Archives and Records Management

Retention Scheduling

General Schedules: GRDS 0090905

Introduction
Automatic Preservation Records
Standard Operating Procedure Records
Contractual Records
Financial Records
Personnel Records
Project Records
Appendices 1& 2

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These schedules are aimed at Records Officers, Heads of Departments/Divisions, senior staff, and other stakeholders.

'General' Retention and Disposal Schedules relate to documents having common functions in Departments, across the service.

'Specific' Schedules relate exclusively to the records created to support the function of individual departments/units and will be dealt with separately.

You are kindly requested to apply the Schedules diligently

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Chief Records Management Officer
Deputy Governor's Officer.
9th September, 2005

Archives and Records Management

Retention/Disposal Scheduling GRDS 0090905

Introduction

1. Summary

Retention and Disposal scheduling is an important aspect of establishing and maintaining control of Government or corporate information and record sources. Every day the British Virgin Islands Government conducts business that affects all BVI citizens and others; and in so doing records and keeps information about its actions. However, not all information can be retained indefinitely.

Retention scheduling creates a disposal authority for Government records. It schedules how long records should be kept in the Office, which created them; and indicates when they should be sent to:

a. The Records Centre
b. The National Archives, or
c. Destruction

This scheduling observes existing statutory and agreed policies governing how long records can be kept. The Freedom of Information Act when it is enacted will impose new and more stringent duties on public authorities as regards proper management of personal data and records. Best practice Records Management will in the future rely more heavily on the vigorous application of retention schedules.

2. Aim and Purpose

a. This guidance establishes a standard mode of operation for dealing with the retention and disposal of official records across the Government Service.

b. It aims to prevent the ad hoc disposal of records and to ensure that the final destiny of records is in accordance with agreed policies and schedules formulated to implement them.

3. Scope

a. Retention Scheduling deals with General and Specific Schedules. General Schedules cover documents having functions common to all or most Government departments, such as Finance, Personnel, Contracts, and Projects etc. Specific Schedules cover the unique business functions of a department or an agency.

b. General Schedules provided in this guidance cover records dealing with Contracts, Finance, Personnel, and Projects. They also deal with Automatic Preservation Records, to be preserved automatically and Standard Operating Procedure (SOP) records, which do not have to be kept at all. The guide is primarily intended for application by public officials including Records Officers/Managers and others with responsibility for official records across the Service. Continuous revision will accommodate change affecting the schedules, whether statutory, technological or otherwise.

c. The Schedules cover records in all formats, including traditional paper, audio/visual and electronic records.

4. Definition and Terminology

This guideline prefers the term "retention" to "disposal" although 'disposal' is more consistent with archival practice in the professional literature and electronic environment. Disposal has ambiguous overtones, which may cause confusion.

ARM: Archives and Records Management

Automatic Preservation Records: Records, which are to be preserved automatically.

Disposal: In this context does not just mean destruction: it embraces any action taken [or to be taken] to determine the destiny of records including transfer to the Records Centre, to a permanent Archives or to destruction.

Disposition: Sometimes used instead of 'disposal'.

Record: Information in any form, whether printed or on tape or film or electronic, created and received by any Government Office.

Review: To look at again at a later date, when it is hoped to determine the final disposal. 'First review' is carried out in the Office not later than 5 years after files become inactive. 'Second review'- 25 years from the creation of record, usually carried out in the Records Centre.

Retention: The length of time for which records are to be kept; expressed in years.

Schedules: Group categories of records to be kept according to the particular rule contained in that schedule. A retention schedule is a period of time plus an action to be taken at the end of that period.

Schedules (General): These cover documents having functions common to all or most Government departments, such as Finance, Personnel, Contracts, and Projects etc.

Schedules (Specific): Cover the unique business functions of a particular department or an agency.

Standard Operating Procedures (SOPs): Records which do not have to be kept at all; could be destroyed in every day routine.

5. Disposal authorisation

a. Departments will sentence records against approved disposal schedules and document the final disposition of all its records.

b. Departments will prepare proposals for records disposal by filling in the appropriate form(s) attached as: Appendix 1 - **Records Centre Transfer List** and Appendix 2 - **Proposal to Destroy Scheduled Records.** Forms should be directed to the Records Management Unit for approval. Copies of approvals are to be maintained in the Department. Further detailed instructions will appear on the forms.

c. Departments will undertake the authorised destruction of records in a secured way- either by shredding or incineration.

6. Acknowledgement.

These Schedules were formulated using a combination of authority and resources, namely, Executive Council's endorsement (Action Plan, 2004) and ARM policy, 2005); the Retention/Disposal Scheduling ad hoc Committee; Permanent Secretaries and Heads of Departments; and in accordance with the International Standard for Records Management ISO 15489.

For further information please contact:

Chief Records Management Officer
Archives and Records Management Unit
Deputy Governor's Office
Telephone 494 3701 Ext 2365/Fax 468-2582

Retention/Disposal Scheduling

APR 1/05. Automatic Preservation Records

The following categories of records must be preserved:

a. Annual and other departmental reports;
b. Papers relating to the preparation of departmental legislation
c. Papers cited in, or noted as consulted in the preparation of official histories
d. Records, which must be permanently preserved by statute
e. Personnel records

SOP 1/05. Standard Operating Procedure

There are some records that do not need to be kept at all. Standard Operating Procedure defines types of records, which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule will still contain reference and instructions referring to them. SOP (Standard Operating Procedure) usually applies to information that is duplicated, unimportant or only of short-term facilitative value. Unimportant records or information include:

a. 'With compliments' slips
b. Catalogues and trade journals
c. Telephone message slips
d. Non-acceptance of invitations
e. Trivial electronic mail messages or notes that are not related to agency business
f. Requests for stock information such as maps, plans or advertising material
g. Out-of-date distribution lists
h. Working papers, which lead to a final report

Duplicated and superseded material such as stationery, manuals, drafts forms and address books may be destroyed under Standard Operating Procedure (SOP). Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered. Standard Operating Procedure should not be applied to records or information that can be used as evidence- to prove that something happened. If you are in doubt about what information is required consult the Chief Records Management Officer, Archivist or the Attorney General's Office.

General Retention / Disposal Schedules -GRDS 009905A

CON 1/05 Contractual Records Retention Schedules

Ref. No.	Type of Record	Retention Period	Action to be taken
1	**Policy matters** Policy on contracts, normally contained in a separate registered file series	First and second review (25 years)	To Records Centre
2	Initial Proposal	6 years	First Review
3	List of approved suppliers	An active document-updated regularly	Destroy out-dated ones
4	Statement of interest	1 year from date of last paper	Destroy
5	Draft specification	When specification has been agreed	Destroy
6	Agreement specification	6 years from end of contract	To Records Centre
7	Evaluation criteria	6 years from end of contract	To Records Centre
8	Invitation to tender	6 years from end of contract	To Records Centre
9	Tendering - unsuccessful tender documents	1 year from date of last paper	Destroy
10	Successful tender document	6 years from end of contract	To Records Centre
11	Background information supplied by department	1 year for date of last paper	First Review
12	Interview panel-report and notes of proceedings	1 year from end of contract	First Review
13	Commissioning letter	1 year for date of last paper	To Records Centre
14	Signed Contract	6 years from end of contract	To Records Centre

CON 1/05

15	Contract operation and monitoring Reports from Contracts	2 years from end of contract	To Records Centre First Review
16	Schedules of works	2 years from end of contract	First Review
17	Bills of quantity (building contracts)	16 years	To Records Centre
18	Surveys and inspections a. equipments and supplies b. buildings	2 years from date of last paper Second Review	First Review To Records Centre
19	Records of complaints	6 years from end of contract	To Records Centre
20	Disputes over payment	6 years from end of contract	To Records Centre
21	Final accounts	6 years from end of contract	To Records Centre
22	Minutes and papers of meeting	Second Review	To Records Centre
23	Amendments of Contract -changes to requirements	6 years from end of contract	To Records Centre
24	Forms of variation	6 years from end of contract	To Records Centre
25	Extensions to contract	6 years from end of contract	To Records Centre

Abbreviations:

KIOF-Keep in Office For
FPDF-Fill in Proposal to Destroy Scheduled Records Form

General Retention/ Disposal Schedules – GRDS 009905A

FIN 1/05 Financial Records

Ref. No.	Type of Record	Retention Period (KIOF)	Action To Be Taken
1	Public Expenditure/Surveys including- Departmental Report; consolidated reports; financial statements; financial positions; operating statements	10 years	To Archives
2	Public Expenditure Survey Committee paper	7 years	Records Centre
3	Supply Estimates documentation	10 years	Destroy (FPDF)
4	Appropriation Accounts documentation	10 years	To Archivist
5	Running Tally forms	5 years	Destroy (FPDF)
6	Annual Budget	10 years	To Archives
7	a. Principal Ledgers - cash register -.journal b. Abstract, subsidiary journals, checks, receipt forms or counter foils c. Loan registers, trust fund registers (after closing the account)	 20 years 7 years 7 years	 Destroy (FPDF) Destroy (FPDF) Destroy (FPDF)
8	Payment instruments and subsidiary records (vouchers)	7 years	Destroy (FPDF)
9	Special ledgers and records (saving bank records)	20 years	Destroy (FPDF)
10	Provisional Payments List	2 years	Destroy (FPDF)
11	Revoked Payable Order	2 years	Destroy (FPDF)
12	Bank Statements Record of cheque opened books Reconciliation files/sheets Other Ledgers (contract, cost, purchases)	7 years 7 years 7 years	 Destroy (FPDF) Destroy (FPDF) Destroy (FPDF)
13	Lodgement Records Fee receipts tally rolls	 7 years	 Destroy (FPDF)

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14	Refund of overpaid: Batches of input document All other records	 3 years 7 years	 Destroy (FPDF) Destroy (FPDF)
15	Receivable order documentation	7 years	Destroy (FPDF)
16	Credit Account document	7 years	Destroy (FPDF)
17	Return cheque records	3 years from date on which Debt cleared	Destroy (FPDF)
18	GIRO reconciliation records	7 years	Destroy (FPDF)
19	Cleared GIRO cheques	7 years	Destroy (FPDF)
20	Write-off documentation	7 years	Destroy (FPDF)
21	Losses Register	7 years	Destroy (FPDF)

Abbreviations:

KIOF-Keep in Office For
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N.B. According to the current Financial Instructions # 164 please note that a list of records destroyed, with period, date of destruction and eye witnesses must be kept on file.

General Retention/Disposal Schedules - GRDS 009905A

PER 1/05 Personnel Records Retention Schedule

Ref. No.	Type of Record	Retention Period (KIOF)	Action to be taken
1	Personal Staff files - Permanent Staff	85 years from date of birth or 5 years after death which ever is later	To Archives
2	Personal Staff file - Casual Staff	5 years after leaving or 5 years after death. Record card retained 85 years from date of birth.	To Archives
3	Annual Reports		To Archives
4	Reports - Promotion Boards	10 years	To Records Centre
5	Recruitment Adverts, Applications; Reference reports; Interview Reports; Unsuccessful application	1 year	Destroy (FPDF)
6	Attendance Records	5 years	First Review
7	Annual and Special Leave forms and Papers	5 years	First Review
8	Organisation; grading; complementing; conditions of service; staff instructions and procedure	Retain for Second Review	To Records Centre
9	Accidents on duty	As in 1	To Archives
10	Allowances –subsistence removal and other payment	5 years	First Review
11	Employment and Industrial Relations Minor & routine matters		To Archives Destroy 2 yrs after Administrative use
12	Equal Employment Opportunities	5 years	Destroy (FPDF)

Abbreviations:

KIOF-Keep in Office For
FPDF-Fill in Proposal to Destroy Scheduled Records Form

General Retention / Disposal Schedules- GRDS 009905A

PRO 1/05 Project Records Retention Schedule

Ref. No.	**Type of Record**	Retention Period (KIOF)	**Action to be taken**
1	Project -approved -rejected or deferred	 10 years after COP 5 years after COP	 To Records Centre Destroy
2	Project Initiation Document (PID) and supporting documentation (including business cases	10 years after COP	To Record Centre
3	Feasibility studies -reports -draft reports -working reports -correspondence	 10 years 2 years 2 years 5 years	 To Record Centre Destroy First Review First Review
4	Plans and Specifications (statements of requirements, operational requirements, technical plans, resources plans, etc) provisional/proposed final variations	 5 years after COP 10 years after COP 10 years after COP	 First Review To Records Centre To Records Centre

Abbreviations:

COP- Completion of Project
KIOF-Keep in Office For
FPDF – Fill in Proposal to Destroy Scheduled Records Form

5	Contracts and Agreements -Contracts under seal -Other contracts -Title deeds -Correspondence	**See** Retention Scheduling: Contractual Records	Title deeds are not public records but might be retained for administrative purposes.
6	Contractors -approved nominations -rejected nominations -approved list -removals/suspensions	 1 year after issue 1year after issue When new list is issued 6 years after the c.o.p	 Destroy (FPDF) Destroy (FPDF) To Record Centre To Record Centre
7	Tender Boards -Record set of papers -Other copies -Working papers -Minutes of meetings	At the end of the Project 1 year after date of last paper 2 years after date of last paper 5 years after date of last paper	 To Records Centre
8	Maps, plans drawings and photographs -Master set -Working copies -Other copies	 10 years after completion of project At the end of the project 5 years	 Records relating to major projects may be kept for Second Review (25 years)
9	Financial documents (including investment appraisals)	7 years after the end of the project	**See also** Retention Scheduling: Accounting Records
10	Equipment and Supplies	7 years after the end of the project	Destroy (FPDF)

Abbreviations:

FPDF: Fill In Proposal to Destroy Scheduled Records Form

11	Land records -allocation -procurement/disposal	When land is released for other purposes 12 years after date of disposal	To Records Centre
12	Human Resources	**See** Retention Scheduling: Personnel Records	Original should be with Personnel Departments
13	Health and Safety Records	**See** Retention Scheduling: Health and Safety Records	
14	Project boards, Assessment Meetings -Minutes -Correspondence	5 years after date of last paper 5 years after date of last paper	Records relating to major projects may be kept for Second Review (25 years)
15	Reports (stage assessments, quality reviews, highlight reports charts etc) -interim -final -evaluation -draft	5 years after issue Keep for s Second Review Keep for Second Review At the end of the project	First Review To Records Centre To Records Centre Destroy (FPDF)
16	Project descriptions	5 years after the end of the project	First Review
17	Project operating manuals	5 years after the end of the project	First Review
18	Miscellaneous records such as: Copies of documentation from other projects; information on products, equipment, machinery, etc; training courses, correspondence	2 years after the end of the project	First Review

Abbreviations:

FPDF: Fill in Proposal to Destroy Scheduled Records Form

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Appendix 1

Records Centre Transfer List Form

(To be filled in quadruplicate)

Ministry/Department_____ Code_____

Unit _____ Consignment No _____

Records Office_____

*Action Category(destroy, review ,permanent)

_____

* *For CRMO/ Records Centre use*

Box No.	**Title/Description of Records**	**Ref Nos.**	**Covering Dates**	**Action Date**	***Records Centre Loc. No.**

Appendix 2

Proposal to Destroy Scheduled Records

(To be submitted in duplicate)

From: Records Office

To: CRMO/Head of Records Centre/ Archivist

Agency/Unit_____

_____

Records Office Code _____

Date: _____

Please, may we have your authority to destroy the records listed below, which are now scheduled as due for destruction?

Schedule Number	**Title of Series**	**Covering Dates**	**Number of files/items**

Destruction is hereby authorised.

Signed_____Date_____

CRMO/Head of Records Centre /Archivist

Appendix 1

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