



# **DOCUMENT RETENTION POLICY**

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# DOCUMENT RETENTION POLICY

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## **1. INTRODUCTION**

- 1.1 Uttlesford District Council recognises that its records are an important public asset and are a key resource to accountability and effective operation. They require careful management and this Policy sets out the Council's responsibilities and activities in regard to the management and retention of its records.
- 1.2 In the course of carrying out its functions and activities, the Council collects information from individuals and external organisations and generates a wide range of data and information. This can be retained as hard copies or in electronic form.
- 1.3 Retention of specific documents may be necessary to fulfil statutory or other regulatory requirements, evidence events in the case of a dispute and preserve documents of historic and other value.
- 1.4 The untimely destruction of documents could cause the Council to face difficulties in defending litigious claims, meet operational requirements or fail to comply with the Freedom of Information or Data Protection legislation.
- 1.5 Conversely, the permanent retention of data and information is unfeasible and appropriate disposal is necessary to allow for adequate storage space and compliance with Data Protection legislation.
- 1.6 The effective management of records in all formats depends as much on their efficient disposal as well as their long-term preservation. As a Local Authority we must be consistent in the way we handle and dispose of our information. These guidelines will assist the Council in meeting local needs whilst providing a consistent approach to record keeping across the organisation.

## **2. SCOPE AND PURPOSE**

- 2.1 The purpose of this policy is to provide a corporate framework to govern how particular documents (or sets of documents) should be:
  - Retained – and if so, in what format, and for what period of time; or
  - Disposed of – and if so, when and by what method.

Additionally this policy seeks to clarify the roles and responsibilities of designated officers in the decision-making process.

2.2 This policy is not concerned with the retention / disposal of unused materials (e.g. stocks of paper; unused forms; duplicated documents).

### 3. THE RETENTION / DISPOSAL PROTOCOL

3.1 Any decision whether to retain or dispose of a document should be taken in accordance with the retention/disposal protocol. This protocol consists of:

- The **key retention / disposal considerations** criteria checklist (see Appendix 1). No document should be disposed of unless all these have been considered in relation to the document.
- The **Retention Schedules** (see Appendix 2). These provide guidance on recommended and mandatory minimum retention periods for specific classes of documents/records.

### 4. ROLES AND RESPONSIBILITIES

4.1 Responsibility for determining (in accordance with the Retention / Disposal checklist and schedule) whether to retain or dispose of specific documents rests with the Head of Service. Heads of Services are expected to be proactive in carrying out or instigating audits of existing documentation that may be suitable for disposal. This includes the use of staff within their service of:

- the service's own drive(s) (e.g. R:\drive)
- the staff personal drives (Y:\drive) and
- the Council's shared drive (K:\drive). Heads of Service are responsible for ensure that the staff use of the Council's shared drive (K:\drive) is restricted.

4.2 Legal Services can advise on whether minimum retention periods are prescribed by law. However, they cannot be expected to possess the operational or background knowledge required to assess whether a particular document may be required by the department concerned for operational need. This is the responsibility of the relevant Head of Service.

### 5. DISPOSAL

5.1 Disposal can be achieved by a range of processes:

- Binning;

- Recycling;
- Confidential waste;
- Physical destruction onsite (shredding);
- Deletion – where computer files are concerned;
- Migration of documents to an external body.

5.2 The following considerations should be taken into account when selecting any method of disposal:

- Under no circumstances should paper documents containing personal data or confidential information be simply deposited in non-confidential bins. To do so could result in the unauthorised disclosure of such information to third parties, and render the Council liable to prosecution or other enforcement action under the Data Protection Act 1998 and also to serious embarrassment.
- If steps are taken to make data virtually impossible to retrieve then this will be regarded as equivalent to deletion.
- Migration of documents to a third party (other than for destruction or recycling) will be relevant where documents or records are of historic interest and/or have intrinsic value. Migration can include the transfer of data to a third party service provider, the County Archivist or a local Museum.

## **6. DATA PROTECTION ACT 1998**

6.1 All staff need to be aware that under the Data Protection Act personal data processed for any purpose must not be kept for any longer than is necessary for that purpose. In other words, retaining documents or records that contain personal data beyond the length of time necessary for the purpose for which that data was obtained is unlawful. The Data Protection legislation is silent on this provision; it is a matter for reasonable judgement and common sense as to how long personal data (which falls outside legislative guidance) should be retained.

## **7. STANDARD OPERATING PRACTICE (SOP)**

7.1 There are some records that do not need to be kept at all; SOP defines types of records which staff may routinely destroy in the normal course of business.

7.2 SOP usually applies to information that is duplicated, unimportant or only short-term facilitative value. Some examples are:

- Compliment slips
- Catalogues and trade journals
- Telephone message slips
- Non-acceptance of invitations
- Requests for stock information such as maps, plans or advertising material
- Out of date distribution lists
- Duplicate copies of documents (see below)

7.3 Duplicated and superseded material such as stationery, manuals, drafts, forms, distribution lists and reference copies of annual reports may be destroyed if no longer relevant. (This includes electronic copies).

## **8. FORMAT OF RECORDS**

8.1 This Document Retention Policy is relevant to records which are electronic, paper or records which have been transferred to another format such as microfiche.

## **9. REVIEWING THE SCHEDULE**

9.1 These guidelines prescribe minimum and permanent retention periods which have been agreed with the relevant heads of services. The guidance will be reviewed at regular intervals to ensure it remains fit for purpose.

## KEY RETENTION / DISPOSAL CONSIDERATIONS

### Introduction

No document should be earmarked for disposal unless due regard has been given to:

- a) the five Key Disposal/Retention considerations detailed in this Appendix.
- b) the Retention Schedules contained in Appendix 2.

### KEY CONSIDERATION 1

#### Has the document been appraised?

1. As a first step, the nature/contents of any document being considered for disposal should be ascertained. No document(s) should be earmarked or designated for disposal unless this has been done. Insofar as existing documents are concerned it follows that the above can only be achieved by the carrying out of physical inspection and appraisal. The process may only take a few minutes – perhaps even seconds. Nonetheless it can be a skilled task – depending on the complexity of the document(s) concerned – and should only be undertaken by officers who possess the sufficient operational knowledge to enable them to identify the document concerned and its function within both the individual Department and corporate frameworks. Any decision to the effect that future documents of a specified description be disposed of on expiry of a specified retention period should be an informed one i.e. taken with a full appreciation and understanding of the nature and function of such documents.

2. The above is largely common-sense, and hardly needs to be stated. However, if appraisal is inadvertently overlooked or carried out negligently, or by an employee who lacks the necessary background operational knowledge, the Council runs the risk of important documents being destroyed in error.

### KEY CONSIDERATION 2

#### Is retention required to fulfil statutory or other regulatory requirements?

There is, in fact, very little specific legislation that stipulates mandatory retention periods for documents in Local Government. The pieces of legislation which do, either directly or indirectly, impose minimum retention periods are as follows:

- **Tax Legislation:**  
Minimum retention period for certain financial records are imposed by statutes such as the VAT Act 1994, and the Taxes Management Act

1970. The relevant retention periods are identified in the retention schedules at Appendix B.

- **Statutory Register:**  
Various Local Government statutes require to be kept of certain events, notifications, or transactions. It is implicit with such legislative requirement that these records be maintained on a permanent basis, unless the legislation concerned stipulates otherwise.
- **The Audit Commission Act 1998:**  
This provides auditors with a right of access to every document relating to the Council that appears necessary for the purpose of carrying out the auditor's function under the Act.
- **The Local Government Act 1972, s.225:**  
Any document deposited with "the proper officer" of the Council in accordance with Statute should be retained permanently.
- **Part VA of the Local Government Act 1972:**  
This governs public access to certain documents relating to Council and Committee meetings. Certain documents that form part of the public part of the agenda are required to be available for inspection by members of the public.

### **KEY CONSIDERATION 3**

#### **Is retention required to evidence events in the case of dispute?**

On occasions, the Council becomes involved in disputes with third parties.

Such disputes, if not satisfactorily resolved, can result in the dissatisfied party bringing legal proceedings against the Council, usually (but not always) with a view to obtaining monetary compensation. Conversely, the Council may wish to institute legal proceedings against an individual or organisation e.g. to recover an unpaid debt, or in respect of faulty workmanship. Where a dispute arises, or litigation has been commenced it is important that the Council has access to all correspondence and other documentation that is relevant to the matter. Without such, there is the danger that the Council's position will be compromised, and the possibility that an unmeritorious claim might succeed, or that the Council may be unable to assert legal entitlements.

The Limitations Act 1980 specifies time limits for commencing litigation. The starting point therefore, is that the retention period is the length of time that has to elapse before a claim is barred.

#### **The six-year retention period and risk assessment:**

As stated above the majority of potential legal claims are statute barred on the expiry of 6 years. For this reason many organisations consider it prudent to retain files/records for a period of 6 years from the date when the subject matter was completed.



Heads of Service (or designated officers) should be prepared to carry out a risk analysis, with a view to disposal of such documents within a shorter period of than the 6 year time frame.

#### **KEY CONSIDERATION 4**

##### **Is retention required to meet the operational needs of the department?**

In some cases retention may be desirable (whether permanent or otherwise) even though no minimum retention period applies. Heads of Service (or designated officers) should be open to the danger of discarding documents or records that might be useful for future reference purposes (e.g. training), as precedents, or for performance management (performance indicators, benchmarking and comparison exercises). A professional judgement needs to be made as to the usefulness of a particular document. Where documents are kept for use as precedents or for training or similar purposes, personal information should be redacted.

#### **KEY CONSIDERATION 5**

##### **Is retention required because the document or record is of historical interest or intrinsic value?**

In most cases this consideration will not be applicable. However, it is certainly possible that some documents currently in Council storage may be of historic interest and/or even have some monetary value.

##### ***Illustration***

*A Local Authority may have in its possession records of damage to property caused by air raids during WWII. These records may well be of interest to museums and local history societies.*

Where it is suspected that the document falls within this description, appropriate enquires should always be made before taking any further action.

Even if the document is of historical or monetary value, disposal rather than retention by the Council may well be the appropriate option.

## **APPENDIX 2 – DOCUMENT RETENTION SCHEDULE**

Our retention schedule is based on our statutory and discretionary business functions, activities and processes. Each specific retention and disposal policy applies to all records that support business activity or process described in the schedule. The retention policies contained in the schedules apply to all records and data irrespective of media or format, the system in which they are held and storage location.

The retention schedule has been developed in collaboration with service(s) responsible for the function(s) and those needing to use or access the records.

These retention policies are the definitive policy for retaining and disposing of records within Uttlesford District Council.

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<b>1</b>	<b>Elections</b>			
<b>1.1</b>	<b>Preparation</b>			
1.1.1	Summary of those eligible to vote	Permanent. Offer to Archivist after administrative use is concluded	Electoral Register	Common practice
1.1.2	Voting (Local elections only)	Destroy 12 months from close of poll	Ballot papers	Statutory
1.1.3	Administer Staff Payroll	Destroy 7 Years after last employment	Pay Advices	
<b>1.2</b>	<b>Results</b>			
	Declaration of results (local elections only)	Destroy 12 months from date of election	Consolidated Returns of Votes Received	Statutory
<b>1.3</b>	<b>Registration</b>			
1.3.1	Compilation of Electoral Register	Canvass Forms - redacted after 13 months and destroyed annually  All other documentation Destroy 15 years after publication	Register of Electors Canvass Forms	
1.3.2	Absent Voting	For the life of each absent vote	Original postal vote application form	

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>2</b>	<b>Council and Committee Meetings</b>			
<b>2.1</b>	<b>Council and Committee Administration</b>			
2.1.1	Minutes Taking	Licensing Committee Destroy 21 days after date of confirmation of minutes  All other minutes Destroy after date of confirmation of the minutes	Draft/Rough Minutes	Common Practice
2.1.2	Register of Members' interests	Destroy after three (3) years from when a Member ceases to be a Councillor		Section 34(7) Localism Act
2.1.3	The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Audio Recordings: Destroy 1 year after date of meeting  All other documents: Destroy 6 years after date of meeting  A set of minutes of Council, Cabinet and Committee meetings should be kept indefinitely.	Council Minutes Council Agenda and Business Papers Indexes Council Notice Papers and Proceedings Committee Minutes Registers of Delegations to Special Committees Audio recordings of meetings	Common Practice
<b>2.2</b>	<b>Partnership, Agency and External Meetings</b>			

Ref	Function Description	Retention Action	Examples of Records	Notes
2.2.1	The process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the local authority legally owns the record	Destroy 6 years after date of meeting	Documents establishing the committee Agendas Minutes Council reports Recommendations Supporting documents such as Council briefing and discussion papers.	Common Practice
2.2.2	The process of preparing business for External Committees consideration and making the record of discussion, debate and resolutions, where the local authority does not own the record	Destroy 3 years after last action	Documents establishing the committee Agendas Minutes Council reports Recommendations Supporting documents such as Council briefing and discussion papers. LSP Minutes	Common Practice
<b>3</b>	<b>Honours, Submissions and Awards</b>			
	The process of preparing of honours submission	Destroy 1 year after last action	Honours nomination form Covering documentation Letters of support Referral for comment from Lord Lieutenant Community Service Awards	Common Practice
<b>MANAGEMENT AND ADMINISTRATION</b>				
<b>4</b>	<b>Corporate Planning and Reporting</b>			
4.1	The corporate planning and reporting activities of Local Authorities	Destroy 6 years after administrative use is concluded	Corporate Plans Strategy Plans Business Plans	Common Practice



Ref	Function Description	Retention Action	Examples of Records	Notes
			Annual Reports	
4.2	The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Destroy 6 years after administrative use is concluded	Strategic management team minutes	Common Practice
<b>5</b>	<b>Statutory Returns</b>			
	The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 7 years from closure	Reports to Central Government	Common Practice.
<b>6</b>	<b>Policy, Procedures, Strategy and Structure</b>			
6.1	Activities that develop policies, procedures, strategies and structures for the Local Authorities	Destroy 6 years after administrative use is concluded	Policy, Procedure, Precedent, Instructions Organisation Charts Records relating to Policy Implementation and Development Asset management plan Sustainable Community Strategy Community Plan Community safety plan Priorities for the District Constitution	Common Practice

Ref	Function Description	Retention Action	Examples of Records	Notes
6.2	The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 6 years after administrative use is concluded		Common Practice
<b>7</b>	<b>Public Consultation</b>			
7.1	The summary results from consultation with the public and staff in the development of significant policies of the local authority	Destroy 5 years from closure	District Wide Survey Citizens Panel Local Development Framework	Common Practice.
7.2	The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 5 years from closure		Common Practice
<b>8</b>	<b>Information Management</b>			
8.1	The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Classification Schemes Registers Indexes Authorised Lists of File Headings	Common Practice
8.2	The management of collections of records transferred to the archives	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Records relating to transfer of archives	Common Practice
<b>9</b>	<b>Enquiries and Complaints</b>			

Ref	Function Description	Retention Action	Examples of Records	Notes
9.1	The management in summary form of enquiries and complaints directed to council	Destroy 1 year after last action	Indexes Summary of complaints Registers	Common Practice
9.2	The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Destroy 1 year after last action	Reports Returns Correspondence	Common Practice
9.3	The management of detailed responses on Council actions, policy or procedures	Destroy 1 year after last action	Reports Returns Correspondence Ombudsman	Common Practice
9.4	The management of routine responses on Council actions, policy or procedures	Destroy 1 year after last action	Printed Material Form Letters	Common Practice
9.5	The management of complaints made against Elected Members	Destroy 1 year after Member ceases to be a Councillor		
<b>10</b>	<b>Quality and Performance Management</b>			
	The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit	Destroy 5 years from closure	Quarterly & Annual Performance and Risk Reports	Common Practice
<b>11</b>	<b>Public Relations</b>			
<b>11.1</b>	<b>Publications</b>			
11.1.1	The process of designing setting information for publication	Destroy 3 years from last action	Drafts of publications as below	Common Practice

Ref	Function Description	Retention Action	Examples of Records	Notes
11.1.2	The published work of the local authority	Destroy after administrative use is concluded.	Leaflets Booklets	Common Practice
<b>11.2</b>	<b>Media Relations</b>			
11.2.1	Process of interaction with the media	Destroy 5 year from release	Electronic Press releases Press enquiries	Common Practice
<b>11.3</b>	<b>Marketing</b>			
11.3.1	The process of developing and promoting Local Authorities campaigns and events	Destroy 5 years after last action	Reports and promotional material	Common Practice
<b>12</b>	<b>Civic and Royal Events</b>			
12.1	The recording of ceremonial events and civic occasions	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Visitors Book Audio Tapes Video Tapes Photographs Newspaper Clippings	Common Practice
12.2	The process of organising a ceremonial event or civic occasions	Destroy 7 years after ceremonial event is concluded		Common Practice
<b>CLIENT SERVICES</b>				
<b>13</b>	<b>Housing</b> (Housing Provision - The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness)			
13.1	The registration of individuals housing applications (including Sheltered Accommodation)	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Council Housing Register	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
13.2	The process for applying for council housing. (Unsuccessful applications)	Destroy 7 years after closure	Council housing Application forms and supporting material Application for transfer of tenancy and supporting papers	Common practice
13.3	The process for managing the tenancy of an individual tenant (including Sheltered Accommodation)	Destroy 12 years after termination of tenancy	Correspondence re tenancy Tenancy Files Council housing Application forms and supporting material Application for transfer of tenancy and supporting papers Application for emergency housing or referral from another agency Sheltered Housing Records	Common practice These may need to be kept for a longer period in order to prove that the tenant was actually housed properly by the authority
13.4	Records relating to the registration and rehousing of housing applicants.	Destroy after 7 years from closure of application	Council Housing Register Application Nomination records Electronic records	
13.5	Records relating to the determination of homelessness applications.	Destroy after 7 years from date of decision or closure of housing application, whichever is later	Homelessness Application Case notes Electronic records	
13.6	Records relating to the provision of housing advice.	Destroy after 7 years from the provision of advice or closure of housing file, whichever is later	Correspondence Case notes Electronic records	

Ref	Function Description	Retention Action	Examples of Records	Notes
13.7	Records relating to the provision of the Lifeline service	Destroy after 6 years from the end of contract	Lifeline Applications Electronic records	
<b>LEGAL AND CONTRACTS</b>				
14	Litigation			

Ref	Function Description	Retention Action	Examples of Records	Notes
	The process of managing, undertaking or defending for or against litigation on behalf of the local authority.	<p>Criminal case - where no conviction Destroy 1 year after the date of the last hearing</p> <p>Civil case – Housing Destroy 6 years after a tenant ceases to be tenant</p> <p>Civil case - where money judgement obtained in favour of the council Destroy 6 years after the date of judgment</p> <p>Civil case where an injunction is obtained Destroy 6 years after injunction ceases to be effective</p> <p>Any other Civil case Destroy 6 years after the date of last hearing</p>	Criminal case file Civil case file Correspondence	Common practice
<b>15</b>	<b>Advice</b>			

Ref	Function Description	Retention Action	Examples of Records	Notes
	The process of providing legal advice on a point of law.	<p>To be retained until the end of the limitation period to which it pertains:</p> <p>Personal Injury claims against the council Destroy 4 years after the death of claimant</p> <p>Negligence not arising from personal injury Destroy 15 years after last action</p> <p>Action for Recovery of Land Destroy 12 years after last action</p> <p>Actions on Deeds Destroy 12 years after last action</p> <p>Any other Destroy 6 years after last action</p>		
16	<b>Agreements</b>			



Ref	Function Description	Retention Action	Examples of Records	Notes
	<p>Process of agreeing terms between organisations.</p> <p>Note: this does not include contractual agreements</p>	<p>Destroy 6 years after agreement expires or is terminated</p>	<p>Concordat</p>	<p>Common practice Depends on value of agreement Mainly to do with agreements between public bodies, not in regards contracts</p>
<b>17</b>	<b>Conveyance</b> (see also section 38)			
	<p>The process of changing ownership of land or property. The process of transferring land ownership.</p>	<p>Sales of Land Destroy 12 years after closure</p> <p>Purchases of Land Destroy 12 years after date of sale</p>	<p>Property records Deeds Land charges</p>	<p>Statutory</p>
<b>18</b>	<b>Contracts and Tendering</b>			
	<b>18.1</b>	<b>Evaluation of Tender</b>		
18.1.1	<p>Summary tender evaluation criteria</p>	<p>Ordinary Contracts Destroy 6 years after the terms of contract have expired</p> <p>Contracts Under Seal Destroy 12 years after the terms of contract have expired</p>	<p>Evaluation criteria</p>	<p>Statutory</p>
18.1.2	<p>Successful tender document</p>	<p>Ordinary Contracts Destroy 6 years after the terms of contract have</p>	<p>Tender documents Quotations</p>	<p>Statutory</p>

Ref	Function Description	Retention Action	Examples of Records	Notes
		expired		
18.1.3	Unsuccessful tender documents	Destroy 3 years after start of contract	Tender documents Quotations	Common practice
<b>18.2</b>	<b>Post Tender Negotiation</b>			
	The process in negotiation of a contract after a preferred tender is selected.	<p>Successful tenders Ordinary Contracts - destroy 6 years after the terms of contract have expired.</p> <p>Contracts Under Seal - destroy 12 years after the terms of contract have expired</p> <p>Unsuccessful tenders - destroy 3 years after start of contract</p>	Clarification of contract Post tender negotiation minutes	Common practice
<b>18.3</b>	<b>Awarding of Contract</b>			
	The process awarding of contract	<p>Ordinary Contracts Destroy 6 years after the terms of contract have expired</p> <p>Contracts Under Seal Destroy 12 years after the terms of contract have expired</p>	Signed contract	Statutory

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>18.4</b>	<b>Contract Management</b>			
18.4.1	Contract operation and monitoring	<p>Ordinary Contracts Destroy 6 years after the terms of contract have expired.</p> <p>Contracts Under Seal Destroy 12 years after the terms of contract have expired</p>	<p>Service Level Agreements Compliance reports Performance reports</p>	Common practice
18.4.2	Management and amendment of contract	<p>Ordinary Contracts Destroy 6 years after the terms of contract have expired.</p> <p>Contracts Under Seal Destroy 12 years after the terms of contract have Expired</p>	<p>Minutes and papers of meetings Changes to requirements Variation forms Extension of contract Complaints Disputes on payment</p>	Statutory
<b>18.5</b>	<b>Tenancy Agreements</b>			
	The process of awarding tenancies in welfare housing	<p>Ordinary Tenancy Destroy 6 years after the terms of agreement have expired.</p> <p>Tenancy Under Seal Destroy 12 years after the terms of agreement have expired</p>	<p>Signed tenancy agreements Sealed tenancy agreements</p>	Statutory

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>18.6</b>	<b>Regulation of Investigatory Powers</b>			
18.6.1	RIPA Authorisations	Destroy [5] years after date of last action	Central records	
18.6.2	Conduct of investigations that relate to RIPA authorisations	Destroy [1] years after last action or conclusion of investigation unless required for evidential purposes	Case files	
<b>HUMAN RESOURCES</b>				
<b>19</b>	<b>Personnel Administration</b>			
19.1	<p>Summary management systems that allow the monitoring &amp; management of employees in summary form</p> <p>Note: The summary information that this record class attempts to capture is</p> <ul style="list-style-type: none"> <li>Name</li> <li>Date of Birth</li> <li>Date of Appointment</li> <li>Work History Details</li> <li>Position/Designation</li> <li>Titles &amp; Dates Held</li> </ul>	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded.	<p>Employment Register - Permanent Staff</p> <p>Employment Register - Temporary Staff</p> <p>Employment Register - Casual Staff</p> <p>Personal History Cards</p> <p>Superannuation History Card</p> <p>Salary Master Record</p>	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
19.2	The process of administering employees to ensure that entitlements & obligations are in accordance with Agreed employment requirements. Records containing superannuation information	Pension only Permanent (electronic archive)  All other records Destroy 12 years from date of last pension payment	Medical Clearance Letter of appointment Letter of acceptance Details of assigned duties Probation reports Medical examinations Personal particulars Educational qualifications Declarations of pecuniary interests Secrecy undertakings Employment contracts Staff Photographs	Common practice
19.3	Personal records	Destroy 12 years after termination of employment	Completed application form Letter of appointment Letter of acceptance Medical clearance Job description Sickness records Political restriction Employment contract Equal opportunities investigation records Leave cards Health and Safety records and correspondence Disciplinary and grievance records (also subject to their own retention period)	Common practice
19.4	Records relating to staff working with children	Destroy 25 years after termination of employment		

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>20</b>	<b>Employee and Industrial Relations</b>			
20.1	Identification & development of significant directions concerning industrial matters	Destroy 5 years after administrative use is concluded	Generic agreements and awards Negotiations Disputes Claims lodged	Common practice
20.2	Liaison processes of minor and routine industrial matters	Destroy 5 years after administrative use is concluded	Daily Industrial Relations management	Common practice
20.3	Processing of Disciplinary and Grievances Investigations where proved	Destroy in accordance with time limits in current Disciplinary Policy (HRP1) Warnings Involving Children - placed on personal file permanently	Disciplinary records	For all practical purposes this function would not be subject to records management, except for Warnings Involving Children, which remain on the personal file permanently for reference purposes
20.4	Processing of Disciplinary and Grievances Investigations where unfounded	Destroy three years after the grievance has been found to be have been unfounded or after appeal	Disciplinary records	Common practice
20.5	The effective monitoring and management of the job evaluation system	Retain permanently	Job descriptions Person specifications Outcome of JE panels	

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>21</b>	<b>Equal Employment Opportunities</b>			
	The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with Agreed Equal Employment Opportunities guidelines policies. To ensure the promotion of equal opportunities and compliance with entitlements and obligations	Destroy 5 years after action completed	Equal Pay Reviews Equal opportunities monitoring	Common practice
<b>22</b>	<b>Occupational Health</b>			
	The process of checking and ensuring the health of staff.	Destroy 12 years after termination of employment	Medical clearance Job description Occupational health referrals, reports and advice	Common practice
<b>23</b>	<b>Recruitment</b>			
23.1	The selection of an individual for an established position	Successful candidates Destroy 6 years after termination of employment  Unsuccessful candidates Destroy 6 months after recruitment has been finalised	Advertisements Applications Referee reports Interview reports	Common practice
23.2	The selection of an individual for a temporary position	Destroy 6 years after employment ceases	Temps Register	

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>24</b>	<b>Staff Monitoring</b>			
24.1	Performance	Destroy 6 years after termination of employment	Probation reports Performance plans Performance Appraisals Performance information Appraisal notes	
24.2	Process of monitoring staff leave and attendance	Destroy 6 years after termination of employment	Sick leave Jury service Study leave Special and personal leave Annual leave	Common practice



Ref	Function Description	Retention Action	Examples of Records	Notes
<b>24</b>	<b>Staff Monitoring</b>			
24.1	Performance	Destroy 6 years after termination of employment	Probation reports Performance plans Performance Appraisals Performance information Appraisal notes	
24.2	Process of monitoring staff leave and attendance	Destroy 6 years after termination of employment	Sick leave Jury service Study leave Special and personal leave Annual leave	Common practice
<b>25</b>	<b>Termination</b>			
	The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 6 years after last pension payment	Resignation Redundancy (section 188) Dismissal Death Retirement	Common practice
<b>26</b>	<b>Training and Development</b>			
26.1	Routine staff training processes, not occupational health and safety or children related	Destroy 6 years after employment ceases	Course individual staff assessment Professional and vocational training form	Common practice
26.2	Training (concerning children)	Destroy 35 years after training completed, or last entry	Course individual staff assessment Training register	Common practice
26.3	Training (occupational health and safety training)	Destroy 12 years after termination of employment  Individual course assessment records Destroy once the training has been renewed every 3 years	OH&S training register	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
26.4	Training (materials)	Destroy 1 year after course is superseded		Common practice
26.5	Training (proof of completion)	Destroy 6 years after termination of employment	Certificates Awards Exam results	Common practice
<b>27</b>	<b>Appointments of Statutory Officers</b>			
27.1	Summary management systems that allow the monitoring & management of statutory officers in summary form	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Magistrates register	Common practice
27.2	The process of administering employees to ensure that entitlements & obligations are in accordance with Agreed employment requirements	Destroy 6 years after termination of employment		Common practice
27.3	The appointment of an individual for a statutory position	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Appointment Files	Common practice
27.4	The process of selection of an individual for an statutory position	Destroy 2 years after date of appointment	Vacancies & Applications Records Interview notes Prospective Staff Records Registers of Applicants Unsuccessful Applicants Records	Common practice
<b>FINANCIAL MANAGEMENT</b>				
<b>28</b>	<b>Accounts &amp; Audit</b>			
	<b>28.1</b>	<b>Reporting</b>		
28.1.1	The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Consolidated Annual Reports Consolidated Financial Statements Statement of Financial Position Operating Statements General Ledger	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
28.1.2	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books	Destroy 6 years after administrative use is concluded	Consolidated Monthly & Quarterly Reports Consolidated Monthly & Quarterly Financial Statements Working Papers for the preparation of the above Monthly Accrual Statements Cash Flow Statements Creditor Listings and Reports Debtor Listings and Reports	Common practice
<b>28.2</b>	<b>Financial Transactions Management</b>			
28.2.1	Management of the approvals process for purchase, including investigations	Destroy 7 years after the end of the financial year in which the records were created	Appointments & Delegations Audit Investigations Arrangements for the Provision of Goods and/or Services	Statutory
28.2.2	Identification of the receipt, expenditure and write offs of public monies	Destroy 6 years after the conclusion of the financial transaction that the record supports	Allowances Work Orders Invoices Credit Card Statements Cash Books Receipts Cheque Butts Bank Statements Subsidiary Ledgers (Annual) Journals (Annual) Vouchers Over and under record ICON reports Webpay reports Direct Debits	Statutory

Ref	Function Description	Retention Action	Examples of Records	Notes
28.2.3	Process involving the provision and support for individuals using public transportation	Destroy 6 years after the conclusion of the financial transaction that the record supports	Applications Card issue Rail warrants	Statutory
28.2.4	Processes that balance & reconcile financial accounts	Destroy 2 years after administrative use is concluded	Reconciliation's (excluding VAT – see Taxation Records) Summaries of Accounts	Common practice
28.2.5	Taxation Records	Destroy 6 years after the end of the financial year in which the records were created	Taxation Records VAT reconciliations and claims Motor Vehicle Logs Fringe Benefits Tax Records Group Certificates	Statutory
28.2.6	Processes involved in the collection of National Insurance Number	Destroy 2 years after the employee ceases employment	Notification & Input Records	Common practice
<b>28.3</b>	<b>Payroll</b>			
28.3.1	Accountable processes relating to payment of employees	Destroy 6 years after the conclusion of the financial transaction that the record supports	Authority Sheets Payroll Deduction Authorities Payroll Disbursement Employee Pay Records Employee Taxation Records	Statutory
28.3.2	Non-accountable processes relating to payment of employees	Destroy after administrative use is concluded	Summary Employee Pay Reports	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
28.3.3	The process of ensuring individuals are paid correctly	Destroy 6 years after the end of the financial year in which the records were created	Payroll records Salary master record Overtime Bonuses Expenses Additional responsibility payments Long service forms Pay review forms Travel and subsistence claims Building society references Overpayment documentation Advance to salary payments Personal payroll history including: Record of pay Performance pay Overtime pay Allowances Pay enhancements Other taxable allowances Payment for untaken leave Reduced pay No pay	
28.3.4	The process of ensuring the correct statutory payments are made	Destroy 6 years after the end of the financial year in which the records were created	Statutory maternity, adoption and paternity pay records, calculations, certificates (Mat B1s) or other medical evidence Statutory Sick Pay records, calculations, certificates, self – certificates	
28.3.5	The process of ensuring the correct statutory deductions are made from pay	Destroy 6 years after the end of the financial year in which the records were created	Income tax and NI returns, Income tax records Correspondence with HMRC	

Ref	Function Description	Retention Action	Examples of Records	Notes
28.3.6	The process of ensuring correct pension payments are made	Destroy 6 years after the end of the financial year in which the records were created	Income tax and NI returns, Income tax records Correspondence with HMRC Retirement Benefits Schemes – records of notifiable events, e.g. relating to incapacity Money purchase details Amount and destination of any transfer value paid Pension estimates and awards Pension scheme investment policies Pensioners records Pensionable pay at leaving Reckonable service for pension purposes Superannuation history Record of previous service Added years AVCs paid	
<b>29</b>	<b>Financial Provisions</b>			
	<b>29.1 Budgets and Estimates</b>			
29.1.1	The process of finalising Local Authorities' annual budget	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Annual Budget	Common practice Only the final version of the annual budget needs to be kept
29.1.2	The process of developing Local Authorities' annual budget	Destroy 6 years after annual budget adopted by Local Authorities	Draft Budgets Departmental Budgets Draft Estimates	Common practice
29.1.3	The process of reporting which examines the budget in relation to actual revenue and	Destroy 6 years after annual budget adopted by Local Authorities	Quarterly Statements	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
	expenditure			
<b>29.2</b>	<b>Loans</b>			
29.2.1	The activity of borrowing money to enable the Local Authority to perform its functions and exercise its powers	Destroy 7 years after the loan has been repaid unless the loan is secured by a deed in which case 12 years after the loan has been repaid	Loan Files	Statutory
29.2.2	Summary management of loans	Destroy 10 years after loan has been repaid/redeemed	Loans Registers	Common practice
<b>30</b>	<b>Housing</b>			
30.1	The process of offering financial help with welfare housing provision and maintenance	Destroy 6 months after the file is closed.		
30.2	Mortgages	Destroy 6 years after the last payment	Mortgage agreements Correspondence	Statutory
30.3	Right to Buy	Review on system 20 years after sale of house - Original Application Conveyance Plan  Destroy 12 years after sale of house - all other documents	<i>Sale documents</i> <i>Agreement concerning sale</i>	<i>Common practice</i>

Ref	Function Description	Retention Action	Examples of Records	Notes
30.4	Rent Payments	Destroy 6 years after the end of the current year	Rent books Correspondence concerning payment Requests for payment	
30.5	Home Improvement Grants	Destroy 6 years after last payment for grants under £50 000  For grants over £50 000 destroy 12 years after last payment	Agreement to pay loan Details of payments Correspondence relating to loan	Statutory
<b>31</b>	<b>Revenues (Council Tax and Business Rates)</b>			
31.1	The valuation of both rateable land and domestic dwellings within the district for the purpose of the making of the rate and Council Tax	Valuation lists - Permanent. Offer to Archivist for review	Valuation lists Reports Correspondence Objections	Common practice
31.2	The activity of corresponding with Council Tax and Business Rate payers in relation to all aspects of local taxation	Destroy 6 years after last action	Notices Correspondence Applications	Common practice
31.3	The recording of payments and refunds in relation to Council Tax and Business Rates	Destroy after 7 years after last action	Receipts Refund notifications	Common practice



Ref	Function Description	Retention Action	Examples of Records	Notes
<b>32</b>	<b>Property History</b>			
32.1.1	<p>The recording of information for rateable properties identifying the person or company rated, including details of the value of the property</p> <p>Note: Records containing accounting information primarily, and not being a source of property history, should be disposed of according to the appropriate record class within the Accounts &amp; Audit function</p>	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Rate Books Rate Cards Register of Rateable Properties	Common practice
32.1.2	The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters	Destroy 7 years after last action	Notices Objections Applications Correspondence Rate Certificates Notices of Acquisition and Disposition Rate Property Files	
<b>33</b>	<b>Benefits (Housing and Council Tax)</b>			
33.1	The activity of corresponding, recording and processing claims for Housing and Council Tax benefits	<p>Live claims</p> <ul style="list-style-type: none"> <li>- retain Dormant files</li> <li>- retain if there is an outstanding HB overpayment or outstanding investigation</li> </ul> <p>Destroy 5 years after the end of External Audit</p>	Claim forms Correspondence Documentary evidence	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
		Subsidy Claim audit		
33.2	Investigation of Local Council Tax Support fraud	Revenue Fraud Destroy after 6 years if prosecution or 2 years if no prosecutions  All other frauds Destroy after 5 years if prosecution or 2 years if no prosecution	Claim forms Correspondence Documentary evidence	Common practice
<b>PROPERTY AND LAND MANAGEMENT</b>				
<b>34</b>	<b>Summary Assets Management</b> (see Property Management for real property assets; see Transport Management for vehicle assets)			
	Summary management reporting on the overall assets of the Local Authorities	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Schedules of Acquisitions Consolidated Current Asset Reports Annual Reports Summary of Current Assets Asset Registers	Common practice
<b>35</b>	<b>Asset Monitoring and Maintenance</b>			
35.1	Management systems that allow the monitoring & management of assets in summary form	Destroy 7 years after the conclusion of the financial transaction that the record supports	Subsidiary Asset Registers	Common practice
35.2	Process of reporting and reviewing assets status	Destroy 2 years after administrative use is concluded.	Routine Returns and Reports on Asset Status Inventories Stocktaking Surveys of Usage Acquisition and Disposal Reports &	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
			Proposals	
35.3	The process of maintaining assets	Destroy 7 years after last action	Garden maintenance Cleaning Painting	Common practice
35.4	The process of maintaining plant and equipment	Destroy 7 years after sale or disposal of asset	Service Records Plant Files	Common practice
35.5	The process of maintaining building contracts	Destroy 12 years after sale or disposal of building		Statutory
<b>36</b>	<b>Asset Acquisition and Disposal</b>			
	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	Destroy 6 years after all obligations / entitlements are concluded if under £50,000  Destroy 12 years after all obligations / entitlements are concluded if over £50,000	Legal Documents relating to the Purchase/Sale Particulars of Sale Documents Board of Survey Leases Applications for Leases, Licences & Rental Revision Tender Documents Conditions of Contracts Certificates of Approval	Statutory
<b>PLANNING AND LAND USE</b>				
<b>37</b>	<b>Property and Land Management</b>			
	Reports to management on overall property of the Local Authority	Destroy 12 years after last action	Consolidated Property & Buildings Annual Reports Summary of Leased Property Summary of Local Authorities Owned Property Site Register Register of Leases	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>38</b>	<b>Property Acquisition and Disposal</b> (see also section 17)			
38.1	Management of the acquisition (by financial lease or purchase) process for real Property	Purchases of Land - destroy 12 years after date of sale	Plans Title deeds	Common practice
38.2	Management of the disposal (by sale or write off) process for real Property	Sales of Land - destroy 12 years after closure	Legal Documents relating to the Sale Particulars of Sale Documents Board of Survey Tender Documents Conditions of Contracts	Common practice
<b>39</b>	<b>Property Development and Renovation</b> (the process of managing and undertaking renovations and development of property)			
39.1	Management of buildings and estates of "special interest"	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Project Specifications Plans Installation Manuals Certificates of Approval	Common practice
39.2	Management of all other buildings and estates	Retain for life of property or building	Project Specifications Plans Installation Manuals Certificates of Approval	Common practice For asbestos see health and safety
39.3	The action process involved in the development and renovation of property	Destroy 12 years after the conclusion of the transaction that the record supports	Work Orders Tender Documents Conditions of Contracts	Statutory

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>40</b>	<b>Leasing and Occupancy</b>			
40.1	The process of managing leased property	Destroy 12 years after the expiry of the lease	Lease Agreements Rental Expenditure Authorities Valuation Queries Applications for Leases, Licences & Rental Revision	Common practice
40.2	The process of managing the occupancy of property	Destroy 6 years after the conclusion of the transaction that the record supports	Requests for Works, Cleaning, etc.	Common practice
<b>41</b>	<b>Systems Management</b>			
41.1	The internal process to develop or extend the capabilities of a system used to support the activities of the local authority	Retain for life of system then Destroy		
41.2	The process to Implement a system used to support the activities of the local authority	Destroy 7 years after last action	Implementation plan	
41.3	The process to Support and administer a system used to support the activities of the local authority  Note: To ensure back up disposal is tied in with Back-ups	Destroy 5 years after last action		

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>42</b>	<b>Transport Management</b>			
42.1	The process of acquisition and disposal of vehicles through lease or purchase	<p>Ordinary Contracts Destroy 6 years after the terms of contract have expired</p> <p>Contracts Under Seal Destroy 12 years after the terms of contract have expired</p> <p>All other records Destroy 15 months after the sale or disposal of the vehicle</p>	<p>Leases Contracts Quotes Approvals Fleet Authorisation Numbers</p>	
42.2	The process of managing allocation & maintenance of vehicles	<p>MOT Certificate Destroy 15 months after the sale or disposal of the vehicle</p>	<p>Approvals as Drivers Allocations &amp; Authorisations for Vehicles Maintenance</p>	
42.3	The process of managing allocation & maintenance of vehicles	<p>DVLA V5 (photocopy) Destroy 15 months after the sale or disposal of the vehicle</p>	<p>Vehicle Usage Reports DVLA V5 (photocopy)</p>	
42.4	The process of recording drivers usage	<p>Destroy 7 years after closure</p>	<p>Vehicle Log book Drivers Hours books Tracker systems</p>	

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>43</b>	<b>Insurance</b>			
<b>43.1</b>	<b>Policy Management</b>			
43.1.1	The summary management of insurance arrangements	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Insurance Register Insurance Policy Schedules	
43.1.2	The process of insuring Local Authorities Officers, property, vehicles and equipment against negligence, loss or damage	Destroy 7 years after the terms of the policy have expired	Insurance Policies Correspondence	
43.1.3	The process of managing the outsourced Insurance agreement	Ordinary Contracts Destroy 6 years after the terms of contract have expired  Contracts Under Seal Destroy 12 years after the terms of contract have expired	Insurance SLA	
43.1.4	The process of renewing insurance policies	Destroy 5 years after the insurance policy has been renewed	Insurance Policy Renewal Records Correspondence	

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>43.2</b>	<b>Claims Management</b>			
	The process that records insurance claims against the Local Authorities or Local Authorities Officers	Destroy 7 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	Claims Records Correspondence	
<b>ENVIRONMENTAL MANAGEMENT</b>				
<b>44</b>	<b>Health &amp; Safety</b>			
44.1	Process of inspecting equipment to ensure it is safe	Destroy 6 Years from destruction of the equipment	Equipment inspection records	Statutory
44.2	Process of carrying out monitoring to ensure it is safe	Destroy 3 Years from last action	Monitoring results	Statutory
44.3	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	Retain permanently	Property asbestos files	Common practice based on Statutory requirements
44.4	Process to ensure safe systems of work	Destroy 3 years after superseded or process ceases		Common practice FOI
44.5	Process to assess the level of risk	Destroy 3 Years from last assessment	Risk assessment	Statutory FOI
44.6	Processes that record the control of hazardous substances	Destroy 3 years from last action	COSHH records Health Assessment	FOI



Ref	Function Description	Retention Action	Examples of Records	Notes
44.7	Processes that permit work	Destroy 3 years from last assessment  Destroy 1 Year from last action		Common practice FOI
44.8	Process that record injuries to adults	Destroy 3 Years from closure	Accident books	Statutory FOI
44.9	Process that record injuries to children (under 18)	Destroy 3 years after 18th Birthday	Accident books	Based on Statutory FOI
<b>45</b>	<b>Emergency Planning</b>			
45.1	Process to develop the emergency/disaster plan for the local community	Destroy once plan ceases to be current	Major Incident Plan	
45.2	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 6 years after closure	Emergency Plan Testing of plan Training of staff	
<b>46</b>	<b>Major Incident</b>			
46.1	Activities that report on all major incidents in the local community. Whether the emergency plan has been invoked or not	Destroy 25 years after incident	Logs Post incident reports	
46.2	Activities that report on all minor incidents in the local community	Destroy 6 years after closure		

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>47</b>	<b>Business Continuity</b>			
47.1	Development of business continuity plans	Destroy once plan ceases to be current	Service BC plans Corporate BC plans	Common Practice
47.2	Advice to businesses	Destroy once document ceases to be current	Leaflets, booklets and advice by e-mail	Common Practice
<b>48</b>	<b>Enforcement Certification and Prosecution</b>			
<b>48.1</b>	<b>Registration, Certification and Licensing</b>			
48.1.1	Summary management systems that allow the monitoring & management of registration, certification and Licences registration requirements in summary form	Destroy 1 year after licence ceases	Taxi licence register Reports in connection with ACOLAID data	Common practice
48.1.2	The administration of applications, registration, certification and Licences in relation to Local authorities' registration requirements	Destroy 1 year after registration or entitlement lapses	Applications for Animal Registration Applications for Registration of a Business Premises Applications for Release of Animals Impounded Registers Certificates of Registration Animal movement licences Gaming Fire certification Disabled Parking permits Orange badge Registration to sell poison Zoo licences Animal Boarding Establishment licences	Statutory Note: may want archival review in cases of licensing of children in entertainment.

Ref	Function Description	Retention Action	Examples of Records	Notes
48.1.3	The process involved in licensing sites for the holding or use of toxic or hazardous substances (including petroleum, agricultural chemical products or herbicides)	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Diesel licences Petroleum licences Health and safety licensing Hazardous substances Contaminated land register/pollution	Common practice
<b>48.2</b>	<b>Notification</b>			
	The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	Objections to Notices Appeals Against Notices Registration of Premises Infringement Notices Animal Impounding Notices	Common practice
<b>48.3</b>	<b>Investigation, Inspection and Monitoring</b>			
	The process of investigation, monitoring or inspection laws in the responsibility of the local authority	Destroy 7 years from last action	Health and Safety compliance inspections Food hygiene inspections Health and safety inspections Licensing inspections	Common practice
<b>48.4</b>	<b>Prosecution</b>			
	The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 7 years from last action.	Prosecution/sanction files Simple Cautions Fixed Penalty Notices Works undertaken in default	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>49</b>	<b>Waste Management</b> (the provision of hard waste removal, destruction and waste reduction services by the council to ratepayers)			
49.1	The process of arranging the collection or transportation of household waste	Destroy 2 year after last action		Common practice
49.2	The process of arranging the collection or transportation of controlled waste	Destroy 2 year after last action		Common practice
49.3	The process of arranging the collection or transportation of trade waste	Destroy at the end of 6 financial years	Trade Waste Records	
49.4	The process of arranging the collection or transportation of chargeable domestic waste	Destroy at the end of 6 financial years	Bulky Collection Records Garden Waste Records	
<b>50</b>	<b>Planning Scheme Development and Amendment</b>			
50.1	The activity of developing a vision and strategic directions regarding existing and future land use within the municipality and the development of local and town centre plans to ensure the implementation of the Structure Plan	Permanent. Offer to Archivist. When plan superseded	Structure Plan Local Plan	Common practice
50.2	The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans	Permanent. Offer to Archivist for review when plan is adopted	Consultation documents and replies Inquiries and objections made by members of public Public Inquiry documents	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
50.3	The activity of recording information on historical buildings, monuments and ecology at a specific site.	Permanent. Offer to Archivist. Transfer to Place of Deposit after administrative use is concluded	Sites and Monuments records Ecological records Species records Historically listed buildings Definitive map Commons registration	Common practice
50.4	The process of controlling development of land and property through planning and other statutory applications The process of controlling development of areas through applications for planning permission	Keep all files from 1 July 1948 Transfer planning application register to Archives once the register has been completed (or at arranged intervals if it is held electronically)	Application forms Application Plans Decision Notices Appeal Plans Appeal Decision Letters	Statutory
50.5	The process of recording all other documents relating to planning control matters not covered above	Pre-application Enquiries Destroy 1 year after pre-application made  All other documentation Destroy 7 years after decision	Site visit Notes Photographs Officer Reports Statements Pre-application enquiries Planning appeals Correspondence	Common practice
50.6	The process of maintaining the countryside and developing open spaces for public amenity	Tree Preservation Orders - Permanent may be retained electronically only  Destroy other files 7 years after administrative use concluded	Tree preservation orders Country parks and nature reserve development plans and correspondence, land purchase agreements	Common practice

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>51</b>	<b>Planning Scheme Regulation</b>			
51.1	The summary management of planning scheme regulation	Destroy 15 years after administrative use is concluded	Building Control Registers	Common practice
51.2	The process of approving building applications in relation to listed or other significant buildings	Destroy 15 years after administrative use is concluded	Building Files Plans Specifications Correspondence Applications Permits Certificates	Common practice
51.3	The process of approving building applications, for all other buildings	Destroy 15 years after administrative use is concluded	Building Files Plans Specifications Applications Permits Certificates Objections	Common practice
51.4	The process of inspecting building work for the purpose of insuring compliance	Destroy 10 years after the issue of a certificate of final inspection	Certificate of Final Inspection Building Inspection Records (current and previous software versions until completed) Diaries	Common practice
51.5	The process of enforcing building or land regulations	Permanent.	Enforcement Notice kept on Planning Application System (53.5)	
51.6	Street naming and numbering statutory requirements	Certificate / letter of Official Naming Permanent All other documentation Destroy 10 years after completion	Certificate / letter of Official Naming Naming of streets Numbering of houses	

Ref	Function Description	Retention Action	Examples of Records	Notes
<b>52</b>	<b>Land Searches</b>			
52.1	The process of providing local authority information to satisfy the lenders of money for the purchase of property or home improvements	Destroy 6 years after search is concluded	Land searches	Statutory
52.2	The activity of maintaining local authority information pertaining to land and property	Permanent.	Local Land Charges Register	Statutory
<b>INFRASTRUCTURE</b>				
<b>53</b>	<b>Planning and Development</b>			
	The process of investigating and enforcing planning regulations	Enforcement Notice - Permanent  Investigation Work Destroy after 7 years		Common practice
<b>54</b>	<b>Infrastructure Management and Maintenance</b>			
	The activity of providing municipal services in relation to Infrastructure within the local authority	Destroy 7 years after last action	Street Files Street Records Requests for Hedge clipping	Common practice
<b>55</b>	<b>Operation of CCTV systems</b>			
	The erasure of recorded images obtained from CCTV systems operated by the Council	Normally automatically overwritten by the recorder after 30 days unless required for evidential purposes	Images obtained via recording	In accordance with UDC's CCTV Code of Practice and Surveillance Commissioners guidance