



**Melton
Borough
Council**

DATA PROTECTION POLICY: RECORDS RETENTION & DISPOSAL POLICY

Key Policy details

| Item | Details |
|-------------|----------------------------|
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1.0 ESTABLISHMENT OF THE SCHEDULE

1.0 Introduction

- 1.1 For the authority to meet its statutory responsibilities there is a need for efficient and effective records management. Records are the basic tool of the authority's administration. They provide information for planning and decision making and they are the foundation of the authority's accountability.
- 1.2 Records retention and disposal are subject to direct legal requirements. This Schedule contains guidelines ensuring compliance with legal, fiscal and good practice requirements for records retention.
- 1.3 This Policy does not contain a section for each department as many of the records created will be the same. For example, Community Safety will have records relating to prosecutions, as will Legal, and therefore it is important the Policy is looked at as a whole
- 1.4 To help locate a relevant section, you can search for keywords in the policy by pressing control and then the 'f' key. A search box will appear in which you can type the keyword. This will bring up all references to that keyword in the policy.
- 1.5 Please note that where there is no guidance in this policy regarding a retention period you should use the Local Government Association tool to identify the appropriate retention period.

1.6 Scope

- 1.6.1 This Schedule provides retention and disposal timeframes for records (including paper, electronic, microform, audio-visual etc.) commonly created and maintained by Melton Borough Council to support administrative, legal and fiscal activities, according to UK legislation and best practice guidelines.

1.7 Objectives

- 1.7.1 The standard:
- Define minimum record retention periods
 - Identify records that are to be kept indefinitely

- Ensure that the premature destruction of records that need to be retained for a specified period for either legal, financial and other requirements of public administration does not happen
- Provides a consistent method for destroying out of date records
- Provides consistent records management standards for the Authority.

1.8 Review

1.8.1 The Director of Legal and Governance will review the schedule every year as changes in working practices or legislation require it. The Legal Department will be responsible for coordinating reviews and issuing updates accordingly.

2. RETENTION POLICY

2.1 Procedural Requirements

2.1.1 Any decision to retain or dispose of a document should be taken in accordance with this policy.

2.1.2 Essentially no document should be disposed of without consideration of this policy.

2.1.3 The Retention Schedule is contained in Section 3. It provides guidance on recommended and mandatory minimum retention periods for specific classes of documents/records.

2.1.4 Where a retention period has expired in relation to a particular document a review should always be carried out before a final decision is made to dispose of that document. Such reviews need not necessarily be detailed or time consuming. Where the Director (or designated officer) is familiar with the contents of the document or where the contents are straightforward and apparent then such an exercise may only take a few minutes.

2.1.5 In the event that a decision is taken to dispose of a particular document or set of documents, then consideration should be given to the method of disposal.

2.2 Roles and Responsibilities

2.2.1 Role of Directors:

2.2.2 Responsibility for determining whether to retain or dispose of specific documents rests with the individual Director, in respect of those documents that properly fall within the remit or control of their Directorate.

- 2.2.3 The rationale for this is that it is reasonable to both assume and expect that each Director should be broadly conversant with the types of documents received, generated and stored by their Directorate.
- 2.2.4 Because of the clear benefits resulting from the disposal of unnecessary documentation, Directors are expected to be proactive in carrying out or instigating audits of existing documentation that may be suitable for disposal.
- 2.2.5 Directors may delegate the operational aspects of this function to one or more senior officers within their Directorate. However, in doing so they should ensure that any such Officer is fully conversant with this Policy and is also familiar with the operational requirements of the Directorate in relation to document retention/disposal.

2.2.2 Role of the Legal Team

- 2.2.2 The Legal Team can advise on whether minimum retention periods are prescribed by law, and whether retention is necessary to protect the Council's position where the likelihood of a claim has been identified by the relevant Director.
- 2.2.2 The Legal Team will be available to provide Directors with advice and guidance on effective records management practices.

2.3 Data Protection Act (DPA)/General Data Protection Regulations (GDPR)

- 2.3.1 Directors need to be aware that under the DPA/GDPR personal data processed for any purpose must not be kept for 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.
- 2.3.2 Clearly, in many instances the retention of personal data will be necessary and thus justified. In general, provided there is adherence to this Policy few problems should arise.

3. RECORD DISPOSAL POLICY

3.1 Procedural Requirements

- 3.1.1 Once it has been determined that a document or record is no longer required, disposal must be in accordance with the one of the following procedures:
- Confidential waste – making use of the confidential bins within the council offices.

- Non-Confidential waste – making use of the recycling bins within the council offices.
- Physical destruction on site (e.g. paper records - shredding)
- Deletion – where computer files are concerned – includes email
- Migration of document to external body

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

3.1.3 Under no circumstances should paper documents containing personal data or confidential information be simply binned or deposited in refuse tips. 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 DPA/GDPR. Such documents should be destroyed on site (e.g. by shredding) or placed in the Confidential Waste (blue) bins.

3.1.4 Deletion – the Information Commissioner has advised that if steps are taken to make electronic data virtually impossible to retrieve, then this will be regarded as equivalent to deletion.

3.1.5 Migration of documents to a third party (other than for destruction or recycling) is unlikely to be an option in most cases. However, this method of disposal will be relevant where documents or records are of historic interest and/or have intrinsic value. The third party here could well be the National Archives previously known as the Public Record Office. “Migration” can, of course, include the sale of documents to a third party.

3.1.6 Recycling – wherever practicable disposal should involve recycling in-line with Council’s commitment to sustainable development and promoting an alternative waste disposal strategy. The recycling waste bins should be used for this purpose.

3.1.7 If a large scale disposal is taking place, the disposal should be documented by keeping a record of the document disposed of, the date and method of disposal, and the officer who authorised disposal, to ensure Officers are able to understand what stage has been reached during that process. Routine disposal in accordance with the Policy does not require a record to be kept.

4. KEY DISPOSAL/RETENTION CONSIDERATIONS

4.1 Introduction

4.1.1 No document should be earmarked for disposal unless due regard has first been given to the Key Disposal/Retention considerations detailed below, and to the Retention Schedule.

4.2 Retention required to fulfil Statutory or other Regulatory requirements?

4.2.1 There is little legislation that provides mandatory retention periods in local government. The legislation that does impose minimum retention periods, directly or indirectly 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. These retention periods are identified in the retention schedules.
- **Statutory Registers:** Various local government statutes require registers to be kept of certain events, notifications, or transactions. It is implicit within 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 purposes of carrying out the auditor's functions 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. (This is analogous to the position re Registers, above).
- **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.

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

4.3.1 The Council may be involved in disputes with third parties. Such disputes, if not satisfactorily resolved, can result in the dissatisfied party bringing legal proceedings against the Council. On the other hand, 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.

4.3.2 The six-year retention period and risk assessment: The majority of potential legal claims are statute barred on the expiry of 6 years. For this reason it is common for organisations to retain files/records for a period of 6 years from the date when the subject matter was completed.

4.3.3 It is important, though, to keep in mind that in the course of the Council's everyday business large numbers of documents are generated that serve no purpose after relatively short periods of time. Many documents will relate to completed matters where, realistically, the risk of subsequent litigation or other dispute is minimal, if not non-existent. Long-term retention of such documents is counterproductive. Directors 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 years' time frame.

4.4 Is retention required to meet the operational needs of the Directorate?

4.4.1 In some cases retention may be desirable even though no minimum retention period applies or has expired. Directors should be open to the danger of discarding documents or records that might be useful for future reference purposes, as precedents, or for performance management.

4.5 Is retention required because the document or record is of historic interest or intrinsic value?

4.5.1 It is possible that some documents currently in Council storage may be of historic interest and/or even have some monetary value.

4.5.2 If it is suspected that the document falls within this description appropriate enquires should always be made before taking any further action. The Legal Department should be contacted for advice and guidance in the first instance.

5. APPENDIX A - RETENTION SCHEDULE

5.1 Retention Standards - Contents

5.1.1 The Retention Schedule below details how long records should be kept for and authority used. Destruction of records must be undertaken in line with the authority's Disposal Policy. In cases where disposal is done outside of these standards this and the reasons for such action should be reported to the Principal Solicitor within the Legal Team.

Appendix 1 - Melton Borough Council Retention Schedule

1.0 Democratic Processes:

Elections Preparations:

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|--|
| 1.1. | Summary certification of those eligible to vote | Permanent Offer to Archivist after administrative use is concluded | <ul style="list-style-type: none"> Electoral Register | Electoral Registration & Administration Act 2013 |
| 1.2. | Voting (Local elections only) | Destroy 12 months from close of poll | <ul style="list-style-type: none"> Ballot papers | Representation of the People Act 1983 Schedule 1 Part 5 |
| 1.3. | Declaration of results (local elections only) | Destroy 12 months from date of election | <ul style="list-style-type: none"> Consolidated returns of votes received | Representation of the People Act 1983 |

Council and Committee Meetings:

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|--------------|---|---|--|--|
| 1.4. | Minute taking | Destroy after date of confirmation of the minutes | <ul style="list-style-type: none"> Draft/rough minutes Audio recording – Date of meeting plus 2 years | <p>Common Practice & Retention Guidance for Local Authorities (RGLA)</p> <p>Local Government Act 1972 & RGLA</p> |
| 1.5. | The process of preparing business for Council consideration and making the record of discussion, debate and resolutions | <p>Permanent</p> <p>Transfer to place of deposit after administrative use is concluded</p> | <ul style="list-style-type: none"> Council minutes Committee minutes | <p>Public Bodies (Admission to Meeting) Act 1960</p> <p>Local Government Act 1972</p> <p>Local Government Act 2000</p> |
| 1.5. (cont.) | As above | 6 years | <ul style="list-style-type: none"> Council agenda and business papers Council notice papers and proceedings Indexes | As above |
| 1.5. (cont.) | As above | 7 years | <ul style="list-style-type: none"> Registers of delegations to Special Committees – Date of delegation plus 7 years | As above |

Partnership, Agency and External Meetings:

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|-----------------|---|---|--|--|
| 1.6. | 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. | <p>Permanent</p> <p>Transfer to place of deposit after administrative use is concluded</p> | <ul style="list-style-type: none"> • Minutes | <p>Common Practice & Retention Guidance for Local Authorities (RGLA)</p> <p>Local Government Act 1972 & RGLA</p> |
| 1.6. (cont.) | As above | 6 years | <ul style="list-style-type: none"> • Documents establishing the committee • Agendas • Council reports • Recommendations • Supporting documents such as Council briefing and discussion papers | As above |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|--|
| 1.7. | 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 4 years after last action | <ul style="list-style-type: none"> • Documents establishing the committee • Reports • Recommendations • Supporting documents such as briefing and discussion papers. | Local Authorities Act (Executive Arrangements) (Meetings and Access to Information) (England) 2012 |

Honours and Submissions:

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|-------|
| 1.8. | The process of preparing of honours submission | Destroy 5 years after last action | <ul style="list-style-type: none"> • Honours nomination form • Covering documentation • Letters of support • Referral for comment from lord lieutenant | RGLA |

Political Parties Papers:

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|-----------------|
| 1.9. | The process of undertaking representation of the local authority - local authority representatives | Destroy 3 years after last action | <ul style="list-style-type: none">• Leader of opposition papers• Leader of council papers | Common practice |

2.0 Management & Administration:

Corporate Planning and Reporting

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|----------------------|
| 2.1. | The corporate planning and reporting activities of local authorities | Current Year plus 5 years Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports | Limitations Act 1980 |
| 2.2. | The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions | Permanent Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Strategic management team minutes | Common practice |
| 2.3. | The process of preparing business for cross departmental consideration and making the record of discussion, debate and resolutions | Destroy 3 years from closure | | Common practice |
| 2.4. | The process of preparing business for Unit/Team consideration and making the record of discussion, debate and resolutions | Destroy 3 years from closure Destroy rough drafts after date of confirmation of the minutes | | Common practice |

Statutory Returns

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|----------------------------------|---|---|
| 2.5. | The process of preparing information to be passed on to central government as part of statutory requirements | Current year plus 6 years | <ul style="list-style-type: none"> • Reports to central government | HMRC – Compliance Handbook Manual CH15400 |

Policy, Procedures, Strategy and Structure

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|--|
| 2.6. | Activities that develop policies, procedures, strategies and structures for the local authorities | 6 years from date of meeting or decision. | <ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development • Asset management plan • Community strategy • Community plan • Community safety plan | Local Authorities (Executive Arrangement) (Meetings and Access to Information) (England) 2012) |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|---------------------|--|
| 2.7. | The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines | 6 years from date of meeting or decision | | Local Authorities (Executive Arrangement) (Meetings and Access to Information) (England) 2012) |

Public Consultation

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|------------------------------------|---------------------|--|
| 2.8. | The process of consulting the public and staff in the development of significant policies of the local authority | 6 years from date created | | ESD Local Government Retention Record (LGRR) |
| 2.9. | The process of consulting the public and staff in the development of minor policies of the local authority | Destroy 1 year from closure | | Common practice |

Information Management

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|---|-----------------|
| 2.10. | The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively | Permanent Offer to Archivist for review Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Classification schemes • Registers • Indexes • Authorised lists of file headings | Common practice |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|--|-----------------|
| 2.11. | The management of collections of records transferred to the archives | Permanent Offer to Archivist for review Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Accession registers • Depositor files | Common practice |
| 2.12. | The process that records the disposal of records | Destroy 10 years after last action | <ul style="list-style-type: none"> • Disposal certificates | ESD LGRR |

Enquiries and Complaints

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|-----------------|
| 2.15. | The management in summary form of enquiries and complaints directed to council concluded. | Permanent Transfer to place of deposit after administrative use is | <ul style="list-style-type: none"> • Indexes • Registers | Common practice |
| 2.16. | The management of enquiries, submissions and complaints which result in significant changes to policy or procedures | Permanent Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Reports • Returns • Correspondence | Common practice |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|-----------------|
| 2.17. | The management of detailed responses on council actions, policy or procedures | Destroy 7 years after administrative use is concluded | <ul style="list-style-type: none"> • Reports • Returns • Correspondence | Common practice |
| 2.18. | Ombudsman Correspondence | Destroy 10 years from date complaint resolved | Ombudsman letters/emails | Common practice |
| 2.19. | The management of routine responses on council actions, policy or procedures | Destroy 2 years after administrative use is concluded | <ul style="list-style-type: none"> • Printed material • Form letters • FOI/EIR requests | Common practice |

Quality & Performance Management

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|-------------------------------------|---|-----------------|
| 2.19. | The process of monitoring or reviewing the quality, efficiency, or performance of a local authority service or unit | Destroy 5 years from closure | <ul style="list-style-type: none"> Best Value Review | Common practice |
| 2.20. | The process of assessing the quality, efficiency, or performance of a local authority service or unit | Destroy 2 years from closure | <ul style="list-style-type: none"> Assessment form | Common practice |

Publications

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|-----------------|
| 2.21. | The process of designing setting information for publication | Destroy 3 years from last action | | Common practice |
| 2.22. | The published work of the local authority | Destroy after 3 years administrative use is concluded | Note: One copy from the initial print run should go directly to the archive. | ESD LGRR |

Media Relations

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|---|----------|
| 2.23. | Process of interaction with the media | Destroy 3 years from closure | | ESD LGRR |
| 2.24. | Media publications concerning local authorities | Permanent Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Press cuttings • Media reports | ESD LGRR |

Marketing

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---------------------|----------|
| 2.25. | The process of developing and promotion of local authorities campaigns and events | 3 Years after last action Transfer to place of deposit after administrative use is concluded | | ESD LGRR |

Civic and Royal Events

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|----------|
| 2.26 | The recording of ceremonial events and civic occasions | Permanent. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Visitors' book • Audio tapes • Video tapes • Photographs | ESD LGRR |
| 2.27 | The process of organising a ceremonial event or civic occasions | Permanent. Transfer to place of deposit after administrative use is concluded | | ESD LGRR |

Housing Provision - The process of the allocation and management of welfare housing by the local authority and the associated issues of homelessness

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|------------------------|--|--|---------------------------------|
| 2.28 | General Housing Issues | Destroy after 6 years after termination of tenancy/ claim | <ul style="list-style-type: none"> • Housing Energy • Housing Benefits | Limitations Act 1980 & ESD LGRR |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|--|---------------------------------|
| | Supporting People | Destroy after 6 years after application | <ul style="list-style-type: none"> • Accounts • Right to Buy • Council Tax • Housing Development • Hostels • Housing Options • Tenancy Support • Sheltered Housing • Supported Housing • Community care • Housing Repairs • Outreach Teams | Limitations Act 1980 & ESD LGRR |
| | Tenancy Files | Destroy after 6 years after tenancy expires | <ul style="list-style-type: none"> • Case Files | |
| | Housing Grants / Renewals over £50k | Destroy after 12 years after claim / receipt | <ul style="list-style-type: none"> • Renewals and Grants over £50K | |
| 2.29. | The registration of individuals housing applications | Permanent Offer to Archivist. | <ul style="list-style-type: none"> • Council housing register | Common practice |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|--|
| 2.30. | The process for applying for council housing (Unsuccessful applications only, successful applications will generally be placed on the tenancy file) | Destroy 6 years after closure | <ul style="list-style-type: none"> • Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers | Common practice |
| 2.31. | The process for managing the tenancy of an individual tenant | Destroy 12 years after termination of tenancy | <ul style="list-style-type: none"> • 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 | Common practice These may need to be kept for a longer period of time in order to prove that the tenant was actually housed properly by the authority |

3.0 Legal & Contracts:

Litigation

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|--|---------------------|
| 3.1 | Claims The process of managing, undertaking or defending for or against litigation on behalf of the local authority. | 6 years after settlement of claims or 6 years from 18th birthday (of the claimant/respondent if under 18yrs at the time of litigation) whichever is later | <ul style="list-style-type: none">• High Court against the Council• High Court by the Council• County Court against the Council• County Court by the Council• Criminal cases against the Council• Criminal cases by the Council | Limitation Act 1980 |

Contracts

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|----------------------|--|---|---------------------|
| 3.2 | Contracts | <p>6 years after contract has concluded – if contract is signed underhand i.e. by signature only</p> <p>12 years after contract has concluded if contract is under seal /deed after the terms of contract have expired</p> | <ul style="list-style-type: none"> • Major Works • Computer • Minor Works (Non Standard) • Consultancy • Goods • Services • Concession • Commission (Work) • Minor Works Contract (Unit Rate) • General | Limitation Act 1980 |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|----------------------|---|---|-------|
| 3.3 | Debts | Retain for 7 Years since last correspondence | <ul style="list-style-type: none"> • Ex Tenant Arrears (without existing orders) • Overpaid Housing Benefit • Building Inspection Fees • Overpaid Housing Benefit to Landlord • Employee Debts • Rechargeable Works • Drain /Footway & Repair Work. • Commercial Debts • RTB service & Repair Charges • Works in default • Accident Damage • Overpaid Council Tax Reduction • Shop Front/Facelift Scheme • Housing Renovation Grant • Advertising • Ex-Tenant arrears (with existing court orders) • Tipping charges • Removal of rubbish • Sundry Debts | |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|-----------------|
| 3.4 | The process of managing, undertaking or, supporting or defending litigation on behalf of the Council. | Destroy 7 years after last action. N.B. Major litigation should be offered to Archivist for review | <ul style="list-style-type: none"> • Criminal case file • Civil case file • Correspondence | Common practice |

Advice

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---------------------|-----------------|
| 3.5 | The process of providing legal advice on a point of law. | Destroy 3 years after last action – unless a major precedent is set, then offer to Archivist for review | | Common practice |

Agreements

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|--|
| 3.6 | Process of agreeing terms between organisations Note : this does not include contractual agreements | Destroy 6 years after agreement expires or is terminated | <ul style="list-style-type: none"> • Concordat | Common practice Depends on value of agreement Mainly to do with agreements between public bodies, not in regard to contracts |

Conveyance (see also Property Acquisition and Disposal)

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---------------------------------------|--|-----------|
| 3.7 | The process of changing ownership of land or property | Destroy 12 years after closure | <ul style="list-style-type: none"> Conveyancing files | Statutory |

Contracts and Tendering

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|---|-----------------|
| 3.8 | Pre-Contract Advice - The process of calling for expressions of interest | Destroy 2 years after contract let or not proceeded with | <ul style="list-style-type: none"> Expressions of Interest | Common practice |

Specification and Contract Development

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|-----------|
| 3.9 | The process involved in the development and specification of a 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> | <ul style="list-style-type: none"> Tender specification <p>Note: For project files containing drafts leading to a final version these records can be destroyed.</p> | Statutory |

Tender Issuing and Return

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|---|-----------------|
| 3.10 | The process involved in the issuing and return of a tender | Destroy 1 year after start of contract | <ul style="list-style-type: none"> Opening notice Tender envelope | Common practice |

Evaluation of Tender

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|----------------------------|--|--|-----------|
| 3.11 | | <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> | <ul style="list-style-type: none"> Evaluation criteria | Statutory |
| 3.12 | Successful tender document | <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> | <ul style="list-style-type: none"> Tender documents Quotations | Statutory |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|-------------------------------|---|--|-----------------|
| 3.13 | Unsuccessful tender documents | Destroy 1 year after start of contract | <ul style="list-style-type: none"> • Tender documents • Quotations | Common practice |

Post Tender Negotiation

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|-----------------|
| 3.14 | The process in negotiation of a contract after a preferred tender is selected | Destroy 1 year after the terms of contract have expired | <ul style="list-style-type: none"> • Clarification of contract • Post tender negotiation minutes | Common practice |

Awarding of contract

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|----------------------------------|--|---|-----------|
| 3.15 | 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> | <ul style="list-style-type: none"> • Signed contract | Statutory |

Contract Management

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--------------------------------------|--|--|-----------------|
| 3.16 | Contract operation and monitoring | Destroy 2 years after the terms of contract have expired | <ul style="list-style-type: none"> • Service Level Agreements • Compliance reports • Performance reports | Common practice |
| 3.17 | 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> | <ul style="list-style-type: none"> • Minutes and papers of meetings • Changes to requirements • Variation forms • Extension of contract • Complaints • Disputes on payment | Statutory |

Tenancy Agreements

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|-----------|
| 3.18 | 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> | <ul style="list-style-type: none"> Signed tenancy agreements Sealed tenancy / lease agreements | Statutory |

RIPA

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|--|-----------|
| 3.19 | The process and forms relating to RIPA Authorisations | The retention period for the purposes of this guidance is three years from the ending of the authorised period. | All documents must be treated as strictly confidential and the authorising officer must make appropriate arrangements for their retention, security and destruction, in accordance with this policy. | Statutory |

4.0 Human Resources

Personnel Administration

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|---|
| 4.1 | Summary management systems that allow the monitoring & management of employees in summary form | <p>Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded</p> | <ul style="list-style-type: none"> • Employment Registers <ul style="list-style-type: none"> ○ Permanent Staff ○ Temporary Staff ○ Casual Staff • Registers of personnel files • Personal History cards <p>Note: The summary information that this record class attempts to capture is:-</p> <ul style="list-style-type: none"> • Name DOB • Marital Status • Gender • Date of appointment • Next of kin • Emergency contacts Work history details • Position/designation • Titles & dates held | <p>Limitation Act 1980 HMRC CH14530 (PAYE recordkeeping guidelines) RGLA 2003 Working Time Regulations 1998</p> |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|-------------|----------------------|--|---|----------|
| 4.1 (cont.) | As above | 6 years | <ul style="list-style-type: none"> • Salary master record • Timesheets Superannuation history card • Overpayments • E1As • Pay slips | As above |
| 4.1 (cont.) | As above | Rolling 2 years from end of flexi period, unless time keeping is disputed | <ul style="list-style-type: none"> • Flexi time | As above |
| 4.1 (cont.) | As above | 3 years after opt-out has been rescinded or ceased to apply | <ul style="list-style-type: none"> • Working Time Opt-out form | As above |
| 4.1 (cont.) | As above | Establishment Lists, retain for up to 5 years | <ul style="list-style-type: none"> • Employee contact details for recruitment / post / dept. • Salary verification/ mortgage etc. | As above |
| 4.1 (cont.) | As above | Salary verification and Benefit Agency enquiries, rolling 6 months. | <ul style="list-style-type: none"> • Salary verification • Benefit Agency enquiries | As above |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|------------------------|
| 4.2 | <p>The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements</p> <ul style="list-style-type: none"> Records containing superannuation information | <p>Destroy 6 years from date of last pension payment</p> | <ul style="list-style-type: none"> 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 | <p>Common practice</p> |
| 4.3 | <p>Records relating to staff working with children</p> | <p>Destroyed along with all Personal Files after 7 years.</p> | | <p>RGLA 2003</p> |
| 4.4 | <p>Leave All other records</p> | <p>Retain for 6 years from termination date</p> | <ul style="list-style-type: none"> Unpaid leave Paternity leave Maternity leave Compassionate leave Request and approval of annual leave carried forward Record of annual leave TOIL | |

Employee

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|------------------|---------------------|-----------------|
| 4.9 | 12 months after confirmation of satisfactory performance in employment | | | Common practice |

Industrial Relations

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|--|---------------------|
| 4.5 | Identification & development of significant directions concerning industrial matters | 6 years after leaving date. | <ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged | Limitation Act 1980 |
| 4.6 | Liaison processes of minor and routine industrial matters | Destroy 2 years after administrative use is concluded | <ul style="list-style-type: none"> • Daily industrial relations management | Common practice |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---------------------|--|
| 4.7 | Processing of disciplinary and grievances investigations where proved | Oral Warning – 6months Written Warning - 1 year Final Warning - 18months Grievances – 1 year from resolution (including exhaustion of Employment Tribunal rights) The above warnings to be removed & destroyed after the relevant time has 'spent'. Warnings Involving Children – Placed on personal file permanently | • Disciplinary | Common practice |
| 4.8 | Processing of disciplinary and grievances investigations where unfounded Capability | Destroy immediately after the grievance has been found to be have been unfounded; or after appeal | • Disciplinary | ICO (Employment Practices) Code Section 2.13.1 |

Equal Employment Opportunities

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---------------------|-----------------|
| 4.10 | The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies | Destroy 5 years after action completed | | Common practice |

Sickness Records

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|-------|
| 4.11 | For attendance management, Health and safety and SSP | Destroy after 1 year after creation date | <ul style="list-style-type: none"> • Certification of absence forms • Self-certification forms • Doctors certificate • Staff absence form/return • Sickness schedules | |

Occupational Health

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|--|-----------------|
| 4.12 | The process of checking and ensuring the health of staff | Destroy 8 years after date of check Health surveillance reports, duration of employment plus 6 years | <ul style="list-style-type: none"> • Health questionnaire • Medical clearance • Adjustment to work place • Restrictions • Recommendations | Common practice |

Recruitment

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|----------------------|
| 4.13 | The selection of an individual for an established position | Destroy 1 year after recruitment has been finalised Successful candidate – duration of employment | <ul style="list-style-type: none"> • Advertisements • Applications • Referee reports • Interview reports • Unsuccessful applicants | Limitations Act 1980 |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|--|--|
| | Unsuccessful candidate – 6 months from date of appointment | <ul style="list-style-type: none"> • Recruitment complaints • CRB disclosure – should not retain longer than necessary. In general this should be no longer than 6 months • Information on “hold” candidates | | |
| 4.14 | Psychometric testing | Destroy 12 months following recruitment | <ul style="list-style-type: none"> • Evaluation reports | As per external company guidelines, detailed on report |

Staff Monitoring

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|-----------------|
| 4.15 | Performance | Destroy 6 years after action completed | <ul style="list-style-type: none"> • Probation reports • Performance plans | Common practice |
| 4.16 | Process of monitoring staff leave and attendance | Destroy 3 years after action completed | <ul style="list-style-type: none"> • Sick leave • Jury service • Study leave • Special and personal leave • Attendance books • Flexi time sheets • Leave applications • Clock on/off cards • Annual leave | Common practice |

Staff Retention

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|----------------------------|--|---------------------|---|
| 4.17 | Financial reward | Destroy 7 years after action completed | | Common practice All records relating to actual payments are dealt with under finance |
| 4.18 | Other strategy Termination | Destroy 3 years after action completed | | Common practice |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|-----------------|
| 4.19 | The process of termination of staff through voluntary redundancy, dismissal and retirement | Destroy 7 years after termination If a pension is paid then records should be destroyed 6 years after last payment of pension | <ul style="list-style-type: none"> • Resignation • Redundancy (Section 188) • Dismissal • Death • Retirement • References | Common practice |

Training and Development

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|-----------------|
| 4.20 | Routine staff training processes, not occupational health and safety or children related | Destroy 2 years after action completed | <ul style="list-style-type: none"> • Course individual staff assessment | Common practice |
| 4.21 | Training (concerning children) | Destroy 35 years after training completed, or last entry | <ul style="list-style-type: none"> • Course individual staff assessment • training register | Common practice |
| 4.22 | Training (occupational health and safety training) | Destroy 50 years after training completed | <ul style="list-style-type: none"> • OH&S training register | Common practice |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|---|-----------------|
| 4.23 | Training (materials) Requests for training and training plans | Destroy 1 year after course is superseded Current and previous 2 years | <ul style="list-style-type: none"> • Staff requests • Managers nomination forms • Staff plans • Training agreements • Appraisal scheme | Common practice |
| 4.24 | Training (proof of completion) | Destroy 3 years after action completed | <ul style="list-style-type: none"> • Certificates • Awards • Exam results | Common practice |
| 4.25 | Personal Development Review Notes | 10 years | <ul style="list-style-type: none"> • Personal development review notes | |

Appointments of Statutory Officers

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|-----------------|
| 4.26 | Summary management systems that allow the monitoring & management of statutory officers in summary form | Permanent Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Magistrates register | Common practice |
| 4.27 | The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements | Destroy 6 years after departure from employment | | Common practice |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|-----------------|
| 4.28 | The appointment of an individual for a statutory position | Permanent Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Appointment Files | Common practice |
| 4.29 | The process of selection of an individual for an statutory position | Destroy 2 years after date of appointment | <ul style="list-style-type: none"> • Vacancies & applications records • Interview notes • Prospective staff records • Registers of applicants • Unsuccessful applications records | Common practice |

5.0 Financial Management

Accounts & Audit Reporting

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|---|
| 5.1 | The process that consolidates financial transactions on an annual basis for corporate reporting purposes | Destroy when cumulated into quarterly/annual reports | <ul style="list-style-type: none"> •Consolidated annual reports •Consolidated financial statements •Statement of financial position •Operating statements •General ledger | National Archive (3) accounting records |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|---|
| 5.2 | 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 when cumulated into quarterly/annual reports | <ul style="list-style-type: none"> •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 | National Archive (3) accounting records |

Financial Transactions Management

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|--|---|
| 5.3 | 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 | <ul style="list-style-type: none"> •Appointments& delegations •Audit investigations •Arrangements for the provision | National archive (3) accounting records |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|---|
| 5.4 | 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 | <ul style="list-style-type: none"> • Allowances • Work orders • Invoices • Credit card statements • Cash books • Receipts • Cheque counterfoils • Bank statements • Subsidiary ledgers (annual) • Journals (annual) • Vouchers | National archive (3) accounting records HMRC CH15400 |
| 5.5 | 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 | <ul style="list-style-type: none"> • Applications • Card issue • Rail warrants | National archive (3) accounting records |
| 5.6 | Processes that balance& reconcile financial accounts | Destroy 6 years after administrative use is concluded | <ul style="list-style-type: none"> • Reconciliation • Summaries of accounts | National archive (3) accounting records |
| 5.7 | Taxation Records | Destroy 7 years after the end of the financial year in which the records were created | <ul style="list-style-type: none"> • Taxation records • Motor vehicle logs • Fringe benefits tax records • Group certificates | |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|-------|
| 5.8 | Processes involved in the collection of National Insurance Number | Destroy 2 years after the employee ceases employment | <ul style="list-style-type: none"> • Notification & input records | |

Financial Provisions Budgets and Estimates

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|---|
| 5.9 | Processes relating to payment of employees | Destroy 6 years after the conclusion of the financial transaction that the record supports | <ul style="list-style-type: none"> • Authority sheets • Payroll deduction authorities • Payroll disbursement • Employee pay records • Employee taxation records | |
| 5.10 | Non-accountable processes relating to payment of employees | Destroy after administrative use is concluded | <ul style="list-style-type: none"> • Summary employee pay reports | |
| 5.11 | The process of finalising local authorities' annual budget | Permanent Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Annual budget | Common practice Only the final version of the annual budget needs to be kept |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|--|-------|
| 5.12 | The process of developing local authorities' annual budget | Destroy 2 years after annual budget adopted by local authorities | <ul style="list-style-type: none"> • Draft budgets • Departmental budgets • Draft estimates | |
| 5.13 | The process of reporting which examines the budget in relation to actual revenue and expenditure | Destroy after next year's annual budget has been adopted by Local Authorities | <ul style="list-style-type: none"> • Quarterly statements | |

Loans

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|---|-----------------|
| 5.14 | The activity of borrowing money to enable a local authority to perform its functions and exercise its powers | Destroy 7 years after the loan has been repaid | <ul style="list-style-type: none"> • Loan files | |
| 5.15 | Summary management of loans | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Loans registers | Common practice |

Housing

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|----------------------|
| 5.16 | The process of offering financial help with welfare housing provision and maintenance | 6 years from the date the records created | | Limitations Act 1980 |
| 5.17 | Mortgages | Last payment + 6 years if signed Last payment +12 years if sealed | <ul style="list-style-type: none"> • Mortgage agreements • Correspondence | Statutory |
| 5.18 | “Right to Buy” | Destroy 12 years after sale of house | <ul style="list-style-type: none"> • Agreement concerning sale • Sale documents | |
| 5.19 | Rent Payments | Destroy 6 years after the end of the financial year in which created | <ul style="list-style-type: none"> • Rent books • Correspondence concerning payment • Requests for payment | Limitations Act 1980 |
| 5.20 | 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 Where plans and detailed drawings included offer to Archivist. | <ul style="list-style-type: none"> • Agreement to pay loan • Details of payments • Correspondence relating to loan | Common practice |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|-----------------|
| 5.21 | The valuation of domestic and rateable properties within a municipal district for the purpose of local taxation. | Valuation lists - Permanent. Other documents destroy 6 years after the year in which the valuation made | <ul style="list-style-type: none"> • Valuation / Rating lists • Correspondence • Reports | Common practice |

Property History

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|---|-------|
| 5.22 | The recording of information for rateable properties identifying the person or company rated, including details of the value of the property. 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 & Audit function. | Permanent. Transfer to Place of Deposit after administrative use is concluded | <ul style="list-style-type: none"> • Register of Rateable Properties | |

Business Rates / Local Taxation and Benefit Correspondence

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|-----------------------------------|--|-----------------|
| 5.23 | <p>The activity of corresponding with ratepayers in relation to valuations, rates and charges, objections, submissions, appeals, rate remissions and other rates related matters.</p> <p>The activity of corresponding to Benefit claimants relating to claims, change in circumstances, appeals and other related matters.</p> | Destroy 7 years after last action | <ul style="list-style-type: none"> • Notices • Objections • Applications • Correspondence • Rate certificates • Notices of acquisition and disposition • Rate property files • Correspondence • Appeals | Common practice |

Asset Monitoring & Maintenance

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|-------|
| 5.26 | 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 | <ul style="list-style-type: none"> • Subsidiary asset registers | |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|---|-------|
| 5.27 | Process of reporting and reviewing assets status | Destroy 2 years after administrative use is concluded | <ul style="list-style-type: none"> • Routine returns and reports on asset status • Inventories • Stocktaking • Surveys of usage • Acquisition and disposal reports & proposals | |
| 5.28 | The process of maintaining assets | Destroy 7 years after last action | <ul style="list-style-type: none"> • Garden maintenance • Cleaning • Painting | |
| 5.29 | The process of maintaining plant and equipment | Destroy 7 years after sale or disposal of asset | <ul style="list-style-type: none"> • Service records • Plant files | |

Asset Acquisition and Disposal

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|-----------|
| 5.30 | Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets | Destroy 6 years, if under £50 000 or 12 years if over £50 000, after all obligations/entitlements are concluded | <ul style="list-style-type: none"> • Legal documents relating to the purchase/sale • Particulars of sale documents • Board of survey • Leases • Applications for leases, licenses & rental revision • Tender documents • Conditions of contracts • Certificates of approval | Statutory |

6.0 Property & Land Management

Property and Land Management

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|--|-----------------|
| 6.1 | Reports to management on overall property of the local authority | Permanent. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Consolidated property & buildings annual reports • Summary of leased property • Summary of local authority's owned property • Site register • Register of leases | Common practice |

Property Acquisition and Disposal

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|---|-----------------|
| 6.2 | Management of the acquisition (by financial lease or purchase)process for real property See also Conveyancing | Retain for life of property or building plus 12 years. Offer material re major/significant properties to Archivist for review | <ul style="list-style-type: none"> •Plans | Common practice |
| 6.3 | Management of the disposal (by sale or write off)process for real property | Destroy 15 years after all obligations / entitlements are concluded. Offer material re major/significant properties to Archivist for review | <ul style="list-style-type: none"> •Legal documents relating to the sale •Particulars of sale documents •Board of Survey • Tender documents •Conditions of contracts | Common practice |

Property Development and Renovation

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|---|
| 6.4 | The process of managing and undertaking renovations and development of property | Permanent Transfer to place of deposit after administrative use is concluded | | |
| 6.5 | Management • buildings and estates of “special interest” | Permanent Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval | |
| 6.6 | Management • all other buildings and estates | Retain for life of property or building | <ul style="list-style-type: none"> • Project specifications • Plans • Installation manuals • Certificates of approval | Common practice For asbestos see health and safety under General Public Services |
| 6.7 | The action process involved in the development and renovation of property | Destroy 7 years after the conclusion of the transaction that the record supports | <ul style="list-style-type: none"> • Work orders • Tender documents • Conditions of contracts | |

Property Development and Renovation

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|-------|
| 6.8 | The process of managing leased property | Destroy 15 years after the expiry of the lease | <ul style="list-style-type: none"> • Lease agreements • Rental expenditure authorities • Valuation queries • Applications for leases, licences & rental revision | |
| 6.9 | The process of managing the occupancy of property | Destroy 7 years after the conclusion of the transaction that the record supports | <ul style="list-style-type: none"> • Requests for works, cleaning, etc. | |

Housing Provision

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|-----------------------------------|--|----------------------|
| 6.10 | The process of managing local authority welfare housing estates | Destroy 6 years after last action | <ul style="list-style-type: none"> • Stock monitoring records | Limitations Act 1980 |

System Management

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|-------|
| 6.11 | 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 | | |
| 6.12 | The process to implement a system used to support the activities of the local authority | Destroy 6 years after last action | <ul style="list-style-type: none"> • Implementation plan | |
| 6.13 | The process to support and administer a system used to support the activities of the local authority | Destroy 6 years after last action | | |

Transport Management

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|---------------------|
| 6.14 | The process of acquisition and disposal of vehicles through lease or purchase | Destroy 6 years after the disposal of the vehicle | <ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet authorisation numbers | Limitation Act 1990 |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|--|----------------------|
| 6.15 | The process of managing allocation & maintenance of vehicles | Destroy 6 years after the sale or disposal of the vehicle | <ul style="list-style-type: none"> • Approvals as drivers • Allocations & authorisations for vehicles • Maintenance | Limitations Act 1980 |
| 6.16 | The process of recording vehicle usage | Destroy 6 years after the sale or disposal of the vehicle | <ul style="list-style-type: none"> • Vehicle usage reports | Limitations Act 1989 |
| 6.17 | The process of recording drivers usage | Destroy 6 years after closure | <ul style="list-style-type: none"> • Vehicle log book | Limitations Act 1980 |

Insurance Policy Management

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|--|----------|
| 6.18 | The summary management of insurance arrangements | Permanent/Archive | <ul style="list-style-type: none"> • Insurance register | |
| 6.19 | The process of insuring local authority officers, property, vehicles and equipment against negligence, loss or damage | Destroy 7 years after the terms of the policy have expired | <ul style="list-style-type: none"> • Insurance policies • Correspondence | ESD LGRR |
| 6.20 | The process of renewing insurance policies | Destroy 7 years after the insurance policy has been renewed | <ul style="list-style-type: none"> • Insurance policy Renewal records • Correspondence | ESD LGRR |

Insurance Claims Management

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|---|---------------------|
| 6.21 | The process that records insurance claims against the local authority or local authority officers | Destroy 6 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age) | <ul style="list-style-type: none">• Claims records• Correspondence | Limitation Act 1990 |

7.0 General Public Services

Health & Safety Inspections / Assessments

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|-------------------------------|--------------------------------------|
| 7.1 | Process of inspecting and assessing equipment to ensure it is safe | Destroy 6 years from record being created. | •Equipment inspection records | Limitation Act 1990 |
| 7.2 | Processing the geo-technical assessments of a quarry | When quarry is no longer in use consult or refer to Health and Safety Executive(HSE) | | Statutory |
| 7.3 | Process of carrying out monitoring to ensure that the process is safe | Destroy 6 years from record being created | •Monitoring results | Limitation Act 1990 |
| 7.4 | Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos | Destroy 40 Years from last action | •Property asbestos files | Control of Asbestos Regulations 2012 |
| 7.5 | Process of monitoring of areas where employees and persons are likely to have come in contact with radiation | Destroy 50 years from last action or at age 75 years whichever is the greater | •Radon monitoring | Ionising Radiation Regulations 1999 |
| 7.6 | Process to ensures safe systems of work | Destroy 6 years | | Limitations Act 1980 |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--------------------------------------|----------------------|---|
| 7.7 | Process to assess the level of risk | Destroy 6 years from last assessment | •Risk assessment | Limitations Act 1980 |
| 7.8 | Processes that permit work | Destroy 6 years from last action | Limitations Act 1980 | |
| 7.9 | Process that records injuries to adults | Destroy 3 years from closure | • Accident books | Reporting of Injuries Diseases & Dangerous Occurrences Regulations 2013 |
| 7.10 | Process that records injuries to children | Destroy 25 years from closure | • Accident books | Limitation Act 1980 |

Emergency Planning

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|-----------------------|-------|
| 7.11 | Process to develop the emergency/disaster plan for the local community | Permanent. Transfer to place of deposit after superseded | • Major Incident Plan | |
| 7.12 | Process of recording the results of the test for emergency/disaster plan for the local community | Destroy 7 years after closure | | |

Major Incidents

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|---------------------|-------|
| 7.13 | Activities that report on all major incidents in the local community, whether the emergency plan has been invoked or not | Permanent Transfer to place of deposit after administrative use is concluded | | |
| 7.14 | Activities that report on all minor incidents in the local community | Destroy 7 years after closure | | |

Enforcement Certification and Prosecution Registration, Certification and Licensing

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|--|---|---------------------|
| 7.15 | The administration of applications, registration, certification and licences in relation to local authorities' registration requirements | Destroy 6 years after registration or entitlement lapses | <ul style="list-style-type: none"> • Applications for animal registration • Applications for registration of a business premises • Registers • Certificates of registration of: taxi drivers, beauty therapists • Gaming | Limitation Act 1990 |

Prosecution

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|-----------------------------------|--|-------|
| 7.16 | 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. | <ul style="list-style-type: none">• Prosecution/sanction files | |

Bylaws – Enactments

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|----------------------------------|---|--|-------|
| 7.17 | The process of making local laws | Permanent. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none">• Master Set of bye-laws• Policy Development documents• Correspondence• Submissions | |

Bylaws – Administration & Enforcement

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|--|--|
| 7.18 | The process of administering and enforcing bye-laws | Destroy 6 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence | <ul style="list-style-type: none"> • Applications and certificates • Permits | Limitation Act 1980 ESD Local Government Record Retention |

Cemeteries & Crematoria

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|---|
| 7.19 | Summary management systems that record the location of burials and identity of deceased individuals | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Register of interments • Cemetery register • Cemetery plans | ESD Local Government Record Retention The Cremation (England and Wales) Regulations 2008 |
| 7.20 | The process of regulation of burials and cremations | Destroy 15 years after last action NB – if records are held electronically then paper copies can be destroyed | <ul style="list-style-type: none"> • Permits • Applications • Orders | Limitation Act 1990 The Cremation (England and Wales) Regulations 2008 |

Waste Management – Collection and Disposal of Waste

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|--|---|
| 7.21 | The process of arranging the collection or transportation of household waste | Destroy 3 years after last action | | Environmental Protection (Duty of Care) Regulations 1991 NB – The waste management contractor must retain notes for 6 years under landfill tax legislation |
| 7.22 | The process of arranging the collection or transportation of controlled waste | Destroy 6 years after last action | | Limitation Act 1990 ESD Local Government Record Retention |
| 7.23 | The summary management of sites used for the disposal of waste within the local authority | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | | |
| 7.24 | The process of the short- term storage of household waste | Destroy 6 years after site closure | <ul style="list-style-type: none"> • Transfer sites | |
| 7.25 | The process involved in managing the use, type and amount of waste to be disposed at a specific site | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Waste site plans | ESD Local Government Record Retention |

8.0 Planning & Enforcement

Planning Scheme Development and Amendment

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|--|---|-------|
| 8.1 | The activity of developing a vision and strategic directions regarding existing and future land use within the Local Authority to ensure the implementation of the Unitary Development Plan and its replacement the Local Development Framework | Permanent. Offer to Archivist when plan superseded | <ul style="list-style-type: none"> • Local Plan • Town Centre Plans | |
| 8.2 | The activity of consultation to gain approval for the Development Plan and its replacement the Local Development Framework | Permanent. | <ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of public • Public Inquiry documents | |
| 8.3 | The activity of recording information on historical buildings, monuments and ecology at a specific site | Permanent. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Sites and Monuments records • Ecological records • Species records • Historically listed buildings • Definitive map | |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|--|-----------------|
| 8.4 | The process of receiving, considering and responding to submissions and objections to planning schemes and amendments | Destroy 10 years after decision. Offer controversial/high profile schemes to Archivist | <ul style="list-style-type: none"> • Objections • Inquiries – Public etc. • Archaeological: advice/conditions | Common practice |
| 8.5 | The process of controlling development of areas through applications for planning permission | Transfer planning application register to Archivist once the register has been completed (or at arranged intervals if it is held electronically) Refer all other records to Archivist for sampling | <ul style="list-style-type: none"> • Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register | |
| 8.6 | The process of maintaining the countryside and developing open spaces for public amenity | Permanent Refer all files relating to policy to the Archivist Destroy other files 7 years after administrative use concluded | <ul style="list-style-type: none"> • Tree Preservation Orders • Country parks and nature reserves development plans and correspondence, land purchase agreements | |

Planning Scheme Regulation

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|---|---|--|---------------------------------------|
| 8.7 | The summary management of planning scheme regulation | Permanent. Offer to Archivist. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Building Control registers | ESD Local Government Record Retention |
| 8.8 | The process of regulating the planned use of land or buildings | Destroy 15 years after closure | | |
| 8.9 | The process of approving building applications in relation to listed or other significant buildings | Permanent. Offer to Archivist for review. Transfer to place of deposit after administrative use is concluded | <ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificates | |

| Ref No. | Function Description | Retention Action | Examples of Records | Notes |
|---------|--|---|---|--|
| 8.10 | The process of approving building applications, for all other buildings | Destroy 10 years after construction completed | <ul style="list-style-type: none"> • Building files • Plans • Specifications • Correspondence • Applications • Permits • Certificate • Objections | Building Control Performance Standards 2006 ESD Local Government Record Retention |
| 8.11 | The process of inspecting building work for the purpose of insuring compliance | Destroy 10 years after the issue of a certificate of final inspection | <ul style="list-style-type: none"> • Certificate of final inspection • Objections • Building Inspection records • Diaries | Common practice |
| 8.12 | The process of enforcing building or land regulations | Destroy 3 years after compliance with enforcement notice | | |

9.0 Plant & Equipment Maintenance and Inspection

Planning Scheme Regulation

| Ref No. | Function Description | Retention Action | | Examples of Records | Notes |
|---------|--|------------------|-------|---------------------------|--|
| 9.1 | Lifting equipment | N/A | N/A | 2 years after last use | |
| 9.2 | Work equipment | N/A | N/A | Until next inspection | It is advised that these records should not be disposed of until at least 3 years after inspection |
| 9.3 | Scaffolding | N/A | N/A | 3 months after dismantled | |
| 9.4 | Local exhaust ventilation examination and test reports | 5 years | CoSHH | Permanently | Limitation can commence from knowledge of potential claim, not cause of it. AHL will require these records to defend industrial disease operational injury claims. |
| 9.5 | Noise Surveys/data | N/A | N/A | Permanently | Limitation can commence from knowledge of potential claim, not cause of it. AHL will require these records to defend industrial disease operational injury claims. |
| 9.6 | Vibration surveys/data | N/A | N/A | Permanently | Limitation can commence from knowledge of potential claim, not cause of it. AHL will require these records to defend industrial disease operational injury claims. |

| Ref No. | Function Description | Retention Action | | Examples of Records | Notes |
|---------|----------------------|------------------|-----|------------------------|--|
| 9.7 | Vehicle maintenance | N/A | N/A | 2 years after disposal | |
| 9.8 | Electrical equipment | N/A | N/A | 3 years after disposal | |
| 9.9 | Access equipment | N/A | N/A | Until next inspection | It is advised that these records should not be disposed of until at least 3 years after inspection |