



North Hertfordshire District Council

Retention Schedule

Part of the Council's Financial Regulations and Standing Orders.

2004 To 05

Final Version

Contents

Elections	Page 4
Elections Preparation	
Elections Results	
Council And Committee Meetings	Page 5
External Committee meetings (Partnership and agency meetings)	
Political parties papers	
Management and Administration	Page 6
Corporate Planning and Reporting	
Statutory returns	
Policy, Procedures, Strategy and Structure	
Public Consultation	
Information management	
Enquiries, and complaints	
Quality and performance management	
Public Relations	Page 8
Publications	
Media relations	
Promotions	
Civic And Royal Events	
Client Services	Page 9
Housing Provision	
Legal and Contract Services (Legal Services)	Page 10
Litigation	
Advice	
Agreements	
Conveyance	
Legal and Contract Services (Contract Services)	Page 11
Pre contract advice	
Specification and Contract Development	
Tender Issuing and Return	
Evaluation of Tender	
Post Tender Negotiation	
Awarding of Contract	
Contract Management	
Human Resources	Page 13
Personnel Administration	
Employee and Industrial Relations	
Equal Employment Opportunities	
Occupational Health	
Recruitment	
Staff Monitoring	
Staff Retention	
Termination	
Training and Development	
Appointments of Statutory Officers	

Financial Management (Accounts & Audit)	Page 17
Reporting	
Financial Transactions Management	
Financial Transactions Management (Continued)	
Payroll	
Financial Management (Financial Provisions)	Page 19
Budgets And Estimates	
Loans	
Housing	
Council Tax Valuation	
Property History	
Rates and Local Authorities Tax Correspondence	
Summary Assets Management	
Asset Monitoring and Maintenance	
Asset Acquisition and Disposal	
Financial Management (Property and Land Management)	Page 22
Property Acquisition and Disposal	
Property Development and Renovation	
Leasing And Occupancy	
Transport Management	
Financial Management (Insurance)	Page 24
Policy management	
Claims Management	
Health and Safety	Page 25
Inspections and assessments	
General Public Service (Emergency Planning)	Page 26
Major Incident	
General Public Service (Enforcement Certification and Prosecution)	Page 27
Registration, Certification and licensing	
Notification	
Investigation, Inspection and Monitoring	
Prosecution	
General Public Service (Bye Laws)	Page 29
Enactment	
Administration & Enforcement	
General Public Service (Cemeteries & Crematoria)	Page 30
General Public Service (Waste Management)	Page 31
Collection	
Disposal of Waste	
Planning and Land Use	
Planning Scheme Development and Amendment	
Planning Scheme Regulation	
Planning and Land Use	Page 32
Planning Scheme Development and Amendment	
Planning Scheme Regulation	
Infrastructure and Transport	Page 34
Planning and Development	
Infrastructure Management and Maintenance	
Road Maintenance	

Elections**Elections Preparation**

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Summary certification of those eligible to vote	Permanent.	<ul style="list-style-type: none"> • Electoral Register
Voting	Destroy 6 months from close of poll	<ul style="list-style-type: none"> • Ballot papers

Elections Results

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Declaration of results	Destroy 6 months from date of election	<ul style="list-style-type: none"> • Consolidated Returns of Votes Received

Council And Committee Meetings

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of preparing business for Council consideration and making the record of discussion, debate and resolutions	Permanent	<ul style="list-style-type: none"> • Council Minutes • Council Agenda and Business Papers • Council Notice Papers and Proceedings • Committee Minutes • Registers of Delegations to Special Committees
Minute taking	Destroy after date of confirmation of the minutes	<ul style="list-style-type: none"> • Draft/Rough Minutes • Audio Tapes

External Committee Meetings (Partnership And Agency Meetings)

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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.	Permanent	<ul style="list-style-type: none"> • Documents establishing the committee • agendas • minutes • Council reports • Recommendations • Supporting documents such as Council briefing and discussion papers.
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 1 years after last action	<ul style="list-style-type: none"> • documents establishing the committee • agendas • minutes • reports • recommendations • Supporting documents such as briefing and discussion papers.

Political Parties Papers

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of undertaking representation of the local authority. - Local Authorities officers	Destroy 3 years after last action	<ul style="list-style-type: none"> • Leader of opposition papers • Leader of council papers

Management and Administration

Corporate Planning and Reporting

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The corporate planning and reporting activities of Local Authorities	Permanent.	<ul style="list-style-type: none"> • Corporate Plans • Strategy • Business Plans • Annual Reports
The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions	Permanent.	<ul style="list-style-type: none"> • Strategic management team minutes
The process of preparing business for Cross departmental consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure	
The process of preparing business for Business Unit consideration and making the record of discussion, debate and resolutions	Destroy 3 years from closure	

Statutory Returns

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 7 years from closure	

Policy, Procedures, Strategy and Structure

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Activities that develop policies, procedures, strategies and structures for the Local Authorities.	Permanent.	<ul style="list-style-type: none"> • Policy, Procedure, Precedent, Instructions • Organisation Charts • Records relating to Policy Implementation and Development • Education plan • Asset management plan • Children' services Plan • Community Strategy • Community Plan • Community safety plan
The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure	

Public Consultation

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of consulting the public and staff in the development of significant policies of the local authority	Destroy 5 years from closure	
The process of consulting the public and staff in the development of minor policies of the local authority	Destroy 1 year from closure	

Information Management

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively.	Permanent.	<ul style="list-style-type: none"> • Classification Schemes • Registers • Indexes • Authorised Lists of File Headings

Enquiries, And Complaints

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
<ul style="list-style-type: none"> • The management in summary form of enquiries and complaints directed to council. 	Permanent.	<ul style="list-style-type: none"> • Indexes • Registers
The management of enquiries, submissions and complaints which result in significant changes to policy or procedures	Permanent.	<ul style="list-style-type: none"> • Reports • Returns • Correspondence
The management of detailed responses on Council actions, policy or procedures	Destroy 6 years after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence • Ombudsman
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

Quality And Performance Management

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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
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

Public Relations**Publications**

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of designing setting information for publication.	Destroy 3 years from last action	
The published work of the local authority	Destroy after administrative use is concluded.	

Media Relations

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Process of interaction with the media	Destroy 3 years from closure	
Media publications concerning Local Authorities	Permanent.	<ul style="list-style-type: none"> • Press cuttings • Media reports

Promotions

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of developing and promotion of Local Authorities Campaigns and events	Permanent.	

Civic And Royal Events

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The recording of ceremonial events and civic occasions	Permanent.	<ul style="list-style-type: none"> • Visitors Book • Audio Tapes • Video Tapes • Photographs • Newspaper Clippings
The process of organising a ceremonial event or civic occasions	Destroy 7 years after administrative use is concluded	

Client Services

Housing Provision

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

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of registering the individuals applying for housing.	Permanent.	<ul style="list-style-type: none"> • Council Housing Register
The process for applying for council housing. (Unsuccessful applications)	Destroy 7 years after closure	<ul style="list-style-type: none"> • Council housing Application forms and supporting material • Application for transfer of tenancy and supporting papers
The process for managing the tenancy of an individual tenant.	Destroy 12 years after termination of tenancy.	<ul style="list-style-type: none"> • Correspondence • Council housing Application forms and supporting material • Application for emergency housing or referral from another agency

Legal and Contract Services (Legal Services)**Litigation**

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of managing, undertaking or defending for or against litigation on behalf of the local authority.	Destroy 7 years after last action. Major litigation – offer to Archivist for review	<ul style="list-style-type: none"> • Criminal case file • Civil case file • Correspondence

Advice

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of providing legal advice on a point of law.	Destroy 3 years after last action.	

Agreements

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Process of agreeing terms between organisation. Note this does not include contractual agreements	Destroy 5 years after agreement expires or is terminated	<ul style="list-style-type: none"> • Concordant

Conveyance

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of transferring land ownership.	Destroy 6 years after closure	<ul style="list-style-type: none"> • Land charges

Legal and Contract Services (Contract Services)

Pre contract advice

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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

Specification and Contract Development

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
<i>The process involved in the development and specification of a contract</i>	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired. <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	Tender specification Note For project files containing drafts leading to a final version these records can be destroyed.

Tender Issuing and Return

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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

Evaluation of Tender

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Summary tender evaluation criteria	<ul style="list-style-type: none"> <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired. <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> Evaluation criteria
Successful tender document	<ul style="list-style-type: none"> <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired. <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> Tender documents Quotations
Unsuccessful tender documents	Destroy 1 year after start of Contract	<ul style="list-style-type: none"> Tender documents Quotations

Post Tender Negotiation

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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

Awarding of Contract

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process awarding of contract	<ul style="list-style-type: none"> • <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired. • <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired 	<ul style="list-style-type: none"> • Signed contract

Contract Management

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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
Management and amendment of contract	<p>(a) <u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired.</p> <p>(b) <u>Contracts Under Seal</u> 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

Human Resources

Personnel Administration

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
<p>Summary management systems that allow the monitoring & management of employees in summary form. <u>Note The summary information that this record class attempts to capture is as follows</u></p> <p>Name Date of Birth Date of Appointment Work History Details Position/Designation Titles & Dates Held</p>	Permanent.	<ul style="list-style-type: none"> • Employment Register – Permanent Staff • Employment Register – Temporary Staff • Employment Register – Casual Staff • Starter Forms • Registers of Personnel Files • Personal History Cards • Superannuation History Card • Salary Master Record
<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 	Destroy 6 years from date of last pension payment	<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
<ul style="list-style-type: none"> • Records relating to staff working with children 	Termination + 25 years	
<ul style="list-style-type: none"> • All other records 	Termination + 6 years	

Employee and Industrial Relations

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Identification & development of significant directions concerning industrial matters	Permanent.	<ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged
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
Processing of Disciplinary and Grievances Investigations where proved	Destroy 7 years after administrative use is concluded.	<ul style="list-style-type: none"> • Disciplinary
Processing of Disciplinary and Grievances Investigations where unfounded)	Destroy immediately after the grievance has been found to be have been unfounded; or after appeal	<ul style="list-style-type: none"> • Disciplinary

Equal Employment Opportunities

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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	

Occupational Health

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of checking and ensuring the health of staff.	Destroy 50 years after last action	<ul style="list-style-type: none"> • health questionnaire • medical clearance • adjustment to work place • restrictions • recommendations

Recruitment

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised. For letter of appointment for successful candidate use employment conditions)	<ul style="list-style-type: none"> • Advertisements • Applications • Referee reports • Interview reports • Unsuccessful applicants

Staff Monitoring

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Performance	Destroy 5 years after action completed	<ul style="list-style-type: none"> • Probation reports • Performance plans
Process of monitoring staff leave and attendance.	Destroy 2 years after action completed	<ul style="list-style-type: none"> • Sick leave • Jury service • Study leave • Special and personal leave • Attendance books • Flexitime sheets • Leave applications • Annual leave

Staff Retention

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Financial reward	Destroy 7 years after action completed	
Other strategy	Destroy 3 years after action completed	

Termination

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of termination of staff through voluntary redundancy, dismissal and retirement.	Destroy 6 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 • Dismissal • Death • Retirement

Training and Development

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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
<ul style="list-style-type: none"> • Training (concerning children) 	Destroy 35 years after training completed, or last entry	<ul style="list-style-type: none"> • Course individual staff assessment • training register
<ul style="list-style-type: none"> • Training (occupational health and safety training) 	Destroy 50 years after training completed Individual course assessment records should be destroyed once the training has been renewed every 3 years	<ul style="list-style-type: none"> • OH&S training register
<ul style="list-style-type: none"> • Training (materials) 	Destroy 1 year after course is superseded	
<ul style="list-style-type: none"> • Training (proof of completion) 	Destroy 7 years after action completed	<ul style="list-style-type: none"> • Certificates • Awards • Exam results

Appointments of Statutory Officers

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Summary management systems that allow the monitoring & management of statutory officers in summary form.	Permanent.	

The process of administering employees to ensure that entitlements & obligations are in accordance with agreed employment requirements	Destroy 6 years after departure from Employment	
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

Financial Management (Accounts & Audit)

Reporting

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process that consolidates financial transactions on an annual basis for corporate reporting purposes.	Permanent.	<ul style="list-style-type: none"> • Consolidated Annual Reports • Consolidated Financial Statements • Statement of Financial Position • Operating Statements • General Ledger
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 administrative use is concluded.	<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

Financial Transactions Management

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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 of Goods and/or Services
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 Butts • Bank Statements • Subsidiary Ledgers (Annual) • Journals (Annual) • Vouchers • Over and unders records
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
Processes that balance & reconcile financial accounts	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Reconciliation's • Summaries of Accounts

Taxation Records	Destroy 5 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
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

Payroll

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Accountable processes relating to payment of employees	Destroy 7 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
Non-accountable processes relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> • Summary Employee Pay Reports

Financial Management (Financial Provisions)

Budgets And Estimates

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of finalising Local Authorities' annual budget	Permanent.	<ul style="list-style-type: none"> • Annual Budget
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
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

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The activity of borrowing money to enable Local Authorities 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
Summary management of loans	Permanent.	<ul style="list-style-type: none"> • Loans Registers

Housing

The process of offering financial help with welfare housing provision and maintenance

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Mortgages	<p><i>Last payment + 6 years if signed</i></p> <p>Last payment +12 years if sealed</p>	<ul style="list-style-type: none"> • Mortgage agreements • Correspondence
"Right to Buy"	<i>Sale of house + 20 years</i>	<ul style="list-style-type: none"> • Sale documents • Agreement concerning sale
Rent Payments	<i>Current + 6 years</i>	<ul style="list-style-type: none"> • Rent books • Correspondence concerning payment • Requests for payment
Home Improvement Grants	<p><i>Last payment + 6 years</i></p> <p><i>Where plans and detailed drawings included</i></p> <p><i>Permanent. Offer to Archivist.</i></p>	<ul style="list-style-type: none"> • Agreement to pay loan • Details of payments • Correspondence relating to loan

Council Tax Valuation

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The valuation of rateable land within a municipal district for the purpose of the making of the rate	Valuation lists - Permanent. Destroy 10 years after the year in which the valuation was made	<ul style="list-style-type: none"> ● Valuation lists ● Correspondence ● Objections ● Reports

Property History

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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.	<ul style="list-style-type: none"> ● Rate Books ● Rate Cards ● Register of Rateable Properties

Rates and Local Authorities Tax Correspondence

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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	<ul style="list-style-type: none"> ● Notices ● Objections ● Applications ● Correspondence ● Rate Certificates ● Notices of Acquisition and Disposition ● Rate Property Files

Summary Assets Management

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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.	<ul style="list-style-type: none"> ● Schedules of Acquisitions ● Consolidated Current Asset Reports ● Annual Reports ● Summary of Current Assets ● Asset Registers

Asset Monitoring and Maintenance

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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
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
The process of maintaining an assets	Destroy 7 years after last action	<ul style="list-style-type: none"> maintenance Cleaning Painting
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

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	<p>Destroy 6 years after all obligations/entitlements are concluded.</p> <p>Not under seal 6 disposal Mortgages/redemption/under seals 12 disposal</p>	<ul style="list-style-type: none"> 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

Financial Management (Property and Land Management)

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Reports to management on overall property of the Local Authority	Permanent.	<ul style="list-style-type: none"> • Consolidated Property & Buildings Annual Reports • Summary of Leased Property • Summary of Local Authorities Owned Property • Site Register • Register of Leases

Property Acquisition and Disposal

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Management of the acquisition (by financial lease or purchase) process for real Property	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"> • Title deeds • Plans
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

Property Development and Renovation

The process of managing and undertaking renovations and development of property

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Management buildings and estates of "special interest"	Permanent.	<ul style="list-style-type: none"> • Project Specifications • Plans • Installation Manuals • Certificates of Approval
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
The action process	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

Leasing And Occupancy

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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
The process of managing the occupancy of property	Destroy 7 years after the conclusion of the transaction that the record supports	Requests for Works Cleaning, etc.

Transport Management

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of acquisition and disposal of vehicles through lease or purchase	Destroy 7 years after the disposal of the vehicle	<ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet Authorisation Numbers
The process of managing allocation & maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Approvals as Drivers • Allocations & Authorisations for Vehicles • Maintenance
The process of recording vehicle usage	Destroy 3 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • DVLC Log Books • Vehicle Usage Reports
The process of recording drivers usage	Destroy 7 years after closure	<ul style="list-style-type: none"> • Vehicle Log book

Financial Management (Insurance)

Policy Management

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The summary management of insurance arrangements	Permanent.	<ul style="list-style-type: none"> • Insurance Register
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	<ul style="list-style-type: none"> • Insurance Policies • Correspondence
The process of renewing insurance policies	Destroy 2 years after the insurance policy has been renewed	<ul style="list-style-type: none"> • Insurance Policy Renewal Records • Correspondence

Claims Management

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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)	<ul style="list-style-type: none"> • Claims Records • Correspondence

Health and Safety**Inspections And Assessments**

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Process of inspecting equipment to ensure it is safe.	Destroy 3 Years from last action	<ul style="list-style-type: none"> • Equipment inspection records
Processing the geotechnical assessments of a quarry	Destroy 3 Years from last action	
Process of carrying out monitoring to ensure it is safe.	Destroy 2 Years from last action	<ul style="list-style-type: none"> • Radioactive monitoring results
Process of monitoring of areas where asbestos is likely to be apparent	Destroy 40 Years from last action.	<ul style="list-style-type: none"> • Property asbestos files
Process to ensure safe systems of work	Destroy 1 year after completion of work	
Process to assess the level of risk	Destroy 3 Years from last assessment.	<ul style="list-style-type: none"> • Risk assessment
Processes that record the control of hazardous substances	Destroy 40 Years from last action.	<ul style="list-style-type: none"> • COSHH records
Processes that permit work	Destroy 1 Years from last action.	
Process that record injuries to adults	Destroy 3 Years from closure	<ul style="list-style-type: none"> • Accident books
Process that record injuries to children	Destroy 25 Years from closure	<ul style="list-style-type: none"> • Accident books

General Public Service (Emergency Planning)

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Process to develop the emergency/disaster plan for the local community	Permanent.	<ul style="list-style-type: none"> Major Incident Plan
Process to test the emergency/disaster plan for the local community	Destroy 10 years after closure	

Major Incident

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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.	
Activities that report on all minor incidents in the local community	Destroy 7 years after closure	

General Public Service (Enforcement Certification and Prosecution)

Includes information created within environmental health

Registration, Certification and licensing

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Summary management systems that allow the monitoring & management of registration, certification and Licences registration requirements in summary form.	Permanent. Transfer to Place of Deposit after administrative use is concluded	
The administration of applications, registration, certification and Licences in relation to Local authorities registration requirements. <i>For topics in relation to toxic or hazardous substances (including petroleum) see (),</i> <i>For topics in relation to the registration of care for children see (),</i>	Destroy 2 years after registration or entitlement lapses	<ul style="list-style-type: none"> • 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
The process involved in licensing sites for the holding or use of <i>toxic or hazardous substances</i> . (including petroleum, agricultural chemical products or herbicides)	Permanent.	<ul style="list-style-type: none"> • Diesel licences • Petroleum licences • Health and safety licensing • Hazardous substances • Contaminated land register/pollution

Notification

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	<ul style="list-style-type: none"> • Fire Prevention Notices • Fire Prevention Infringement Notices • Objections to Notices • Appeals Against Notices • Registration of Premises Infringement Notices • Animal Impounding Notices

Investigation, Inspection and Monitoring

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of investigation, monitoring or inspection laws in the responsibility of the local authority.	Destroy 7 years from last action.	<ul style="list-style-type: none">• Fire certificate compliance inspections

Prosecution

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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

General Public Service (Bye Laws)**Enactment**

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of making local laws	Permanent	<ul style="list-style-type: none"> • Master Set of Bye-Laws • Policy Development Documents • Correspondence • Submissions

Administration & Enforcement

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of administering and enforcing Bye-laws	Destroy 2 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased.	<ul style="list-style-type: none"> • Applications and Certificates • Permits • Licenses • Infringement Notices (Parking) • Correspondence

General Public Service (Cemeteries & Crematoria)

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
Summary management systems that record the location and occupancy of deceased individuals.	Permanent.	<ul style="list-style-type: none">• Internment register
The process of regulation of burials and cremations	Destroy 5 year after last action	<ul style="list-style-type: none">• Permits• Applications• Orders

General Public Service (Waste Management)

The provision of hardwaste removal, destruction and waste reduction services by the council to ratepayers.

Collection

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The process of arranging the collection or transportation of household waste.	Destroy 2 year after last action	
The process of arranging the collection or transportation of controlled waste.	Destroy 6 year after last action	

Disposal of Waste

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The summary management of sites used for the disposal of waste within the local authority.	Permanent.	
The process of the short term storage of household waste.	Destroy 10 year after site closure.	<ul style="list-style-type: none"> • Transfer sites
The process involved in managing the use, type and amount of waste to be disposed at a specific site.	Permanent.	<ul style="list-style-type: none"> • Waste site plans

Planning and Land Use

Planning Scheme Development and Amendment

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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.	<ul style="list-style-type: none"> • Structure Plan • Local Plan • Town Centre Plans • Unitary Development Plans
The activity of consultation to gain approval for the Structure Plan (Unitary Development Plans) or Local Plans	Permanent.	<ul style="list-style-type: none"> • Consultation documents and replies • Inquiries and objections made by members of public • Public Inquiry documents
The activity of recording information on historical buildings, monuments and ecology at a specific site.	Permanent.	<ul style="list-style-type: none"> • Sites and Monuments records • Ecological records • Species records • Historically listed buildings • Definitive map • Commons registration
The activity of establishing planning scheme controls and providing for them to be amended.	Permanent.	<ul style="list-style-type: none"> • Successful Waste Planning Application • Successful Mineral Planning applications • Amendments to definitive map • Mineral Register • Applications for mineral extraction • Land Use surveys
The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 15 years after decision.	<ul style="list-style-type: none"> • Waste Planning Application consultation • Mineral Planning applications consultation • Objections • Inquiries – Public etc • Archeological advice/conditions
The process of controlling development of areas through applications for planning permission	Transfer planning application register to Archives once the register has been completed (or at arranged intervals if it is held electronically)	<ul style="list-style-type: none"> • Planning application files and plans • Correspondence relating to any objections • Hearing papers • Planning application register
The process of maintaining the countryside and developing open spaces for public amenity	Refer all files relating to policy to the Archives Destroy other files 7 years after administrative use concluded	<ul style="list-style-type: none"> • Tree preservation orders • Country parks and nature reserve development plans and correspondence, land purchase agreements

Planning Scheme Regulation

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
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
The process of regulating the planned use of land or buildings.	Destroy 15 years after closure	
The process of approving building applications in relation to significant listed 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
The process of approving building applications, for all other buildings	Retain for life of property or building.	<ul style="list-style-type: none"> • Building Files • Plans • Specifications • Correspondence • Applications • Permits • Certificates • objections
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 • Building Inspection Records • Diaries
The process of enforcing building or land regulations	Destroy 3 years after compliance with enforcement notice.	

Infrastructure and Transport

Planning and Development

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The activity of developing a vision and strategic directions regarding existing transport and infrastructure within the municipality	Permanent.	<ul style="list-style-type: none"> • Structure Plan • local transport plan
The activity of recording location of highways, bridle paths and rights of way.	Permanent.	<ul style="list-style-type: none"> • Definitive map • Correspondence concerning enquiries and disputes
The activity of establishing planning scheme controls and providing for them to be amended and modified.	Permanent.	<ul style="list-style-type: none"> • Amendments to definitive map • Road adoption
The process of receiving, considering and responding to submissions and objections to planning schemes and amendments	Destroy 7 years after decision.	<ul style="list-style-type: none"> • Enquiries, consultation documents, objections and correspondence
The process of enforcing Infrastructure and transport regulations	Destroy 50 years after Enforcement Notice. Destroy 3 years after compliance with enforcement notice.	

Infrastructure Management and Maintenance

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The activity of providing municipal services in relation to Infrastructure within the local authority.	Destroy 7 years after last action	<ul style="list-style-type: none"> • Street Files • Street Records Requests for <ul style="list-style-type: none"> • Hedge clipping • Tree planting • Naming of streets • Numbering of houses • Street load limits • Street signs • Bus shelters • Applications to dig Footpaths • HGV application • Advice / comment • Level crossings • Right of ways • Roundabouts • Traffic humps

Road Maintenance

FUNCTION DESCRIPTION	RETENTION ACTION	EXAMPLES OF RECORDS
The activity of maintaining and repairing roads, streets, bridges, bridlepaths, rights of way and tunnels	Destroy 7 years after action completed	