

## SAAS RECORDS RETENTION SCHEDULE

Notation:	<p>D - Destroy</p> <p>1R - First Review – where a decision is not obvious either at creation or at the time the file is closed, the file may be marked for re-examination five years after its closure date. A disposal decision should be possible at this point.</p> <p>P - Preserve</p>
-----------	--

Type of File	Instruction	Notes
<p><b>Policy</b></p> <p>Files on subjects of interest to, but not the responsibility of, the branch (ie. most papers on the file originate elsewhere).</p> <p>Policy files on main work of branch.</p> <p>Departmental Working Group, when branch provides Secretariat/is lead branch. Papers, Minutes, Final Report.</p> <p>Consultation papers and responses.</p>	<p>D. 5 years after closure except as stated in notes.</p> <p>1R.</p> <p>P. (Indicate date when file can go to NAS).</p> <p>P. (Indicate date when file can go to NAS).</p>	<p>IR if subject likely still to be 'live' or where significant inter-branch discussion has taken place.</p> <p>Unless clearly of minor interest, when immediate decision to destroy in X years might be possible.</p> <p>Consider whether NAS can be instructed to release such files before 30 year point.</p> <p>Consider whether NAS can be instructed to release such files before 30 year point. (Not possible if respondees wish views to be confidential.)</p>
<p>Primary legislation in which branch has interest:</p> <ul style="list-style-type: none"> <li>• Files containing copies of papers originating elsewhere and/or branch contributions to briefing notes, notes on clauses etc.</li> <li>• files containing branch's own policy</li> </ul>	<p>D. 5 years after closure.</p> <p>1R.</p>	

<p>papers</p> <p>Secondary legislation where branch is in the lead:</p> <ul style="list-style-type: none"> <li>• amendment of primary legislation</li> <li>• routine updating of eg. fees</li> <li>• other</li> </ul> <p>Other secondary legislation:</p> <ul style="list-style-type: none"> <li>• files containing copies of papers originating elsewhere and/or minutes to lead branch</li> <li>• files containing branch's own policy papers</li> </ul>	<p>P. (Indicate date when file can go to NAS.)</p> <p>D. 5 years after closure.</p> <p>1R.</p> <p>D. 5 years after closure.</p> <p>1R.</p>	
<p><b>Project</b></p> <p>Files relating to the scoping and development of new projects administered by SAAS.</p> <p>Functional Requirement Specifications and design documents relating to SAAS projects</p> <p>Test output prior to launch of new system or process</p> <p>Consultation papers and responses.</p>	<p>1R</p> <p>1R</p> <p>1R</p> <p>P (Indicate date when file can go to NAS)</p>	<p>Consider whether NAS can be instructed to release such files before 30 year point. (Not possible if respondees wish views to be confidential)</p>
<p><b>Correspondence</b></p> <p>General correspondence files.</p> <p>RAGS correspondence, complaints &amp; appeals</p>	<p>D. 5 years after closure.</p> <p>D paper copies - 3 months after date of receipt as scanned copies held electronically indefinitely</p> <p>D paper files on complaints 10 years after closure</p>	

Student case files (paper).	D. 4 years after date of last application.	Agreed overpayments will keep legal papers on their files.  Closure process due to inactivity to be defined in 2006.
Students records held on GRASS	Student records must be kept for 7 years as financial records. Records up to session 2000 copied to tape then copied to the backup server GV07 then deleted from live1. Skeleton records held for students from 1974-1996 to be deleted.	
Learner records held on ILA Scotland	Currently to be retained indefinitely.	
Learning Provider records held on ILA Scotland	Currently to be retained for a period of 7 years post final transaction.	
Learning Provider Payment Agreement (Paper) <b>Electronic Document Management (EDM)</b> EDM – paper application forms and general correspondence received by the agency which have been scanned into EDM system EDM – students electronic record	D: 7 years after closure  D. Paper copies <b>30 days</b> after receipt  Archive system on the optical jukebox keeps data for approx 7 years after last data entry Records archived to DVD in date order. Delete on a monthly basis 7 years after calls made to SAAS.	
<b>Telephony records</b> - Contact Central		

### Finance/ Overpayments/ Fraud

In general, prime financial records are held for 7 years although the statutory requirement is 6 years. This link gives guidance from the National Archives and is available on the Scottish Government website under Annex 2, Annual Accounts, Scottish Public Finance Manual. Debt Recovery cases	<a href="http://www.scotland.gov.uk/Topics/Government/Finance/spfm/annualaccounts/accountsannex2">http://www.scotland.gov.uk/Topics/Government/Finance/spfm/annualaccounts/accountsannex2</a>	
Debt Recovery cases with decrees (legal action)	Case files are kept for as long as debt is outstanding. Since 2003, these files are electronic, files opened pre 2003 are paper files. – DRT keep all decrees (CCJs) for at least 6 years. If debt remains outstanding, we keep the decree until the debt is paid in full or is written off	

<b>Procurement</b>		
End user requirement/ agreed specification/ evaluation criteria/ invitation to tender/ signed contract	D 6 years from end of contract	
Tender documents	D 1 year after date of last paper for unsuccessful tender documents D 6 years from award of contract for successful contracts	
<b>Personnel</b>		
Career Folders	Kept by Scottish Executive Records Management Branch until person aged 85	
<b>Press Cuttings</b>		D. 5 years after closure.
<b>General Office Procedure</b>		
Management Planning, Manpower requirements, training, work plans, monitoring.	D. 5 years after closure.	
Procedure Manuals.	P.	
Divisional/branch operating instructions.	1R.	
Branch meetings.	D. 5 years after closure.	
Minutes of meetings where Team act as secretariat	P.	
Minutes of meetings where staff attend meetings	D. 5 years after closure.	
<b>Chief Executive's Office</b>		
Minutes of meetings etc. between agency and departmental sponsor.	1R.	
Minutes of Management Board Meetings and appointment of Non Executive Board Members	P.	
Survey Forms	D. 1 year	
Monthly Correspondence Returns	D. 1 year	

### E-mail Disposal Schedule

<b>DESCRIPTION</b>	<b>DISPOSAL ACTION</b>
E-mails from students, institutions etc re requests for information, change of details etc	Delete from in-box after copy attached to officially registered file (for example student record).
Formal communications between external contacts and officers, such as minutes and submissions	Delete after printed copy placed on officially registered file.
Mail requesting or authorising or commenting on the expenditure of money or other resources, or nay action involving such expenditure.	As above.
Mail containing instructions of a significant nature, including notifications of changes of policy, the establishment of precedents.	As above.
Mail containing comments on and suggested amendments to significant documents or proposed actions.	As above
Trivial work-related material, e.g. routine housekeeping information such as the time and place for meetings, administrative details.	Delete as soon as no longer required.
Personal material.	Delete as soon as no longer required.

## **Guidelines for Selection of Records for Permanent Preservation**

The destruction of records is an irreversible act while the preservation of records which do not warrant it involves high and continuing costs. The following basic guidelines are intended to assist staff in identifying records of permanent value for transfer to the National Archives of Scotland. While of necessity very general, these guidelines cover most aspects of departmental and research criteria. As such, they should help to prevent both ill-considered destruction and uncritical selection.

The following records should be kept:

- \* Papers relating to the origins and history of the Department; its organisation and procedures; functions and dissolution (office notices, organisation charts, and a standard set of all HQ guides and instructions to out-stations and regional offices, or bodies with which the Department is in regular contact, may be as important as files which relate to these matters);
- \* Copies of annual reports
- \* Principal policy papers, including papers relating to the preparation of legislation and statutory instructions (primarily Scottish), submissions to Ministers or senior officials and papers to the Cabinet or Cabinet Committees, together with all earlier drafts;
- \* Selective papers relative to the implementation and interpretation of policy and to changes in policy;
- \* Record sets of minutes and circulated papers of all Management Board and Committee meetings (the area which provides the Secretary should be identified as the record set for permanent preservation);
- \* Evidence of statutory rights or obligations and formal instruments such as awards, schemes, orders and sanctions;
- \* Records which must be permanently preserved by statute;
- \* Papers which relate directly or indirectly to trends or developments in political, social, economic or other fields, particularly where they contain unpublished statistical or financial data covering a long period of time or wide area;
- \* Papers relating to the more important aspects of scientific, technological or medical research and development, particularly where these had a wider application and affected the political, cultural, social, economic or other aspects of the life of the country;
- \* Papers containing matters of significant regional or local interest on which it is unreasonable to expect that evidence or information will be available locally, or comprising synopses of such information covering the whole country or a wide area;
- \* Statistical and quantitative research either sponsored by the Agency or undertaken by outside bodies, where its findings affected Departmental decision-making, and the research reflects on demographic, medical, social, cultural and economic history or historical geography.

**Important: These guidelines should be used in conjunction with the Records Retention Schedule.**