



File List



Use this form to compile information about your records.

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Agency Name:

Tax Information Authority

Form completed by (name & position):

Iain Blackwell (Assistant Director)

Date of completion:

16 August 2008 (updated February 2012)

Responsible Unit	File Code	File Title	Description	Document Types	Date Range	Location
TIA	maps to SM ITM COMM	Planning	TIA Planning	Correspondence	1) 02/01/09 to present	1(Drawer 1)
TIA	maps to TIL ITM FM HR	Policies	Government & TIA policies	Official policies, correspondence	1) 02/01/09 to present	1(1)
TIA	maps to TIL ITM FM HR	Procedures	Government & TIA procedures	Official procedures, correspondence	1) 02/01/09 to present	1(1)
TIA	maps to ITM FM HR	C.I. Gov't Circulars, Directives & Advisories	Administrative circulars, directives & advisories	Correspondence	1) 02/01/09 to present	1(1)

Responsible Unit	File Code	File Title	Description	Document Types	Date Range	Location
TIA	maps to all reference codes	Records Management (Disposal)	Disposal Schedule, correspondence ** Includes sensitive & confidential info	Schedules, correspondence	1) 02/01/09 to present	1(1)
TIA	maps to ITM	Records Management	Correspondence with CINA, documentation about surveys and RM tools. ** Includes sensitive info	Emails, forms	1) 16/08/06 to 27/08/08 2) 19/11/08 to present	1(1)
TIA	maps to FM/REP/04	Invoices and Reports	Invoices Reports	Invoices (to Cabinet, for allocations); financial reports to Portfolio (monthly, quarterly, annual); workings, etc.	1) 2005/2006 2) 2006/2007 3) 2007/2008 4) 2008/2009 5) 2009/2010 6) 2010/2011 7) 2011/2012	1(1)
TIA	maps to FM/BUD/02	Budget	Budget preparation and implementation (ongoing); asset listings	Budget docs; correspondence; asset lists	1) 2005/06 2) 2006/07 3) 2007/08 4) 2008/09 (26/09/07 to 09/02/09 - includes asset audit) 5) 2008/09 (opened 10/02/09) 6) 2009/10 (opened 24/10/08) 7) 2010/11 (opened 02/10/09) 8) 2011/12	1(1)
TIA	maps to FM/ACC/01	Expenditure and Invoices	Accounts Payable - purchasing and bills [Originals held by Portfolio - PFE completed IRIS etc]	Copies of invoices originals held by Portfolio	1) 2005/2006 2) 2006/2007 3) 2007/2008 4) 2007/08 & 2008/09 5) 2008/09 (opened 28/11/08) 6) 2009/10 7) 2010/11 8) 2011/12	1(1)

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TIA	maps to FM/ACC/01	Travel	Departmental travel	Purchase orders, copies of invoices and correspondence	1) 2011 to present	1(1)
TIA	maps to BEV COM FM HR ITM SM Includes some operational documents	General File	Purchase invoices (copy); old service level agreements (Computer Services, Portfolio of Civil Service); FedEx and courier services; Govt continuity plan; strategic / corporate planning docs; requests for business cards; training registrations; emergency evacuation and fire procedures ** Includes sensitive & confidential info: (e.g. passwords; keys for CITRIX)		1) 31/08/05 to 30/06/07	1(1)
TIA		General File (cont'd)	Civil Service College info; HR Audit ** Includes sensitive & confidential info		2) 06/08/07 to 04/07/08	1(1)
TIA		General File (cont'd)	Admin circulars; loan of computer equipment; corresp with Cable & Wireless re purchase of supersets; request for insurance (contents, fit-out) to Portfolio; Computer Services procurement requests; Central Tenders Committee circulars/info; Asset Register list; quotes for equip; inventory; circular on amendments to Financial Regulations ** Includes sensitive & confidential info		3) 01/08/08 to 16/10/08 ** Series discontinued	1(1)
TIA	maps to BEV FM	Office Premises	Office fit-out at Elizabethan Square - planning; materials; furniture; carpet; paints; layout diagrams (schematics); Govt Office Accom Project; lease agreement; office inventory; insurance; Fixed Asset Register.	Quotations; memos; correspondence; invoice copies; work orders (cleaner)	1) 01/09/02 to 30/11/06 2) 08/12/06 to 02/12/08 ** Series discontinued	1(1)

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TIA	maps to BEV FM	Office Equipment, Supplies, Fixtures & Maintenance	Office equipment, inventory, insurance, assets & maintenance records.	Quotations; memos; correspondence; work orders (cleaner)	1) 04/12/08 to present	1(1)
TIA	maps to FM	Service Level Agreements (Inter-Government)	Service level agreements (SLA's) (between TIA and Computer Services Department, Portfolio of Civil Service, Portfolio of Finance & Economics, Landlord & Telephone company) Note: Landlord & Telephone arrangements controlled by Department of Lands & Survey	Correspondence & signed SLA documents	1) 18/09/08 to present	1(1)
TIA	maps to FM	Contracts & Service Level Agreements (Private Sector)	Service level agreements (SLA's) (between TIA and cleaning company, etc.)	Correspondence & signed contracts, SLA documents	1) 05/12/08 to present	1(1)
TIA	maps to ITM	Website	Design and layout of TIA website	Correspondence; quotations; system design docs; research	1) 12/09/05 to 30/06/08 2) 01/07/08 to 30/11/09 3) 01/12/09 to present	1(1)
TIA	maps to ITM	ROSII - e-Reporting [Reporting on Savings Interest Information (Europe) also known as Savings Tax Directive]	Developing software for e-reporting on European Union Savings Income ** Includes sensitive & confidential info: 3rd party design (copyright) & Financial Institution references.	Correspondence with software companies & CSD; proposal docs; quotations; plans; diagrams; system design docs	1) 01/08/07 to 28/04/08 2) 21/05/08 to 28/11/08 3) 29/11/08 to present	1(1)
TIA		ROSII - Law & Regulations	Reporting of Savings Income Information Law and Regulations	Legal Documents	Current	2(1)
TIA		ROSII - Procedures	Reporting of Savings Income Information regulations		1) 23/04/09 to present	2(1)

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TIA		ROSII - Guidance Notes	Guidance on reporting EU Savings Directive notes and TIA notes for institutions; general correspondence relating to guidance notes		1) 13/07/05 to 08/12/06	2(1)
TIA		ROSII - Presentations and Training	To/for financial industry	Materials; correspondence	1) 22/03/06 to present	2(1)
TIA		ROSII - CIRCA	Re Cayman Islands information to be updated & published on the Europa website (e.g. law updates)	Correspondence	1) 14/06/11 to present	2(1)
TIA		ROSII - General Correspondence	HM Treasury UK and EU CI Govt (e.g. Financial Secretary) ** Includes sensitive & confidential info	Correspondence	1) 30/06/05 to 31/12/06 2) 01/01/07 to 28/04/08 3) 29/04/08 to 10/11/08 ** Series discontinued	2(1)
TIA		ROSII - Correspondence (Gov't: Local & Overseas)	HM Treasury UK and EU CI Govt (Financial Secretary) ** Includes sensitive & confidential info		1) 05/12/08 to present	2(1)
TIA		ROSII - Correspondence (Financial Institutions & Public)	Queries from financial institutions and the general public re ROSII (Reporting on Savings - EU) Note: TIA does not provide legal advice ** Includes sensitive & confidential info	Correspondence	1) 03/12/08 to present	2(1)
TIA		ROSII - Tax Residency Certificates	Requests and supporting docs (copies); correspondence with Immigration; copies of Tax Residency Certificates (TRC's) ** Includes sensitive & confidential info (e.g. personal details of applicants)		1) 19/09/05 to 28/04/08 2) 16/07/08 to 19/02/09 3) 20/02/09 to 30/04/10 4) 01/05/10 to 31/12/10 5) 01/01/11 to 14/12/11 6) 15/12/11 to present	2(1)

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TIA		ROSII - Reporting Notifications	Correspondence with insitutions re: their reporting obligations ** Confidential info		1) 05/01/05 to 31/05/07 2) 01/12/08 to present	2(1)
TIA		ROSII - Savings Income Reports 2005	Correspondence with institutions during the reporting period and literature sent with the reports; breakdown of SIR table (reporting statistics on reports received by TIA) ** Includes sensitive & confidential info		1) 17/02/06 to 18/12/06 ** Series discontinued	2(1)
TIA		ROSII - Savings Income Reports 2006	Correspondence with institutions during the reporting period and literature sent with the reports; breakdown of SIR table (reporting statistics on reports received by TIA) ** Includes sensitive & confidential info		1) 30/11/06 to 31/05/07 2) 01/06/07 to 29/06/07 3) 30/06/07 to 01/08/07 ** Series discontinued	2(1)
TIA		ROSII - Savings Income Reports 2007	Correspondence with institutions during the reporting period and literature sent with the reports; breakdown of SIR table (reporting statistics on reports received by TIA) ** Includes sensitive or confidential info		1) 30/11/07 to 30/05/08 2) 30/05/08 to 30/06/08 3) 01/07/08 to 08/08/08 ** Series discontinued	2(1)
TIA		ROSII - Savings Income Reports 2008	Correspondence with institutions during the reporting period and literature sent with the reports; breakdown of SIR table (reporting statistics on reports received by TIA) ** Includes sensitive or confidential info		1) 21/07/08 to 06/01/10 2) July '09 to July '09 (Reports & Stats File) ** Series discontinued	2(1)

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TIA		ROSII - Savings Income Reports 2009	Correspondence with institutions during the reporting period and literature sent with the reports; breakdown of SIR table (reporting statistics on reports received by TIA) ** Includes sensitive & confidential info		1) 01/01/10 to 10/09/10 2) July '10 to July '10 (Reports & Stats File) ** Series discontinued	2(1)
TIA		ROSII - Savings Income Reports 2010	Correspondence with institutions during the reporting period and literature sent with the reports; breakdown of SIR table (reporting statistics on reports received by TIA) ** Includes sensitive & confidential info		1) 01/01/11 to 06/09/11 2) July '11 to July '11 (Reports & Stats File) ** Series discontinued	2(1)
TIA		ROSII - Resource Documents	Research docs; reference material; press releases; laws; published materials (volume 3 includes draft guidance notes) ** Information in public domain		1) 2005 2) 2006 to 2007 3) 2008 4) 2009 to 2010	4(2)
TIA		Savings Income Reports - Non EU Member States	Copies of docs provided during 2005 reporting period (removed from main Reports: not EU member state residents) ** Confidential info		2005 (reported in 2006)	3(4)
TIA		Savings Income Reports 2005	Filed by insitution, then by country ** Confidential info		2005 (reported in 2006) ** 15 files in series	3(4)
TIA		Savings Income Reports 2006	Filed by insitution, then by country ** Confidential info		2006 (reported in 2007) ** 60 files in series	3(3)
TIA		Savings Income Reports 2007	Filed by insitution, then by country ** Confidential info		2007 (reported in 2008) ** 61 files in series	3(2)

Responsible Unit	File Code	File Title	Description	Document Types	Date Range	Location
TIA		Savings Income Reports 2008	Filed by insitution, then by country ** Confidential info		2008 (reported in 2009) ** 53 files in series	3(1)
TIA		Savings Income Reports 2009	Filed by insitution, then by country ** Confidential info		2009 (reported in 2010) ** 30 files in series	4(4)
TIA		Savings Income Reports 2010	Filed by insitution, then by country ** Confidential info		2010 (reported in 2011) ** 30 files in series	4(4)
TIA		Savings Income Reports 2011	Filed by insitution, then by country ** Confidential info		2011 (reported in 2012) ** xx files in series (series currently open)	4(4)
TIA		TIA Law - Law & Regulations	Tax Information Authority Law and Regulations	Legal Documents Incl. Guide to TIA Law v1.0	Current	2(2)
TIA		TIA Law - Revision of TIA Law, 2005	Correspondence within Portfolio of Finance & Economics (PFE); Cabinet advice ** Includes sensitive & confidential info	Correspondence	1) 12/09/08 to 15/09/09	2(2)
TIA		TIA Law - Regulations (Drafting)	Drafting Regulations under s.18; correspondence with Legislative Drafting and Chief Secretary's Office		1) 27/07/05 to 29/05/06	2(2)
TIA		TIA Law - Procedures	Tax Information Authority regulations		1) 23/04/09 to present	2(2)
TIA		TIA Law - Grand Court Forms	Drafting of forms for TIA requests to the Grand Court (to have docs released / order to give testimony); corresp with Chief Justice ** Includes sensitive & confidential info		1) 06/06/05 to 19/08/08	2(2)

Responsible Unit	File Code	File Title	Description	Document Types	Date Range	Location
TIA		TIA Law - General Correspondence	OECD; Attorney-General; general public - regarding drafting, interpretation and operation of the law. Final forms for requests (see above); international press releases; meetings; arrangements; corresp with PR unit ** Includes sensitive & confidential info		1) 29/04/05 to 30/04/07 2) 01/05/07 to 28/07/08 3) 29/07/08 to 14/11/08 ** Series discontinued	2(2)
TIA		TIA Law - Correspondence (Gov't)	Overseas Competent Authorities CI Govt (e.g. Financial Secretary) ** Includes sensitive & confidential info	Correspondence	1) 05/12/08 to 31/03/09 2) 01/04/09 to 31/07/09 3) 01/08/09 to present	2(2)
TIA		TIA Law - Correspondence (Inter-Gov't: Cayman Islands)	Internal CI Govt correspondence re TIA Laws, regs & Agreements ** Includes sensitive & confidential info	Correspondence	1) 28/12/11 to present	2(2)
TIA		TIA Law - Correspondence (Non-Gov't)	Queries from financial institutions and the general public re TIA Law (Documents not related to official TIA Law Requests) Note: TIA does not provide legal advice. ** Includes sensitive & confidential info	Correspondence	1) 05/12/08 to present	2(2)
TIA		TIA Law - Competent Authority Agreement - USA	Correspondence with IRS / Dept of Treasury, Fin. Secretary regarding Tax Info Exchange Agreement ** Confidential info (International / inter-Govt agreements)		1) 22/07/05 to 30/11/06 2) 01/12/06 to 20/12/06	2(2)
TIA		TIA Law - Unilateral Mechanism: Country Operating Procedures	Scheduled countries individual Operating Procedures ** Confidential info (International / inter-Govt agreements)		1) 11/05/09 to present	2(2)

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TIA		TIA Law - Tax Information Exchange Agreements/Arrangements	Tax Information Exchange Agreements/Arrangements between Competent Authorities ** Contains confidential info	Legal Documents	* 2001 (U.S.A.) * 2009 to Present (all other countries)	2(2)
TIA		TIA Requests	Counterpart requests for information; copies of formal docs and emails etc Affidavits from institutions that are served; service from TIA office; receipt of service of notice; notice to produce docs; official correspondence with institutions and US counterpart. "PD": Documents produced by parties served. ** Confidential info (including request identification codes & number of requests)	Correspondence ("C") Formal documents ("FD") Production documents ("PD")	2006 to present (multiple files) ** File series names redacted	2(4) - 2006 to 2008 2(3) - 2009 to Present
TIA		TIA Law - Resource Documents	Research docs; reference material; agreements of other jurisdictions (published); published materials ** Information in public domain		1) 2005 2) 2006 to 2007 3) 2008 4) 2009 5) 2010 5) 2011	4(2)
TIA		TIA Law - OECD Documents	OECD produced documents: Competent Authority List; Global Forum on Transparency & Exchange of Info; Agreement on Exchange of Info; Implementation of Exchange of Info; Promoting Transparency & Exchange of Info. ** Includes sensitive & confidential info		1) 01/12/04 to present	4(2)

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TIA		TIA Law - Peer Review Group (GTEI)	Global Forum on Transparency and Exchange of Information for Tax Purposes produced documents: ** File contains confidential information		1) 01/12/09 to present	4(2)
TIA		News Releases and US Reports	Published reference materials; Public Relations Unit (PRU) and US media releases ** Information in public domain		2006 to present	4(2)
TIA	maps to SM	Portfolio and HoDs Meetings	Notices, minutes, agenda, correspondence (originals issued by portfolio)		27/09/05 to present	Director's Office
TIA	maps to HR/STA/01	Employee Personnel Records	Staff HR ** Includes sensitive & confidential info		1) Nicol 2005 to present 2) Blackwell 2006 to present 3) Carter 2011 to present	Director's Office
TIA	maps to HR/PER/01	Performance Agreements	Draft agreements - final versions kept in Director's office		1) Jul 2005 to Jun 2007 2) Jul 2007 to Jun 2009 3) Jul 2009 to present	Director's Office
TIA	maps to HR/REC/02	TIA - Recruitment	Staff HR files ** Includes sensitive & confidential info	Job descriptions; salary ranges; interview notes; applications (successful and unsuccessful)	1) 31/01/06 to 14/06/06	Director's Office
TIA	maps to HR/REC/02	TIA - Staffing	Staff HR files ** Includes sensitive & confidential info	Advertising; Job descriptions; salary ranges; interview notes; applications (successful and unsuccessful)	1) Dec 2009 to present	Director's Office

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TIA	maps to ITM	Freedom of Information	Correspondence with FOI unit, and other documents supporting preparations for FOI	Emails, forms	1) May 2007 to 10/03/08 2) 11/03/08 to 23/09/08 3) 24/09/08 to 28/11/08 4) 29/11/08 to 03/03/09 5) 04/03/09 to present	4(1)
TIA	maps to ITM	FOI Requests (Training Scenarios)	Freedom of Information request files containing correspondence and related documents. (Test scenarios)	Correspondence and production documents	1) FOI/5697 - 3 Nov '08 2) FOI/7514 - 3 Nov '08 3) FOI/8675 - 4 Dec '08 ** Series discontinued	4(1)
TIA	maps to ITM	FOI Requests	Freedom of Information request files containing correspondence and related documents.	Correspondence and production documents	1) FOI/27696 - 31 Aug '09 2) FOI/37110 - 16 Sept '10 3) FOI/44836 - 11 Nov '11 4) FOI/46126 - 5 Dec '11	4(1)
TIA	maps to ITM	Queries (Re FOI Requests) from Gov't Departments	Correspondence with CI Government Departments relating to FOI requests that may relate to the Tax Information Authority.	Correspondence	1) 20/03/09 to present	4(1)
TIA	maps to ITM	Queries (Classified as Non-FOI Requests)	Requests & Queries that were treated as non-FOI.	Correspondence and production documents	1) 07/12/11 to present	4(1)