15	✓	SMT	OFFICIAL
		Invites to Interview	Details of invites to interview	DESTROY – 6 months after recruitment finalised	Secure destruction	2010 c. 15	✗	SMT	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	✗	SMT	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	✓	DCE	OFFICIAL
	Secondments	Secondments	Details of secondments from SG, SCRA etc.	DESTROY – 6 years from leaving date	Secure destruction	Business need	✓	SMT	OFFICIAL
Rota Management									
	Hearings Rotas	Availability and unavailability	Documentation relating to the availability and unavailability of panel members to attend hearings	DESTROY – 6 years from leaving date	Secure destruction	Business need	✗	DCE	OFFICIAL
		Cancellations	Documentation relating to panel cancellations by members	DESTROY – 6 years from leaving date	Secure destruction	Business need	✗	DCE	OFFICIAL

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		Rotas	Rotas produced for children's hearings	DESTROY – 6 years after creation	Secure destruction	Business need	✓	DCE	OFFICIAL
	Panel Practice Observations Rotas	Rotas	Rotas produced for panel practice observations	DESTROY – 6 years after creation	Secure destruction	Business need	✓	DCE	OFFICIAL

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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	Transfer to NRS	Historical value	✓	QPL	OFFICIAL
	Development	Documentation relating to the development of CHS Business Plans	REVIEW – after 3 years	Review for historical value	Business need	✓	QPL	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	✓	SMT	OFFICIAL
Corporate Plans	Corporate Plans	Corporate Plans for CHS	PERMANENT	Transfer to NRS	Historical value	✓	QPL	OFFICIAL
	Development	Documentation relating to the development of CHS Corporate Plans	REVIEW – after 3 years	Review for historical value	Business need	✓	QPL	OFFICIAL
Organisational Structure	Corporate Information	Documentation relating to the background and development of the Children’s Hearings System	PERMANENT	Transfer to NRS	Historical value	✗	CEL	OFFICIAL
	Mission Statements	Documentation relating to CHS’ missions, values, aims and objectives	PERMANENT	Transfer to NRS	Historical value	✗	SMT	OFFICIAL
	Organisational Charts	Charts and diagrams detailing the organisation’s structure	PERMANENT	Transfer to NRS	Historical value	✗	SMT	OFFICIAL
Strategic Plans	Strategies	Documentation relating to corporate strategies and CHS Strategic Plans	PERMANENT	Transfer to NRS	Historical value	✓	SMT	OFFICIAL
Work Plans	Work Plans	Team and corporate work plans	REVIEW – after 3 years	Review for historical value	Business need	✗	SMT	OFFICIAL

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Measuring Performance and Reporting									
	AST Reports	AST Annual Reports	Annual reports produced by ASTs	PERMANENT	Transfer to NRS	Business need	✓	QPL	OFFICIAL
	CHS Annual Reports	Annual Reports & Accounts	Annual summary of reports and financial statements	PERMANENT	Transfer to NRS	Business need	✓	QPL	OFFICIAL
	CHS Quarterly Reports	Quarterly Reports & Statistics	Including Quarterly Performance Summary Reports	PERMANENT	Transfer to NRS	Historical value	✓	QPL	OFFICIAL
	Performance Measurement	Benchmarking	Documentation relating to benchmarking	REVIEW – after 3 years	Review for historical value	Business need	✗	QPL	OFFICIAL
		Key Performance Indicators	Documentation relating to Key Performance Indicators	REVIEW – after 3 years	Review for historical value	Business need	✗	QPL	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 closure	Review for historical value	Business need	✓	GL	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 Panel Member Policy and Practice								
Guidance and Manuals	Approved/Final Guidance and Manuals	General guidance provided to panel and AST members	REVIEW – in line with timescale identified in each policy	Review for historical value	Business need	✓	QPL	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	✗	QPL	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	✓	QPL	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	✓	QPL	OFFICIAL-SENSITIVE-Personal
	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	✓	QPL	OFFICIAL-SENSITIVE-Personal
	Independent Reports	Documentation relating to Independent Reports	PERMANENT	Transfer to NRS	Historical value	✓	QPL	OFFICIAL-SENSITIVE-Personal
	Named Implementation Authorities	Documentation relating to Named Implementation Authorities	DESTROY – 6 years from closure	Secure destruction	2011 asp 1	✓	QPL	OFFICIAL-SENSITIVE-Personal

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		Panel Member Continuity	Documentation relating to requests and responses to panel member continuity	DESTROY – 6 years from closure	Secure destruction	2011 asp 1	✓	QPL	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	✓	SMT	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	✗	SMT	OFFICIAL
		National Standards	Documentation relating to and including the National Standards	PERMANENT	Transfer to NRS	Historical value	✓	SMT	OFFICIAL
	Hearing records	Panel member notes	Any notes taken by panel 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	✗	SMT	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	✓	SMT	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	✗	SMT	OFFICIAL

Research and Development

	Consultations	Internal Consultations	Internal consultations carried out by CHS, including those relating to Advice to Hearings and Hearings Management	PERMANENT**	Transfer to NRS	Historical value	✗	SMT	OFFICIAL
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*reviews may be sooner subject to Data Subject Right to Erasure or Rectification

**Permanent storage subject to redaction of personal data if applicable

*** subject to review in exceptional circumstances

		Partner Consultations	Papers provided in response to partner consultations	REVIEW – after 3 years	Review for historical value	Business need	✘	SMT	OFFICIAL
		Public Consultations	Public consultations carried out by CHS	PERMANENT	Transfer to NRS	Historical value	✘	SMT	OFFICIAL
	Information Gathering	Research	Formal research undertaken by CHS	REVIEW – after 3 years	Review for historical value	Business need	✔	QPL	OFFICIAL / OFFICIAL-SENSITIVE
	Survey Management	Survey Analysis	Final analysis and reporting on survey results	PERMANENT	Transfer to NRS	Historical value	✘	QPL	OFFICIAL
		Survey Development	Development and roll-out of surveys	REVIEW – after 3 years	Review for historical value	Business need	✘	QPL	OFFICIAL
		Survey Responses	Individual responses to surveys	DESTROY – 12 months from completion of final report/analysis	Secure destruction	Business need	✘	QPL	OFFICIAL

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