

ASSURANCE COMBINED RETENTION SCHEDULE

1. INFORMATION GOVERNANCE							
Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
1	Access to information						
1.1	Data Protection - subject access request and data subject rights request under DPA 2018	initial request, response, internal review, related correspondence and other supporting documentation	Date file closed	2 years	Confidential Destruction	Regulatory requirement	
1.2	Data Protection concerns - inc. concern raised with ICO	initial request, response, SAR appeal records, related correspondence and other supporting documentation	Date file closed	5 years	Confidential Destruction	Regulatory requirement	Prescription & Limitation (Scotland) Act 1973 is relevant
1.3	Data protection - general compliance records	Files re. DP audit, general compliance, data breaches, data incidents, security, training, etc.,	Date file closed	10 years	Confidential Destruction	Regulatory requirement	
1.4	Data protection - Notification and changes	ICO registration certificates	Date superseded	Nil	Confidential Destruction	Business requirement	Superseded once renewal confirmation received
1.5	Freedom of information (FOISA) - processing of requests for information under FOISA 2002	initial request, response, internal review, related correspondence and other supporting documentation	Date file closed	2 years	Confidential Destruction	Regulatory requirement	
1.6	Freedom of information (FOISA) - processing of requests for information where appeal made to Scottish Information Commissioner under FOISA 2002	initial request, response, appeal records, related correspondence and other supporting documentation	Date file closed	5 years	Confidential Destruction	Regulatory requirement	Prescription & Limitation (Scotland) Act 1973 is relevant
1.7	Publication Scheme		Date superseded	3 years	Confidential Destruction	Business requirement	Prior to destruction, ensure the rolling record of changes has been updated.

1.8	Environment Information Regulations (EIRs) - processing of requests for information	initial request, response, Internal review, related correspondence and other supporting documentation	Date file closed	2 years	Confidential Destruction	Regulatory requirement	The Environmental Information (Scotland) Regulations 2004 SSI 2004/520
1.9	Environment Information Regulations (EIRs) - processing of requests for information where appeal made to Scottish Information Commissioner	initial request, response, appeal records, related correspondence and other supporting documentation	Date file closed	5 years	Confidential Destruction	Regulatory requirement	The Environmental Information (Scotland) Regulations 2004 SSI 2004/520 - Prescription & Limitation (Scotland) Act 1973 is relevant
1.10	Specification of Documents	Certificate, inventory and documents released	Date file closed	10 years	Confidential Destruction	Regulatory requirement	Law Society Guidelines
1.11	FOISA general compliance records	Submissions to SIC, stats	Date of submission	5 years	Confidential Destruction	Business requirement	
2	Records management						
2.1	Records surveys	Information relating to record audits	Date of survey completion	2 years	Confidential Destruction	Business requirement	
2.2	Classification schemes	Classification schemes	Date superseded	2 years	Confidential Destruction	Business requirement	Prior to destruction, consider historical value.
2.3	Forms development	Standard templates	Date superseded	1 year	Confidential Destruction	Business requirement	Prior to destruction, consider a sample for historical value.
2.4	Retention schedules		Date superseded	2 years	Confidential Destruction	Business requirement	Prior to destruction, consider historical value.
2.5	Lists of Records destroyed	Records destruction register	Date of destruction	12 years	Confidential Destruction	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13, S61 RM code
2.6	Records disposal certificates	Disposal certificates	Date of destruction	12 years	Confidential Destruction	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13, S61 RM code
3	Provision of advice						
3.1	Provision of ad-hoc general advice to business eg. CCTV, sharing information, responses	E-mail, file note	End of calendar year	5 years	Confidential Destruction	Regulatory requirement	Law Society Guidelines

3.2	Provision of advice in relation to project and DPIA including information sharing agreements, data processing agreements, legitimate interest assessment	DPIA document, e-mail, file note and general project documents	Date file closed	10 years	Confidential Destruction	Regulatory requirement	Law Society Guidelines
4	Meetings						
4.1	GDPR/Steering Group Meeting papers	Agenda, papers submitted	Date of last meeting	1 year	Confidential Destruction	Business requirement	
5	Other						
6.1	Team materials	Meeting agenda, materials and notes	From date of meeting	1 year	Confidential Destruction	Business requirement	
6.2	Team materials	Monthly workplans	From month superseded	1 year	Confidential Destruction	Business requirement	
6.3	Assurance budgets (as relevant)	Codes and in year approved budget(s)	End of financial year	Nil	Confidential Destruction	Business requirement	
2. PERFORMANCE							
Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
1	ARC						
1.1	ARC Final Submission		1st June (Day after ARC Deadline)	5 Years	Confidential Destruction	Business Requirement	
1.2	ARC Toolbox		1st June (Day after ARC Deadline)	5 Years	Confidential Destruction	Business Requirement	Provides background data to ARC calculations
1.3	ARC Supporting Evidence		1st June (Day after ARC Deadline)	3 Years	Confidential Destruction	Business Requirement	
1.4	ARC e-Mails		1st June (Day after ARC Deadline)	15 months	Confidential Destruction	Business Requirement	
1.5	Charter Assurance		5 years from Saved Date	1 year after superseded	Confidential Destruction	Business Requirement	
1.6	Charter internal guidance		Review every 3 years	1 year after superseded	Confidential Destruction	Business Requirement	
2	BOXI Reports						

2.1	Ad-Hoc	Any report that is a one-off	Completion Date of latest version of Report	13 months	Confidential Destruction	Business Requirement	
2.2	Charter - Master	Any report that contains Charter data	New report is produced on receipt of revised guidance.	2 years after superseded	Confidential Destruction	Business Requirement	
2.2.1	Charter - Subsequent Run	Any copy of a Charter - Master report that is saved	Saved Date of Report	2 Years	Confidential Destruction	Business Requirement	
2.2.2	Charter - Excel Version	Any Excel version of a Charter - Master or a Charter - Subsequent Run that is saved	Saved Date of Report	3 Years	Confidential Destruction	Business Requirement	In line with supporting evidence
2.3	Operational - Master	Any report that contains Operational data - e.g. Assets Reports	New report is produced on receipt of revised guidance.	1 year after superseded	Confidential Destruction	Business Requirement	
2.3.1	Operational - Subsequent Run	Any copy of a Operational - Master report that is saved	Saved Date of Report	2 Years	Confidential Destruction	Business Requirement	
2.3.2	Operational - Excel Version	Any Excel version of an operational report that is saved	Saved Date of Report	2 Years	Confidential Destruction	Business Requirement	
2.3.3	Operational - Daily	e.g. PRID	Date Report produced	1 Week			
2.3.4	Operational - Weekly			4 Weeks			
2.4	Operational business reports - Master	Any report that contains operational business data	New report is produced after revised specification	14 months after superseded or if not ran for 3 years	Confidential Destruction	Business Requirement	
2.4.1	Operational business reports - Subsequent run	Any copy of operational business data report that is saved	Saved Date of Report	2 Years	Confidential Destruction	Business Requirement	
2.4.2	Operational business reports - excel verion	Any excel version of an operational business report that is saved	Saved Date of Report	2 Years	Confidential Destruction	Business Requirement	
2.5	Research - Master			TBC	Confidential Destruction	Business Requirement	19/02/2018 - MK - Time period to be set when we build the report. Depending on its purpose and the Internal extent of personal Internal data, we can then Internal set a time frame
3	Other Reports						

3.1	Board			N/A	Confidential Destruction		See Governance Team retention schedule.
3.2	ET			13 months for standard reports and 3 Years for Year End Reports	Confidential Destruction		
3.3	DMT			3 months	Confidential Destruction		
3.4	Final Research analysis			3 Years	Confidential Destruction		Methodologies and final report to be retained for 3 years
3.5	Ad-Hoc			13 months	Confidential Destruction		
3.6	Annual Delivery Plan & preparation			6 Years	Confidential Destruction		
3.7	Benchmarking			6 Years	Confidential Destruction		
3.8	Working papers/drafts			13 months	Confidential Destruction		Preparation for any reports
4	Other						
4.1	Strategic performance indicator guidance		Review every 3 years	1 year after superseded	Confidential Destruction		
4.2	Meeting notes (outwith team)			13 months	Confidential Destruction		Except any which form agreement of definition for performance indicators which should be as 4.0
5	Other						
5.1	Team materials	Meeting agenda, materials and notes	From date of meeting	1 year	Confidential Destruction	Business requirement	
5.2	Team materials	Monthly workplans	From month superseded	1 year	Confidential Destruction	Business requirement	
5.3	Assurance budgets (as relevant)	Codes and in year approved budget(s)	End of financial year	Nil	Confidential Destruction	Business requirement	
3. STRATEGY							
Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
1							

1.1	Strategies	Includes Wheatley Strategy, supporting strategies and subsidiary strategies: approved final documents	From date of meeting approving final document	Nil	Confidential Destruction	Business requirement	Finals that have been presented at meetings will be kept by Governance according to relevant retention schedules. Not required locally beyond this point.
1.2	Strategies	Includes Wheatley Strategy, supporting strategies and subsidiary strategies: draft documents	From date of meeting approving final document	Nil	Confidential Destruction	Business requirement	Superseded by final documents
1.3	Strategic Framework Files	Baseline for performance information, Supporting diagrams and presentations	End of Strategy period	1 year	Confidential Destruction	Business requirement	
1.4	Strategy Process Files	Documentation re process including development, consultation and implementation	End of Strategy period	1 year	Confidential Destruction	Business requirement	Examples include approach documents, consultation documents, diagrams, maps and plans. It would also cover Locality Plans
1.5	Strategy Process Files	Consultation responses received from stakeholders	Consultation response submission date	13 months	Confidential Destruction	Business requirement	
1.6	Strategic Relationship Files	Includes formal agreements with strategic partners and supporting information: final documents	Earliest of end date or date superseded	13 months	Confidential Destruction	Business requirement	Until confirmed being kept elsewhere i.e. Board papers
1.7	Strategy Initiatives/ Projects	Includes progress update reports and supporting documents: final documents	End of Strategy period	1 year	Confidential Destruction	Business requirement	Where not Board reports we need to keep these for use as part of review of strategy implementation
1.8	Team materials	Meeting agenda, materials and notes	From date of meeting	1 year	Confidential Destruction	Business requirement	
1.9	Team materials	Monthly workplans	From month superseded	1 year	Confidential Destruction	Business requirement	
1.10	Assurance budgets (as relevant)	Codes and in year approved budget(s)	End of financial year	Nil	Confidential Destruction	Business requirement	

4. Internal Audit - All records are retained electronically							
Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
1	Internal Audits						
1.1	Internal Audit files	<ul style="list-style-type: none"> • Final Audit reports • File Control sheet • Terms of Reference • Work Plan (Risk and Control Matrix) • Notes of Opening and Closing meetings • Working papers which support the audit findings • Evidence schedule • Terms of Reference 	1 financial year after each audit assignment is complete (i.e. when final report has been reported to Group Audit Committee).	1 Financial Year	Deletion	Business requirement	
1.2	Risk Control Matrix - Library	Sample control objectives, risks and expected controls	Keep control objective, risk and expected controls for 1 year after being superseded.	1 Financial Year	Deletion	Business requirement	If superseded more frequently than on year, retain all version which have been used in year.
1.3	Final Audit Report - Library	Final Audit reports	1 financial year after all accepted recommendations have been implemented by management.	1 Financial Year	Deletion	Business requirement	
1.4	Follow up of management actions	a) Audit action updates recorded in Pentana	3 financial year after action closed and verified by IA as complete in Pentana.	3 Financial Years	Deletion	Business requirement	
		b) Evidence/documents to support closure of actions (held on SharePoint)	1 financial year after action closed and verified by IA as complete in Pentana.	1 Financial Year	Deletion	Business requirement	

1.5	IDEA/Continuous Auditing	a) IDEA test scripts	a) Retain in Library for 1 year after being superseded	1 year	Deletion	Business requirement	
		b) Data sets used for testing	b) Retain for 1 financial year after each test is complete (i.e. when results have been reported to Group Audit Committee).	1 Financial Year	Deletion	Business requirement	
1.6	Fraud Register	Register of suspected frauds and investigation	Completion of Fraud investigation	10 years	Deletion	Business requirement	
1.7	Fraud and other investigations files	<ul style="list-style-type: none"> • Findings • Documents • Internal records • Audit Report 	a) Investigation files where disciplinary procedures and / or files are passed to the police / prosecution occurs - 5 years after legal proceedings have completed.	5 years after legal proceedings have completed	Deletion	Regulatory requirement	Prescription & Limitation (Scotland) Act 1973 is relevant
			b) Investigation files where no further action is taken – 1 financial year after investigation concluded and results reported to Group Audit Committee.	1 Financial Year	Deletion	Business requirement	
2 Reporting							

2.1	Annual Statement preparation and any other Internal Audit opinions	Information supporting the preparation of the Annual Assurance Statement opinion, and any other Internal Audit opinions provided to the Audit Committee	1 year after Annual Report reported to Audit Committee	1 Financial Year	Deletion	Business requirement	
2.2	Adhoc Reports	Adhoc reports to DMT and ET	1 years after reporting date to DMT and or ET	1 Financial Year	Deletion	Business requirement	
2.3	Risk Management Reports	Covering paper risk registers meeting notes	1 year being superceeded	1 year	Deletion	Business requirement	
2.4	Response to consultations	Word documents emails	1 year after submissions to relevant body/team	1 year	Deletion	Business requirement	
3	Internal Audit Governance						
3.1	Assurance Strategy/ Programmes/Plans	Planning meeting notes Audit Universe Research papers	1 year after being superseded.	1 Financial Year	Deletion	Business requirement	If superseded more frequently than once a year, retain all versions which have been in use during the year to date to allow our work to be Quality Assessed against the relevant versions if required by external assessors.
3.2	Charter and Audit Manual	Internal Audit Charter, Manuals and guidance, including Risk Management approach, Pentana user guidance.	1 year after being superseded.	1 Financial Year	Deletion	Business requirement	If superseded more frequently than once a year, retain all versions which have been in use during the year to date to allow our work to be Quality Assessed against the relevant versions if required by external assessors.
3.3	Polices owned by Internal Audit Team	Fraud, Bribery & Corruption, Money-laundering, Whistle-blowing and Risk Management	3 years review and approval of revised version by Group Audit Committee.	3 years	Deletion	Business requirement	
4	Risk regisers on Pentana						

4.1	Risk registers in Pentana	Live/ current Risk Register to be retained in Pentana, including all relevant notes attached to each risk.	Notes to be reviewed and deleted on a 3 year rolling basis.	Rolling 3 years	Deletion	Business requirement	
5	Team materials						
5.1	Team materials	Meeting agenda, materials and notes	From date of meeting	1 year	Confidential Destruction	Business requirement	
5.2	Team materials	Monthly workplans	From month superseded	1 year	Confidential Destruction	Business requirement	
5.3	Assurance budgets (as relevant)	Codes and in year approved budget(s)	End of financial year	Nil	Confidential Destruction	Business requirement	
5. R&D							
Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
1	ARC and other benchmarking surveys						
1.1	Preparation and design	Scoping documents, data requirements, briefing notes, sample specifications, final materials, correspondence on key decisions/stages	End of financial year work commissioned for	2 years (therefore will only ever have current year's work plus 2 full financial years previous)	Confidential destruction	Business requirement	
1.2	Preparation and design	Draft materials and related correspondence	Once final materials signed off	Nil	Confidential destruction	Business requirement	
1.3	Preparation and design	Operational data such as BOXI extracts	End of financial year work commissioned for	2 months	Confidential destruction	Business requirement	
1.4	Final outputs	Cross tabs, technical reports, findings reports and presentations	End of financial year work commissioned for	2 years (therefore will only ever have current year's work plus 2 full financial years previous)	Confidential destruction	Business requirement	
2	Ad-hoc surveys						

2.1	Preparation, design and final outputs	Scoping documents, correspondence on key decisions/stages, final materials, operational data, findings reports	End of financial year work commissioned for	Nil	Confidential destruction	Business requirement	
2.2	Preparation and design	Draft materials and related correspondence	Once final materials signed off	Nil	Confidential destruction	Business requirement	
3	Voice of the Customer feedback						
3.1	Preparation and design	Scoping documents, final materials, correspondence on key decisions/stages	End of financial year work commissioned for	1 year (therefore will only ever have current year's work plus 1 full financial years previous)	Confidential Destruction	Business Requirement	
3.2	Preparation and design	Draft materials and related correspondence	Once final materials signed off	Nil	Confidential destruction	Business requirement	
3.3	Final outputs	Data extract, findings reports and presentations	End of financial year work commissioned for	1 year (therefore will only ever have current year's work plus 1 full financial years previous)	Confidential destruction	Business requirement	
4	Other Projects						
4.1	Other projects – Preparation and design	Scoping documents, data requirements, briefing notes, sample specifications, final materials, correspondence on key decisions/stages	End of financial year work commissioned for	2 years (therefore will only ever have current year's work plus 2 full financial years previous)	Confidential destruction	Business requirement	
4.2	Other projects – Preparation and design	Draft materials and related correspondence	Once final materials signed off	Nil	Confidential destruction	Business requirement	
4.3	Other projects – Preparation and design	Operational data such as BOXI extracts	Date of project completion	2 months	Confidential destruction	Business requirement	

4.4	Other projects – Final outputs	Cross tabs, technical reports, findings reports and presentations	End of financial year work commissioned for	2 years (therefore will only ever have current year's work plus 2 full financial years previous)	Confidential Destruction	Business requirement	
4.5	Ad-hoc requests intelligence and insight	Data extracts, analysis, reports and presentations	Date of provision of required outputs	13 months	Confidential Destruction	Business requirement	
4.6	Full or part externally funded projects	Records relating to partnership /studentship agreement, scoping documents, funding arrangements, progress reviews, research materials and final outputs	Date of project completion	3 years	Confidential Destruction	Business requirement	Cross-ref to Management Retention Schedule 6.1 and 6.2. In line with this, 3 years applies unless external funding arrangements dictate alternative
5	Published Research Reports						
5.1	Published research reports - either by Group or in partnership with external organisation	PDFs or alternative formats	Date of publication	5 years	Confidential Destruction	Business requirement	
6	Responses to External Consultations						
6.1	Preparations for external consultations	Records documenting drafts and any associated internal correspondence or other necessary preparations	Consultation response submission date	Nil	Confidential destruction	Business requirement	
6.2	Group/subsidiary responses to external consultations	Records documenting the response by the Group or one of its subsidiaries to a consultation carried out by an external organisation	Consultation response submission date	2 years	Confidential destruction	Business requirement	
7	Procurement (for work under above sections 1-4)						
7.1	All procurement outwith Regulated	All documentation from use of direct quotes, quick quotes system and/or similar routes	Project completion	Nil	Confidential destruction	Business requirement	

7.2	Tender of Regulated procurement	Draft materials and correspondence during tender initiation, issue and evaluation	Contract award date	Nil	Confidential destruction	Business requirement	Local copies used only during initiation, issue and evaluation stages. Not required locally beyond this point.
7.3	Tender of Regulated procurement	Limited to tender specification and successful bidder proposal for reference during large scale/multiple year contracts	Contract end date	Nil	Confidential destruction	Business requirement	Master copies held by Procurement. Cross-ref to Procurement Retention Schedule sections 2, 3 and 4 for Regulated as applicable. However, local copies helps facilitate work being undertaken during contract period. Not required locally beyond this point.
7.4	Management of Regulated procurement	Documentation related to contract management such as Contract Review Meetings/KPIs	Contract end date	Nil	Confidential destruction	Business requirement	Documents related to ongoing management should be provided to Procurement for master record. Cross-ref to Procurement Retention Schedule sections 2, 3 and 4 for Regulated as applicable. However, local copies needed to facilitate management during contract period. Not required locally beyond this point.
7.5	Management of Regulated procurement	Documentation related to operation of contract such as Briefs / Statement of Works (including associated Proposals and Price Schedules)	End of financial year work commissioned for	2 years (therefore will only ever have current year's work plus 2 full financial years previous)	Confidential destruction	Business requirement	Documents related to ongoing operation of contract should be provided to Procurement for master record. Cross-ref to Procurement Retention Schedule sections 2, 3 and 4 for Regulated as applicable. However, local copies needed to facilitate and record scope of work undertaken during relevant projects and for the applicable retention period.
8	Reporting						
8.1	Board, ET, DMT or other Governance structure	Reports using formal template: final documents	From date of meeting	Nil	Confidential Destruction	Business requirement	Finals that have been presented at meetings will be kept by Governance according to relevant retention schedules. Not required locally beyond this point.
9	Team materials						

9.1	Team materials	Meeting agenda, materials and notes	From date of meeting	1 year	Confidential Destruction	Business requirement	
9.2	Team materials	Monthly workplans	From month superseded	1 year	Confidential Destruction	Business requirement	
9.3	Assurance budgets (as relevant)	Codes and in year approved budget(s)	End of financial year	Nil	Confidential Destruction	Business requirement	