

### Standards

Investigate complaints about the conduct of MSPs, local authority councillors and members of public bodies and when lobbyists fail to carry out specific actions.

Applicable legislation:

- Ethical Standards in Public Life etc. (Scotland) Act 2000
- Scottish Parliamentary Standards Commissioner Act 2002
- Lobbying (Scotland) Act 2016

Records stored on:  
**SharePoint / CMS**

Manager responsible:  
**Senior Investigating Officer and/or  
Hearing and Investigations Officer**

### Corporate Services

Provide the organisation with the resources required to perform its core functions.

Applicable legislation:

- Scottish Parliamentary Commissions and Commissioners Etc. Act 2010
- Public Services Reform (Scotland) Act 2010
- Public Services Reform (Commissioner for Ethical Standards in Public Life in Scotland) Order 2013

Records stored on:  
**SharePoint**

Manager responsible:  
**Head of Corporate Services**

### Public Appointments

Regulate and monitor how appointments are made by the Scottish Ministers to the boards of specified public bodies.

Applicable legislation:

- Public Appointments and Public Bodies etc. (Scotland) Act 2003

Records stored on:  
**SharePoint / Knowledge Hub**

Manager responsible:  
**Public Appointments Manager**

Description of Contents	Retention Period	Trigger
Consultation responses	Generally, two years after response issued, otherwise in line with the rules for the folder in which they sit	
Contracts or Service Level Agreements (SLAs)	7 years	End of financial year in which the contract / SLA expires
Commissioned research – final report	Retain permanently	None
Minutes	In line with the rules for the folder in which they sit	
Tenders – working papers	7 years	End of financial year in which the contract awarded
Tenders – ITT and associated documents	When superseded	

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Codes of Conduct	Annual Folders	<ul style="list-style-type: none"> <li>Drafts, research, reviews, correspondence related to codes of conduct, guidance and the public bodies we cover</li> </ul>	3 years	End of financial year
	Critical Documents	<ul style="list-style-type: none"> <li>Current and archived Codes of Conduct</li> <li>List of codes and guidance</li> </ul>	10 years	End of financial year
Complaints	Archived Complaints	<ul style="list-style-type: none"> <li>ESC decisions and summaries</li> <li>SPSO, SCS, SPPAC, Court final decisions</li> <li>Register of enquiries</li> </ul>	Retain permanently	None
		<ul style="list-style-type: none"> <li>Reports to the SCS</li> <li>Breach Reports</li> <li>No Breach Reports</li> </ul>	Retain permanently	Upon dissolution of the ESC, transfer to NRS
		<ul style="list-style-type: none"> <li>Cllr, M + Lobbying: Complaint sub-folders including: "Initial", "Interview", "Decision", "Hearing", "Post Decision"</li> </ul>	5 years	End of financial year in which decision was issued
		<ul style="list-style-type: none"> <li>MSP: Complaint sub-folders including: "Initial", "IO/Office", "Interview", "Decision", "Hearing", "Post Decision"</li> </ul>	5 years	End of financial year in which decision was issued
	Enquiries	<ul style="list-style-type: none"> <li>Communication relating to general complaint related enquiries (how to make a complaint, complaints outwith jurisdiction)</li> </ul>	1 year	End of financial year
	Post Decision Correspondence	<ul style="list-style-type: none"> <li>PDC Correspondence tracker</li> </ul>	3 years	End of financial year in which decision was issued
	SCS Hearings	<ul style="list-style-type: none"> <li>Cllr, M + Lobbying: Hearing materials</li> </ul>	5 years	End of financial year in which decision was issued
<ul style="list-style-type: none"> <li>MSP: Hearing materials</li> </ul>		5 years	End of financial year in which decision was issued	

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Database	Annual Folders	<ul style="list-style-type: none"> <li>Development and maintenance of CMS</li> <li>Contract negotiation</li> <li>Helpdesk requests</li> </ul>	2 years	End of financial year
	Approved (live and archived)	<ul style="list-style-type: none"> <li>Previous MSP, Cllr + M databases</li> </ul>	Retain permanently	None
		<ul style="list-style-type: none"> <li>Instructions</li> </ul>	Until superseded	Replace document when superseded
	Approved contracts (7 years)	<ul style="list-style-type: none"> <li>Development details (CMS)</li> </ul>	7 years	End of financial year
External Communication and Events	Annual Folders	<ul style="list-style-type: none"> <li>Tenders, Contracts and extensions</li> </ul>	7 years	End of financial year
		<ul style="list-style-type: none"> <li>General correspondence with external bodies relating to standards issues, event dates, drafts, agenda, training events</li> </ul>	3 years	End of financial year
Legislation	Annual Folders	<ul style="list-style-type: none"> <li>Research, drafts and correspondence relating to new legislation impacting our CHF</li> </ul>	3 years	End of financial year
	Critical Documents	<ul style="list-style-type: none"> <li>Legislation, legal advice, directions and guidance relating to complaints/Codes of Conduct</li> </ul>	Retain permanently	None
MSP Material	Annual Folders	<ul style="list-style-type: none"> <li>ESC final decision, ESC report to parliament and associated material (if applicable), SPPA final decision and Court final decision (if breach)</li> </ul>	Retain permanently	None
		<ul style="list-style-type: none"> <li>Complaint sub-folders including: "Initial", "IO/Office", "Interview", "Decision", "Hearing", "Post Decision"</li> </ul>	2 years	End of financial year
		<ul style="list-style-type: none"> <li>Internal and External communications on general handling of MSP complaints</li> </ul>	2 years	End of financial year
	Critical Documents	<ul style="list-style-type: none"> <li>Precedents, contracts and action plans</li> </ul>	7 years	End of financial year

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Procedures and Templates	Annual Folders	<ul style="list-style-type: none"> <li>Research, drafts correspondence etc around developing procedures and templates</li> </ul>	2 years	End of financial year
	Critical Documents	<ul style="list-style-type: none"> <li>CMS Procedures and Instructions</li> <li>Complaints Procedures</li> <li>Complaints Templates</li> <li>Press Procedure</li> <li>Signatures</li> <li>Unacceptable Behaviour Template</li> </ul>	Until superseded	Transfer to archive folder when document superseded
		<ul style="list-style-type: none"> <li>Archived CMS Procedures and Instructions</li> <li>Archived Press Procedure</li> </ul>	10 years	End of financial year
		<ul style="list-style-type: none"> <li>Archived complaint investigation procedures</li> </ul>	10 years	End of financial year in which the document was archived Transfer to NRS after 10 years
Statistics and targets	Annual Folders	<ul style="list-style-type: none"> <li>Working, correspondence, daily, weekly and monthly stats</li> </ul>	2 years	End of financial year
	Annual Stats and Targets	<ul style="list-style-type: none"> <li>Annual summaries and published statistics and targets</li> </ul>	Retain permanently	None
Working folders	Personal Folders	<ul style="list-style-type: none"> <li>IO Working folders</li> </ul>	Until case closed*	Date case closed*
	IO Meetings	<ul style="list-style-type: none"> <li>Annual folders of IO meetings</li> </ul>	2 years	End of financial year
		<ul style="list-style-type: none"> <li>Final Minutes</li> </ul>	7 years	End of financial year
	Old	<ul style="list-style-type: none"> <li>Old employee working folders</li> </ul>	2 years	Relevant employees leaving date

\*A case is closed when Stage 1 is complete (closure decision issued) or Stage 2 is complete (SCS s16 decision is made or SCS written decision is published).

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Cases	Case Documents	<ul style="list-style-type: none"> <li>• ESC decision</li> <li>• SPSO final decision</li> <li>• SCS final decision</li> <li>• SPPAC final decision</li> <li>• Court final decision</li> </ul>	Retain permanently	None
		<ul style="list-style-type: none"> <li>• Reports to the SCS</li> <li>• Breach Reports</li> <li>• No Breach Reports</li> </ul>	Retain permanently	Upon dissolution of the ESC, transfer to NRS
		<ul style="list-style-type: none"> <li>• Other Cllr/M/Lobbyist complaint documents including: Initial Complaint, Requests for information, general correspondence etc.</li> </ul>	5 years	End of financial year in which decision was issued
		<ul style="list-style-type: none"> <li>• Other MSP complaint documents including: Initial Complaint, Requests for information, general correspondence etc.</li> </ul>	5 years	End of financial year in which decision was issued
	Enquiries	<ul style="list-style-type: none"> <li>• Communication relating to general complaint related enquiries (how to make a complaint, complaints outwith jurisdiction).</li> </ul>	1 year	End of financial year
Contacts and Organisations	N/A	<ul style="list-style-type: none"> <li>• Contact details for complainers, respondents and others involved in cases.</li> </ul>	Retain permanently	None
Hearings, Complaints and PD/Serv Comments	N/A	<ul style="list-style-type: none"> <li>• Links to main case files</li> <li>• Contacts</li> <li>• Hard data</li> </ul>	Retain permanently	None

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Accommodation	Annual Folders	<ul style="list-style-type: none"> <li>Facilities maintenance</li> <li>SLAB H&amp;S items</li> <li>Annual lease negotiations</li> <li>Building closures</li> </ul>	2 years	End of financial year
	Critical Documents	<ul style="list-style-type: none"> <li>Signed annual leases, associated floorplans and spreadsheet summary of costs</li> </ul>	Retain permanently	None
		<ul style="list-style-type: none"> <li>Fire Evacuation Procedures</li> </ul>	Retain permanently	When superseded transfer to archive folder
		<ul style="list-style-type: none"> <li>Tenders - identification, negotiation, recommendation, business case to SPCB, approval of office location</li> </ul>	7 years	End of financial year in which the contract awarded
		<ul style="list-style-type: none"> <li>SLAB policies</li> </ul>	Until superseded	Replace when superseded
		<ul style="list-style-type: none"> <li>Relocation documents</li> </ul>	7 years	End of financial year in which relocation occurred
Administration and Communication	Annual Folders	<ul style="list-style-type: none"> <li>Brand development and maintenance</li> <li>BSL Plan development</li> <li>Communications with external parties (non-core function)</li> <li>Communications Strategy development</li> <li>Consultations - Invitations and responses to</li> <li>Corporate memberships</li> <li>Events</li> <li>OSSN minutes and correspondence</li> <li>Press enquiries and coverage</li> <li>Press releases</li> <li>Procurement matters</li> <li>Purchasing (stationery, office furniture, printer toner, post, courier, catering, photocopier, etc)</li> <li>Procurement matters</li> </ul>	2 years	End of financial year

Level 1	Level 2	Description of Contents	Retention Period	Trigger
	Critical Documents	<ul style="list-style-type: none"> <li>Logos, brand images</li> <li>Website images (purchased)</li> </ul>	Retain permanently	When superseded transfer to archive folder
		<ul style="list-style-type: none"> <li>Templates (Office)</li> <li>Distribution list</li> <li>Key register</li> <li>LINETs usage and costs</li> <li>Organisation charts</li> <li>Press protocol</li> <li>Procurement template contracts and register</li> <li>Thistle House Car Park directions</li> <li>UK Vending accounts details</li> </ul>	Until superseded	Replace when superseded
		<ul style="list-style-type: none"> <li>Photocopier lease</li> </ul>	7 years	Expiry of contract
		<ul style="list-style-type: none"> <li>Tenders for Representation at SCS Hearings</li> </ul>	7 years	End of financial year in which the contract awarded
		<ul style="list-style-type: none"> <li>British Sign Language (BSL) Plans</li> <li>Communications Strategy</li> <li>ESC Style Guide</li> </ul>	Until superseded	When superseded transfer to archive folder
		<ul style="list-style-type: none"> <li>Final consultation responses</li> <li>Potential suppliers</li> </ul>	5 years	End of financial year
Annual Reports and Accounts	Annual Folders	<ul style="list-style-type: none"> <li>AAB – correspondence, meeting arrangements, progress trackers</li> <li>External audit – workings inc. appointment, audit plan, fee, report, correspondence.</li> <li>Workings – internal inc. correspondence with SG and SPCB.</li> <li>Certificate of Assurance to SPCB</li> <li>Laying papers</li> <li>Distribution</li> <li>Statutory Annual Report</li> <li>Whistleblowing Report</li> </ul>	7 years	End of financial year

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<ul style="list-style-type: none"> <li>Website version of ARA</li> </ul>		
		<ul style="list-style-type: none"> <li>Drafts</li> </ul>	Until final publication	Final publication
	Critical Documents	<ul style="list-style-type: none"> <li>AAB – minutes, Terms of Reference, Declaration of Interests, annual reports, reviews of effectiveness</li> <li>Accounts direction</li> <li>Annual report and accounts</li> <li>Audit (external) plans</li> <li>Auditors Annual Report</li> <li>Accounts schedules</li> <li>Sage reports</li> <li>Key working documents</li> <li>Public Appointments Annual Report</li> <li>Statutory Annual Report</li> <li>Whistleblowing reports and legal advice</li> </ul>	Retain permanently	None
Corporate Governance	Annual Folders	<ul style="list-style-type: none"> <li>Workings and research for MTM</li> <li>Scheme of Delegation</li> <li>Standing Orders, policies and procedures (those not covered by contract of employment – see Staff)</li> <li>Business and strategic plans</li> <li>SPCB operating agreements</li> <li>Risk management</li> <li>Risk registers</li> <li>Health and safety items</li> <li>Changes to CESPLS underpinning legislation</li> <li>Prescribed persons material</li> <li>Complaints about us</li> <li>UBP implementation</li> </ul>	3 Years	End of financial year
	Critical Documents	<ul style="list-style-type: none"> <li>Complaints about us (outcomes)</li> </ul>	5 Years	End of financial year

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<ul style="list-style-type: none"> <li>Complaints about us (training material)</li> <li>EU Exit Plans</li> <li>Internal audit – audit needs assessment</li> <li>Internal audit – reports</li> <li>SCS Interactions</li> </ul>		
		<ul style="list-style-type: none"> <li>Health and safety – accident books, incident records, health and safety audits, risk assessments</li> </ul>	6 years	End of financial year
		<ul style="list-style-type: none"> <li>Internal audit – letters of engagement</li> </ul>	7 Years	End of financial year in which the contract awarded
		<ul style="list-style-type: none"> <li>Note on legislative powers</li> <li>Business Continuity plan (<i>remove personal details when archiving</i>)</li> <li>Complaints (about us) – procedures</li> <li>Complaints (about us) - database</li> <li>COPFS Data Sharing Protocol</li> <li>Declaration of interests and gifts &amp; hospitality template form and register</li> <li>Laying procedures</li> <li>Living Wage accreditation</li> <li>PAA Charging and Travelling Time policy</li> <li>Performance Measures (KPIs)</li> <li>Policy Register incl. procedures, guidance</li> <li>Risk management policy and forms</li> <li>Schemes of Delegation</li> <li>SMT Terms of Reference</li> <li>SPCB operating agreements and procedures</li> <li>Standing Orders</li> <li>Unacceptable Behaviour Policy and Guidance</li> <li>Consultation Register</li> <li>Contract Register</li> <li>Documents Laid Register</li> </ul>	Until superseded	When superseded transfer to archive folder

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<ul style="list-style-type: none"> <li>• Restructures - business cases</li> <li>• Mergers – key workings</li> <li>• Risk Management – annual registers</li> <li>• Strategic Plans</li> <li>• SPCB Shared Accounts Proposal</li> <li>• UBP Decisions</li> </ul>	Retain permanently	None
		<ul style="list-style-type: none"> <li>• ESC business plans</li> <li>• SMTM minutes</li> </ul>	Retain permanently	Upon dissolution of the ESC, transfer to NRS
Finance	Annual Folders	<ul style="list-style-type: none"> <li>• Annual bank statements</li> <li>• Budgets &amp; MI</li> <li>• Credit card statements</li> <li>• Expense claims</li> <li>• Desk instructions - workings</li> <li>• Funding drawdown requests</li> <li>• Insurance</li> <li>• Invoices issued and received</li> <li>• Journals</li> <li>• Pension set-up and maintenance</li> <li>• Petty cash</li> <li>• PSR Act reports - workings</li> <li>• RBS correspondence</li> <li>• Sage back-ups.</li> <li>• SPCB Officeholder Meetings</li> </ul>	7 years	End of financial year
	Critical Documents	<ul style="list-style-type: none"> <li>• Amazon account setup</li> <li>• Bank account setup</li> <li>• Employers' Liability Insurance certificates</li> <li>• Financial desk instructions</li> <li>• Fixed asset registers</li> <li>• HMRC setup</li> <li>• Invoice stamps and remittance templates</li> <li>• IO Data Analysis (Prior to Jun19)</li> </ul>	Retain permanently	When superseded transfer to archive folder

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<ul style="list-style-type: none"> <li>• Medium-term Financial Planning – procedures and annual assessments</li> <li>• Payroll contract</li> <li>• Key pensions documents</li> <li>• PSR Act reports</li> <li>• Sage setup</li> <li>• Key spend analyses</li> <li>• Supplier contracts and register</li> </ul>		
ICT	Annual Folders	<ul style="list-style-type: none"> <li>• Workings for audits</li> <li>• Helpdesk requests (Internal and External)</li> <li>• Activity reports</li> <li>• Project working papers</li> <li>• Policy drafts</li> <li>• Workings for software and hardware purchases</li> <li>• Training and conferences</li> <li>• Supplier correspondence</li> <li>• Cyber security</li> <li>• Systems maintenance and development</li> <li>• CMS maintenance and development</li> <li>• Website maintenance and development</li> <li>• Hardware disposal lists</li> </ul>	2 years	End of financial year
	Critical Documents	<ul style="list-style-type: none"> <li>• Registration certificates</li> <li>• Licence agreements</li> <li>• Warranties</li> <li>• Service and support agreements and contracts</li> <li>• Tenders submitted</li> <li>• Hardware and software purchases</li> </ul>	7 years	End of financial year
		<ul style="list-style-type: none"> <li>• Secure disposal certificates</li> <li>• Cyber Essentials key documents</li> <li>• Cyber insurance</li> <li>• Website development documents</li> </ul>	Retain permanently	None

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<ul style="list-style-type: none"> <li>• CMS development documents</li> <li>• Project key documents</li> </ul>		
		<ul style="list-style-type: none"> <li>• Email size limits</li> <li>• Emergency contacts</li> <li>• ICT instructions</li> <li>• Software whitelist</li> <li>• Hardware register (Device List)</li> <li>• Domain name register</li> <li>• Infrastructure details, incl. broadband and telephone</li> <li>• Tenders, issues, and assessment material</li> </ul>	Until superseded	Replace when superseded
Records Management	Annual Folders	<ul style="list-style-type: none"> <li>• Data breaches</li> <li>• Registration with ICO</li> <li>• DPO correspondence, MoU, meetings and advice</li> <li>• Data protection subject access requests</li> <li>• Data protection workings (advice, training, policy, conferences, meetings, privacy notices)</li> <li>• Annual AAB Data Protection report</li> <li>• Data sharing agreements</li> <li>• DPIAs</li> <li>• EIR requests</li> <li>• FOISA requests</li> <li>• FOISA publication scheme (Guide to Information) workings</li> <li>• FOISA workings (compliance, training, policy, procedures, conferences, meetings)</li> <li>• SIC correspondence and meetings</li> <li>• FOISA statistics</li> <li>• FOI Panel</li> <li>• Archiving agreements and submissions</li> <li>• Records management workings (audits, file plans, advice, retention schedules, RMPs,</li> </ul>	3 years	End of financial year

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<p>PURs, policies, procedures, training, conference, meetings)</p> <ul style="list-style-type: none"> <li>• Data deletion workings</li> <li>• IRMS memberships</li> <li>• NRS correspondence and meetings</li> </ul>		
	Critical Documents	<p>Data protection</p> <ul style="list-style-type: none"> <li>• Data Audits</li> <li>• Data Breach log, form and ICO reports</li> <li>• Data Sharing Agreements</li> <li>• DPO MoU</li> <li>• Guidance</li> <li>• ICO Registration</li> <li>• Privacy Notices</li> <li>• Privacy Policy</li> <li>• Policy and procedures</li> <li>• Impact Assessments</li> <li>• SAR response text, request for review text and ICO adjudication (personal data removed)</li> <li>• SAR templates</li> </ul> <p>Freedom of Information</p> <ul style="list-style-type: none"> <li>• FOI Panel guidance and assignment log</li> <li>• Publication scheme (Guide to Information)</li> <li>• Policies and procedures</li> <li>• Register</li> <li>• Templates</li> <li>• FOI response text, request for review text and SIC appeal conclusion (personal data removed)</li> </ul>	Retain permanently	When superseded transfer to archive folder

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<p>Records Management</p> <ul style="list-style-type: none"> <li>• Archiving agreements with NLS, NRS and British Library</li> <li>• Archiving Procedures</li> <li>• Destruction Logs</li> <li>• File Plan and Retention Schedules</li> <li>• Records Management Plan</li> <li>• Records Management Policy and Procedures</li> <li>• SPSC Paper Files</li> <li>• Training</li> <li>• ESC Data Backup Testing Log</li> </ul>		
Staff	Annual Folders	<ul style="list-style-type: none"> <li>• Accessibility Working Group</li> <li>• BSL Working Groups</li> <li>• Annual Leave (timesheet templates, public holidays, annual leave allowance draft letter and calculations and annual leave log)</li> <li>• Conferences and events (correspondence, booking details)</li> <li>• Correspondence with SPCB (staff numbers, terms)</li> <li>• Declaration of interests forms (, drafts, annual refresh, reminders NB: Completed DOI forms stored in personal folder)</li> <li>• DSE Assessments (arranging assessments)</li> <li>• ESC benefits - workings (EAP, occupational health, CSSC, Cycle2Work, etc)</li> <li>• HR projects (HR platform, liP, PAT testing for remote working, 35hr working week)</li> <li>• Law Society Scotland membership management</li> <li>• Pay and travel awards (SPCB pay and travel awards)</li> </ul>	2 years	End of financial year

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<ul style="list-style-type: none"> <li>• Policies and procedures for review- workings</li> <li>• Public sector employment stats</li> <li>• Social events Christmas lunch, etc)</li> <li>• Staff communications</li> <li>• Staff Newsletter</li> <li>• Staff surveys</li> <li>• Team meetings</li> <li>• Training (training platform and course correspondence and materials)</li> <li>• Workforce planning</li> </ul>		
		<ul style="list-style-type: none"> <li>• Recruitment - unsuccessful applications, equal opportunities monitoring forms, all personal data to be removed</li> </ul>	6 months	Date of appointment
		<ul style="list-style-type: none"> <li>• Recruitment - advert, application pack, all templates (evaluation, interview, timetables, summaries of monitoring form, applicant tracker, draft job descriptions). All personal data removed.</li> </ul>	Transfer to critical documents	Six months after date of appointment
	Critical Documents	<ul style="list-style-type: none"> <li>• ESC Benefits ( EAP, occupational health, CSSC)</li> <li>• ESC Resource Centre – final layout, settings and instructions</li> <li>• Induction materials</li> <li>• Job descriptions</li> <li>• Living wage accreditation and logos</li> <li>• New Starts and Leavers procedures, incl. Induction Plan</li> <li>• Onsite Attendance Log</li> <li>• Chair brochures and instructions</li> <li>• Hot desk worker checklist</li> <li>• Performance management system</li> <li>• Role (desk) instructions</li> </ul>	Until superseded	When superseded transfer to archive folder

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<ul style="list-style-type: none"> <li>• Scottish Government pay scales</li> <li>• Staff Surveys</li> <li>• Staff Training Logs</li> <li>• Staffing levels and workforce planning</li> <li>• Terms and conditions</li> </ul>		
		<ul style="list-style-type: none"> <li>• IO Hours Databases</li> </ul>	5 years	After last IOs leaving date (1 Nov 2021)
		<ul style="list-style-type: none"> <li>• Register of staff contact detail</li> <li>• Staff list</li> </ul>	Until superseded	When superseded transfer to archive folder and retain for 3 years
		<ul style="list-style-type: none"> <li>• Training Materials</li> <li>• Recruitment Templates</li> </ul>	Until superseded	Replace when superseded

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Payroll	Annual Folders	<ul style="list-style-type: none"> <li>• Payroll preparation checklist</li> <li>• Annual P11 spreadsheet</li> <li>• Annual Payroll Summary</li> <li>• P60s for year</li> <li>• Monthly payroll</li> </ul>	7 years	End of financial year
	Critical Documents	<ul style="list-style-type: none"> <li>• Pseudonymised annual payroll summaries</li> <li>• Payroll – deletion logs</li> <li>• Annual IO Working Days summaries</li> <li>• Key payroll contract documents</li> <li>• Employee details register</li> </ul>	Retain permanently	None

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Personnel Files	Current Employees	<ul style="list-style-type: none"> <li>Contact details</li> <li>Other personal details</li> <li>Recruitment, application and appointment records</li> <li>Job Descriptions</li> <li>Contract of employment (initial and updated)</li> <li>Leave allowances and requests</li> <li>Pay, pension, hours and grading arrangements</li> <li>Use of ESC benefits (excess fares, Cycle2Work, etc)</li> <li>References (incoming and outgoing)</li> <li>Medical assessments</li> <li>Disciplinary proceedings (founded)</li> <li>Parental leave records</li> <li>Performance management records</li> <li>Sickness absence forms and workings</li> <li>Leaving ESC (Resignation/Termination)</li> <li>Induction</li> <li>Training</li> <li>Declarations of interests and gifts &amp; hospitality</li> <li>DSE and H&amp;S assessments</li> </ul>	Move to Previous Employees folder	Last day of employment
		<ul style="list-style-type: none"> <li>Timesheets</li> </ul>	6 years	End of financial year
		<ul style="list-style-type: none"> <li>Disciplinary proceedings (unfounded)</li> </ul>	Until case closed	Upon case closure
		<ul style="list-style-type: none"> <li>Redundancy Agreements</li> <li>Settlement / Collective Agreements</li> </ul>	7 Years	Last day of employment
		Deletion Log – Personnel files	<ul style="list-style-type: none"> <li>Annual deletion logs</li> </ul>	Retain permanently
	ESC Sickness Absence Records	<ul style="list-style-type: none"> <li>Sickness Absence Registers – individual records</li> </ul>	7 years	End of financial year

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<ul style="list-style-type: none"> <li>Sickness Absence Registers – summaries</li> </ul>	Retain permanently	None
	HR Advice	<ul style="list-style-type: none"> <li>Workings</li> </ul>	2 years	End of financial year
		<ul style="list-style-type: none"> <li>Final advice notes</li> </ul>	Until superseded	When superseded transfer to archive folder
	Recruitment Exercises	<ul style="list-style-type: none"> <li>Application of successful applicant</li> </ul>	Move to Personnel File	On appointment
		<ul style="list-style-type: none"> <li>Applications of unsuccessful applicants</li> </ul>	1 year	Start-date of successful applicant
		<ul style="list-style-type: none"> <li>Unsuccessful applicants – retain details on file</li> </ul>	As agree with applicant	At end of agree period
	Previous Employees	<ul style="list-style-type: none"> <li>Personnel files</li> </ul>	7 years	Last day of employment
		<ul style="list-style-type: none"> <li>Parental Leave</li> </ul>	18 years	Birth of the child
		<ul style="list-style-type: none"> <li>DSE and H&amp;S assessments</li> </ul>	Retain permanently	None
		<ul style="list-style-type: none"> <li>Personnel files – pay and pension records</li> </ul>	Retain permanently	None
	Restructuring Exercises	<ul style="list-style-type: none"> <li>Material specific to employees</li> </ul>	Move to Personnel Folder	On conclusion of exercise
		<ul style="list-style-type: none"> <li>All remaining material</li> </ul>	7 years	On conclusion of exercise

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Content	Annual report / page	Webpages containing annual report and accounts. Original document held in SharePoint.	10 years	End of financial year
	Article	WEBPAGE TEMPLATE NOT CURRENTLY IN USE		
	Basic page	Webpage with standard content including policies and procedures. Original policies and procedures held in SharePoint. Standard page content held in backups with website host and NRS.	Over-written	When content updated.
	Basic page	Webpage with standard content including policies and procedures. Original policies and procedures held in SharePoint. Standard page content held in backups with website host and NRS.	Unpublish and delete within one year	When content no longer required.
	Book page	WEBPAGE TEMPLATE NOT CURRENTLY IN USE		
	Chart	Charts included in the annual report and accounts and other webpages.	Delete	In line with document / page it sits within.
	Complaints decision summary	Webpage containing public standards decision summaries. Original documents held in SharePoint. NOT CURRENTLY IN USE	Delete	When content no longer relevant.
	Good practice case study	Webpage containing public appointments good practice case studies. Original documents held in SharePoint.	Delete	When content no longer relevant.
	Publication	Webpage containing publications for download. Publication updated by replacing attachment on existing webpage. Original documents held in SharePoint,	Over-written	When publication updated.
	Publication	Webpage containing publications for download. Publication no longer required.	Unpublish and delete page within one year	When publication no longer required.
Team member	Webpage with profile of SMT members and PAAs. Original documents held in SharePoint.	Unpublish and delete page within one year	When SMT member / PAA leaves	

Level 1	Level 2	Description of Contents	Retention Period	Trigger
	Tender	Webpage summarising tender opportunity. Original documents held in SharePoint.	Unpublish and delete page in 3 months	When tender awarded.
	Vacancy	Webpage summarising ESC vacancy. Original documents held in SharePoint.	Unpublish and delete page in 3 months	When vacancy filled.
Users	ESC Users	Staff member user account giving access to amend ESC website	Delete	On last working day. (NB: Previous content is assigned to "Anonymous")
	External Users (complainers)	User account. (Currently blocked after two years, 7 months and never deleted – amend when decision on retaining user accounts made)	Blocked	Two years, seven months after last access.
	External Users (complainers)	Material associated with complaint.	Auto-deleted	Six months after submission

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Advisers	Annual Folders	<ul style="list-style-type: none"> <li>Appraisal documents</li> <li>Communication and networking event correspondence</li> <li>General correspondence</li> <li>Records relating to SLA agreements with PAAs</li> </ul>	5 years	End of financial year
	Adviser Allocation	<ul style="list-style-type: none"> <li>Allocation database desk instructions</li> </ul>	Until superseded	Replace when superseded
	Adviser Files	<ul style="list-style-type: none"> <li>PAA files – archive – contains key documents such as SLA, annual reviews and renewals, Declarations of Interest.</li> </ul>	7 years	End of financial year after leaving date
		<ul style="list-style-type: none"> <li>PAA files – current</li> </ul>	Transferred to archive; sensitive or special category data removed	At leaving date
		<ul style="list-style-type: none"> <li>Training register</li> <li>Legal advice</li> <li>Resource library</li> </ul>	Retain permanently	None
		<ul style="list-style-type: none"> <li>Contact details register</li> <li>Specialisms register</li> </ul>	Retain permanently	Content edited in line with PAA file movement
	Empty folders for records move	<ul style="list-style-type: none"> <li>Template folder structure</li> </ul>	Not records – records management tool	
	Tendering Processes	<ul style="list-style-type: none"> <li>Tenders for PAAs – dated folders</li> </ul>	7 years (if successful)	End of financial year contract awarded
			1 year (if unsuccessful)	End of financial year contract awarded
	Code of Practice	Code Folders	<ul style="list-style-type: none"> <li>Background/Drafts/Consultation/Distribution</li> </ul>	Lifespan of current Code (plus 2-year transition period)

Level 1	Level 2	Description of Contents	Retention Period	Trigger
Complaints Procedures	Archive Procedures	<ul style="list-style-type: none"> <li>• Previous versions of procedures for reference in Code Files.</li> </ul>	10 years	Publication of revised Code
	Complaint Handling Process	<ul style="list-style-type: none"> <li>• Procedures and templates</li> </ul>	Until superseded	Transfer to archive folder when superseded
	Investigations Process	<ul style="list-style-type: none"> <li>• Procedures and templates</li> </ul>	Until superseded	Transfer to archive folder when superseded
	Procedure development	<ul style="list-style-type: none"> <li>• Background, research, workings, correspondence and drafts</li> </ul>	2 years	Publication of revised procedures
Critical Documents	Subject Folders	<ul style="list-style-type: none"> <li>• Any document laid before parliament</li> <li>• Diversity strategy</li> <li>• Breach of compliance reports</li> <li>• Historic relationships with key stakeholders</li> <li>• Applicant survey</li> <li>• Commissioned research</li> </ul>	Retain permanently	None
Diversity	Diversity Delivers Strategy Folder	<ul style="list-style-type: none"> <li>• Background</li> <li>• Development materials</li> <li>• Drafts</li> <li>• Consultation and implementation guidance relating to any diversity strategy implemented during or relevant to the Code</li> </ul>	Lifespan of current strategy (plus 2 year transition period)	Publication of revised strategy
Examinations and Investigations		<ul style="list-style-type: none"> <li>• Live examinations and investigations – including final report, drafts, deliberations, evidence, correspondence, etc.</li> <li>• Draft versions of investigation reports</li> </ul>	Lifespan of investigation / examination taking place	Once final report issued to complainant / relevant government officials: <ul style="list-style-type: none"> <li>• Transfer final report to Critical Documents. Transfer key documents to NDPB file</li> <li>• Delete remaining items</li> </ul>
Guidance on the Code	Code Folders	<ul style="list-style-type: none"> <li>• Audits</li> <li>• Best practice - innovative ideas</li> <li>• General correspondence</li> <li>• General guidance</li> </ul>	Lifespan of current code (plus 2-year transition period)	2 years after publication of revised code

Level 1	Level 2	Description of Contents	Retention Period	Trigger
		<ul style="list-style-type: none"> <li>Handbook</li> <li>Statutory guidance</li> <li>Guidance provided by ESC to the Scottish Government</li> <li>Drafts (statutory guidance, general guidance, handbook etc)</li> </ul>		
	Empty folders for records move	<ul style="list-style-type: none"> <li>Template folder structure</li> </ul>	Not records – records management tool	
Monitoring of the Code	Code Folders	<ul style="list-style-type: none"> <li>Diversity initiatives</li> <li>Process initiatives</li> <li>Review forms</li> <li>Reappointments</li> <li>Statistics</li> <li>Training and events</li> <li>Work undertaken by the Scottish Government</li> </ul>	Lifespan of current code (plus 2-year transition period)	2 years after publication of revised code
	Empty folders for records move	<ul style="list-style-type: none"> <li>Template folder structure</li> </ul>	Not records – records management tool	
NDPBs	Code Folders	<ul style="list-style-type: none"> <li>All working documents relating to the body – identification that round pending</li> <li>Allocation of risk level and PAA if relevant</li> <li>Any queries, reports and feedback relevant to the round (including investigations and complaints)</li> <li>Abolished bodies or removed from remit</li> <li>NDPBs general</li> <li>Regulated bodies</li> <li>Unregulated bodies</li> </ul>	Lifespan of 3 Codes	Publication of revised Code
	Empty Folders for records move	<ul style="list-style-type: none"> <li>Template folder structure</li> </ul>	Not records – records management tool	
Scottish Government	Annual Folders	<ul style="list-style-type: none"> <li>Meetings</li> <li>Minister Correspondence</li> <li>PAT Correspondence</li> </ul>	5 years	End of financial year

Level 1	Level 2	Description of Contents	Retention Period	Trigger
	Empty folders for records move	<ul style="list-style-type: none"><li>• Template folder structure</li></ul>	Not records – record management tool	

Level 1	Description of Contents	Retention Period	Trigger
Forum	<ul style="list-style-type: none"> <li>• ESC regulation</li> <li>• General governance</li> <li>• Good practice links</li> <li>• Improvement projects</li> <li>• PAA toolkit</li> </ul>	Until superseded	Replace when document is superseded
Library	<ul style="list-style-type: none"> <li>• Terms of use for Knowledge Hub group</li> <li>• Service Level Agreements</li> <li>• Associated policies</li> <li>• PAA toolkit</li> </ul>	Until superseded	Replace when document is superseded
	<ul style="list-style-type: none"> <li>• End of Involvement Reports</li> </ul>	Duration of the Code version and for 4 years following the introduction of a new Code	2 years after the introduction of a new Code
Events	<ul style="list-style-type: none"> <li>• No material currently in this folder</li> </ul>	None	None
Members	<ul style="list-style-type: none"> <li>• Names and contact details of members of the ESC Public Appointments Advisor Knowledge Hub group</li> </ul>	Until superseded	Replace when document is superseded

Level 1	Description of Contents	Retention Period	Trigger
Archived	<ul style="list-style-type: none"> <li>Archived Access Databases</li> </ul>	Retain Permanently	None
Instructions	<ul style="list-style-type: none"> <li>Database instructions</li> </ul>	Retain Permanently	None
Testing	<ul style="list-style-type: none"> <li>Access Databases for testing</li> </ul>	Retain Permanently	None
Live Databases	<ul style="list-style-type: none"> <li>Standards decisions Access Databases</li> <li>Public appointments reports and enquiries</li> <li>PAA Projects Access Database (anonymised after 7 years)</li> </ul>	Retain Permanently	None

## File plan and retention schedule versions

Version	Description	Author	Date
1.0	Folder Structure	Business Manager	01/03/2014
2.0	Initial file plan and retention schedule	Business Manager	01/04/2015
3.0	Revised file plan and retention schedule	Business Manager	17/02/2017
4.0	Revised file plan and retention schedule	HCS	24/02/2022
5.0	Updated to reflect data migration from local files server to SharePoint and current folder structure	IMITO	26/05/2026

## File plan and retention schedule approval

This file plan and retention schedule was approved for use by:



Ian Bruce, Ethical Standards Commissioner

Date: 26/05/2026